BEHAVIOUR ANALYSIS: CATALYST FOR PERSPECTIVE TRANSFORMATION

AND PERCEPTIONS OF INTERPERSONAL EFFECTIVENESS

by

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ABSTRACT

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This qualitative case study sought to expand what is known about training methods that improve interpersonal communication skills for mid-level leaders in corporate settings. It looked at a training methodology, Behaviour Analysis (BA, Rackham & Morgan, 1977) conducted in the context of a year-long leadership development program in a biopharmaceutical company in the United States. Interviews with 16 program participants, and post-program survey data from 83 participants across 5 years, responded to three research questions:

1. How, and in what ways, did mid-level leaders perceive the interplay between thinking about how to communicate effectively and behaving in an interpersonally effective way? (perception)

2. How did mid-level leaders apply BA post-program? (application)

3. What were the reported perceptions of mid-level leaders about a relationship between BA and perspective transformation? (meaning)

The researcher had unique access to and history with the client as a facilitator and member of the program design team. A qualitative case study approach was appropriate, given the consistent program content and profiles of participants year over year as well as the availability of additional program documents for analysis. Data insights were varied and clustered by cohort. Findings were interpreted using two theoretical frames: (a) Mezirow's (1978, 2003) work with perspective transformation, and (b) the study's conceptual framework, based on Argyris and Schön's (1974) seminal work on action science and single-/double-loop learning.

Key findings included: (a) the element of time on learning to balance advocacy and inquiry; (b) BA acting as a disorienting dilemma and menu card for expanded communication strategies; and (c) the placement of the disorienting dilemma in the process of perspective transformation. Four conclusions were drawn:

1. Making a shift in communication skills to balance advocacy and inquiry is additive and transformative.

2. Group and/or peer learning is an important component for increasing self-awareness in corporate L&D programs.

3. Disorienting dilemmas can be engineered and are valuable for bringing unconscious behavior patterns to consciousness for skill-building in a training setting.

4. Time and reflection play critical roles in making conscious connections between espoused theories and theories-in-use to build communication skills.

DEDICATION

To my father, Malcolm W. Booth, for the Wantagh house fire that took your doctoral

thesis in 1968 before you had a chance to defend it

To my mother, Olga L. Booth, for instilling in me a love of scholarship and

the discipline to be a lifelong student

To Joseph P. Limone, my partner, friend, love, and constant source of comfort,

I could not have written this without your inspiration and patience,

humor and encouragement

And, to my children, Katie and Mateo Rosati, may you find what brings you joy in life

and pursue it with a clear mind and an open heart, as I have done here

ACKNOWLEDGMENTS

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INTRODUCTION

The natural progression of roles in the typical corporate career includes moving from an entry-level role as an individual contributor, to eventually managing work for others at the mid-level and, for some, progressing into enterprise leadership responsibilities after that (e.g., Goldsmith, 2007; Yates, 2017). The accumulation of specific job-related knowledge, skills, and experiences along the way varies from person to person and is often supported by formally structured Learning and Development (L&D) programs (Noe, Clarke, & Klein, 2014). L&D programs are often sponsored by the company or organization itself, and focus on building leadership capacity, strengthening management skill sets, improving interpersonal communication, and assisting mid-level leaders with the shifting demands of working with and through others, rather than as individual contributors (e.g., Bunker & Wakefield, 2005; Drotter, 2011; Goldsmith, 2007; Lombardo & Eichinger, 2001; Noe et al., 2014; Northouse, 2016).

The effectiveness of L&D programs in preparing these mid-level leaders appears mixed and not often adequately measured or documented (Boehle, 2006). One key area for leaders, as they move from predominantly technical, individual contributor, and/or small team management roles to department, function, and/or enterprise leadership roles, is interpersonal effectiveness and communication (e.g., Bunker & Wakefield, 2005;

Kunnanatt, 2008; Northouse, 2016; Yates, 2017). This broadly means how well mid-level

leaders communicate with others, read social cues, respond to people appropriately, know

when to ask questions or share their opinions, and know how to say the right thing at the

right time (Kunnanatt, 2008; Martin, 1999; Rao, 2016).

Many different approaches and methods are available for developing mid-level

leaders in general. Bookstores are filled with leadership books and training companies

abound in the market. Many highlight building "soft skills," "empathy," and "emotional

intelligence" as the main differentiators (e.g., Goleman, 1995, p. 149; Kunnanatt, 2008,

2012; Rao, 2016). However, few methods seem to break down the nuances of

interpersonal communication into tangible, specific operational steps (e.g., Kunnanatt,

2008, 2012; Martin, 1999). Doing so could potentially transform these "soft skills" (with

no clear answer) of effective interpersonal communication into "hard skills" (with

procedural steps and/or leading to a right/wrong answer) that an individual can practice

and master.

In the 1970s, Neil Rackham, Peter Honey, and Terry Morgan developed such a

method called Behaviour Analysis or "BA" for short (Yates, 2017). It was a coding

mechanism, and observational feedback and training method, for verbal behavior. BA

combined coaching, small group work, and hard statistical data about individual airtime

usage (the amount of time someone spends talking in a conversation). The goal was to

help mid-level leaders increase their interpersonal communication and leadership

effectiveness by enabling them to develop deliberate advocacy (telling their view),

inquiry (asking for other views), and interpersonal communication process (flow of

conversation) skills, thereby increasing their range of effectiveness (Rackham & Morgan, 1977; Yates, 2017).

As an observational training method still in use today, BA consists of watching group members complete a task and categorizing their verbal behaviors by structure, instead of by content or meaning. In other words, the observer listens for what *kind of thing* did they say, instead of *what did they say*. Examples of typical structures include questions, statements, interruptions of others, and so forth. These verbal behavior structures are tallied and grouped into four main categories: proposing ideas, reacting to the ideas of others, clarifying/asking questions, and monitoring conversation process flow. Presented this way, the collected data provide for a clear, observable, and verifiable playback afterwards about what individuals *did*, in contrast to or in support of what they *think they did*, with regard to interpersonal communication (Rackham & Morgan, 1977; Rosati, 2016; Yates, 2017).

The lack of clearly defined operational training methods in the literature that can quantifiably increase communication skills for mid-level corporate leaders piqued the interest of this researcher, who routinely uses BA in practice to build communication skills with corporate leaders. Therefore, this qualitative case study focused on expanding what is known about training methods that improve interpersonal communication skills for mid-level leaders in corporate settings. It looked at what facilitates individual behavior change and explored whether and how BA was perceived as a catalyst or driver for increased self-awareness and perspective transformation.

Research Problem

This qualitative case study was framed by a problem of practice. Specifically, what facilitates individual behavior change in corporate learning and development (L&D) programs? How can we adequately develop mid-level leaders for the interpersonal communication nuances and complexities of senior leadership roles? Companies look for sustained behavioral changes and improved leadership capacity post-leadership training, but L&D training programs are not necessarily designed to provide that, and so results are often hit or miss (Clarke, 2012). Therefore, the problem of practice that formed the focus for this qualitative case study was this: While knowing "what" interpersonal communication skills mid-level corporate leaders need to succeed in more senior roles is well documented, understanding "how" best to develop them via L&D training programs, and what specific training methods actually do that, seemed less clear.

Consistent with this, the literature provided many sources, studies, and revelations about the state of the practice (the "what") regarding corporate L&D efficacy for developing interpersonal skills in mid-level leaders (e.g., Bunker & Wakefield, 2005; Clarke, 2012; Drotter, 2011; Powell & Yalcin, 2010; Rao, 2016). These particularly highlighted identifying behaviors, quantifying industry spend, and outlining desired training objectives and specific outcomes. Less prevalent in the literature was a discussion and related research studies about practical training methods (the "how") that drove transformative learning in L&D settings and/or that actually fostered the interpersonal effectiveness that the literature and existing research stated was needed at senior corporate leadership levels (Kunnanatt, 2008, 2012; Powell & Yalcin, 2010; Rao, 2016).

For example, Noe et al. (2014) traced the evolution of training, learning, and design in the 21st century and highlighted several key aspects. In 2012, they reported that U.S. organizations spent in excess of $160 billion dollars on formal training programs (p. 247), yet time, technology, and the changing nature of interactions within the workforce have caused shifts in how learning is delivered and experienced. Further, in the last 10 years, learning has moved rapidly from formal settings to informal, team, collaborative, online, and other less structured/more outcome-linked settings, methods, and approaches (p. 248). This has profound implications (to be covered in more detail in Chapter II) for the organizations that sponsor L&D programs in all of their forms and for those that expect a return on their investments (Noe et al., 2014).

According to the literature reviewed, two key developments in the L&D landscape over the last decade for developing leadership effectiveness were coaching and team learning (e.g., Carroll, 2010; Noe et al., 2014). One of the advantages of coaching, in helping to change people's behaviors, is its individualized approach. Coaching can completely customize the approach for discovery, discussion, and implementation (for the desired behavioral change) to the circumstances, environment, thought processes, and ways of making sense of the specific individual being coached. Coaching takes the perspective that both the problem and the solution exist within the person being coached (Kimsey-House, Kimsey-House, Sandahl, & Whitworth, 2011).

One of the advantages of learning in teams, in helping to change people's behaviors, is the shared nature of the experience, in which those who are learning can check and gauge their own experiences against those experiences of others who are similarly situated. Team learning can facilitate reflection, application of new skills, and

both personal and professional growth in ways that individual learning cannot (Kasl, Marsick, & Dechant, 1997). BA utilizes both coaching and team learning in a structure that leverages quantitative data in the service of making improvements in the qualitative area of interpersonal communication skills (Yates, 2017).

Transformative learning (Mezirow, 1978) and related methods for facilitating perspective transformations (the 10-step cognitive chain of events in transformative learning, where an individual's thought processes change) provide a helpful lens for examining L&D training methods focused on mid-level leaders' interpersonal communication and leadership effectiveness. Utilizing methodologies that align with transformative learning research could potentially suggest an engagement of the participants' sense-making and meaning-making schemes in the learning process; therefore, sustained behavioral change post-program becomes more likely (Erickson, 2007). This could also lead to greater tangible results for L&D training program initiatives, quantifiable returns on the investments made in training by organizations, and more satisfying training experiences for program participants.

However, and as will be detailed in Chapter II, critiques of transformative learning point out that Mezirow's original theory stayed at the cognitive level—that is, focusing on the processes of *thinking* as they relate to changing individual behavior. While involving participant sense making and meaning making in the learning process may be helpful, it may not be enough to just approach it from a cognitive process perspective. An individual cannot *think* his or her way towards changed behavior; there are *doing* and *affective* (or emotional) aspects that are also relevant (e.g., Dirkx, 2001; Taylor & Marienau, 2016). Argyris and Schön (1974, 1996), among others, pointed out

the importance of both *thinking* (espoused theory) and *doing* (theory in use) in considering behavioral change. They argued that sense making has multiple inputs, not just cognitive process steps, and behavioral outputs are grounded in context (p. 134). Behaviour Analysis is a process for *doing* that seems to align structurally with Mezirow's 10-step perspective transformation *thinking* process (see Table 4 in Chapter II), and also attends to the *affective* via the group feedback process (Hipgrave, 2016). The structural consistency between perspective transformation and BA, and the lens of considering the interplay of both thinking and doing processes presented by Argyris and Schön, highlighted an interesting gap in how L&D training programs have historically been designed and deployed. It may also suggest a bridge for taking Mezirow's theory of transformative learning further towards practical operationalization.

The changes outlined above in both corporate and L&D contexts provide an overall landscape of shifting mechanisms for the ways learning is delivered in corporate settings (move from formal to informal), an increased focus on quantifying and measuring results of training, and emerging links between what people learn and how they mature developmentally and socially (e.g., Erickson, 2007; Hodge, 2014). This setting would seem to encourage the development of tools and training methods that can (a) operationally and quantifiably change individual interpersonal behavior by focusing on both thinking and doing processes; (b) link to increased leadership and effective communication capacity and ability; and (c) take advantage of smaller team, group, and individual learning opportunities and structures. This researcher thinks the time has come to focus on training methods that transform perspectives and work with individuals and small teams.

Research Purpose and Discussion

The purpose of this qualitative case study was to expand what is known about training methods that improve interpersonal communication skills for mid-level leaders in corporate settings, specifically by looking at what facilitates individual behavior change and exploring whether and how Behaviour Analysis (BA, Rackham & Morgan, 1977) is perceived as a catalyst for that transformation. The aim of this qualitative case study was to understand better whether and how mid-level leaders perceived BA as a factor in developing interpersonal communication effectiveness and undergoing perspective transformation (Mezirow, 1978, 2003). In doing so, the researcher hoped to contribute to what is known about transformative learning methods in corporate settings, as well as to provide greater understanding about perceptions of BA when it is used as a training method.

Investing in identifying transformative learning training methodologies, especially those that work in small groups and with individuals, could have profound effects for coaches and L&D program designers, and even for program participants themselves. The more one can recognize and pinpoint what drives sustained behavioral change in individuals, and how that can be facilitated and supported externally to the individual, the more deliberate one can become in designing efficient, effective, and measurable training programs that bring about the desired changes in individuals who attend. The more one can understand what conditions and environmental factors are key to behavioral change and the sequencing of experiences that lead to development, the more precise coaching and team learning initiatives can be. All of this could lead to greater efficiency in time, expense, results, and productivity for the organization. In turn, it could also add to greater

engagement, sense of accomplishment, and genuine confidence for those who have been coachees, trainees, or participants in such training programs.

To conduct this research case study, the researcher developed three main research questions (RQs) and six subquestions (SQs) that focused on a particular group of mid-level corporate leaders' perceptions, application, and meaning they ascribed to BA after experiencing it in a leadership development training program:

1. How, and in what ways, did mid-level leaders perceive the interplay between thinking about how to communicate effectively and behaving in an interpersonally effective way? (perception)

    a. How did mid-level leaders experience the importance of interpersonal effectiveness in the demands of leadership and the competency and consistency of their own communication skills?

    b. How, and in what ways, were communication skills and interpersonal effectiveness developed in mid-level leaders?

2. How did mid-level leaders apply BA post-program? (application)

    a. How, and in what ways, did mid-level leaders report being able to do different things or think differently as a result of experiencing BA?

    b. How did mid-level leaders describe a relationship between BA and building communication skills and developing interpersonal effectiveness?

3. What were the reported perceptions of mid-level leaders about a relationship between BA and perspective transformation? (meaning)

    a. What impact did the passage of time have on mid-level leaders' perceptions about BA?

b. What role or relationship existed between perspective transformation and

the mid-level leaders' application of BA concepts post-program?

RQ1 focused participants on perceptions of interpersonal communication before the training program began. RQ2 focused on how program participants applied BA after the training. RQ3 focused on the meaning and sense making that participants reported about what they had learned from BA as it related to building communication skills and interpersonal effectiveness. In particular, RQ3 was about what participants thought after the program, and the word "perception" was used in this way. There was no expectation on the part of the researcher that program participants would have been able to articulate or process a relationship between their experiences with BA and perspective transformation. That was the job of the researcher in this qualitative case study.

Given the desire to surface potential links among interpersonal communication and leadership effectiveness, transformative learning theory (particularly perspective transformation), and BA as a training method, the researcher examined these three main areas of literature in Chapter II. Interpersonal communication and leadership effectiveness were explored with a particular emphasis on how mid-level leaders address and develop them via corporate training programs (related to RQ1). Links between perspective transformation and BA—how they align from structural, operational, and process perspectives—are also illustrated (related to RQ2). Finally, as perspective transformation was first pioneered 40 years ago, it is important to update the literature with other scholars' interpretations and applications of Mezirow's transformative learning theory (e.g., Hodge, 2011, 2014; Hoggan, 2016; Kegan, 1982, 2009; Mälkki & Green, 2014; Nohl, 2015), and specifically how others can identify, observe, and measure

perspective transformation through either interviewing or observing those who have undergone it (related to RQ3).

Research Design Overview

The design of this qualitative case study included: (a) utilizing and analyzing archival client data in the form of existing post-program feedback provided by L&D program participants about experiencing BA in a L&D leadership setting; and (b) semi-structured interviews with 16 of those L&D program participants to explore further their feedback and individual experiences with BA. Additional data made available by the client to the researcher included statistics on promotion rates and career progression for alumni of the training program, and statistical data about the pilot program conducted with Cohort 1. The sample pool of L&D program participants consisted of approximately 86 mid-level corporate leaders, all of whom had experienced BA in the first module of a year-long, cohort-based training program. Many members of the sample pool of 86 had already completed a post-program feedback survey for the company's L&D department, and the researcher obtained and analyzed these surveys on an aggregated basis by cohort.

This qualitative case study was originally designed to identify program participants who had initially indicated post-program on their feedback forms that BA was impactful. When the client informed the researcher that it was not possible to tie individual responses to specific participants, the design was modified to an open invitation to all 86 alumni and current participants to participate. The researcher interviewed a group of 16 from that pool to determine the impact of (a) time and reflection; (b) application of BA post-program, if any; and (c) changes in meaning

making from their initial perceptions. Wherever possible, diverse interviewees were selected; the researcher interviewed two or three from each cohort who represented varying demographics and corporate functions. A more comprehensive review of the sampling method, an analysis of the post-program feedback, and the interview protocol are presented in Chapter III, along with a demographic review of the 16 interviewees and the client organization.

All program participants belonged to the same global biopharmaceutical company, were at similar levels within the organization's hierarchy and expertise depths, were considered mid-career, were identified as high potential by the organization, and had experienced BA as part of a year-long cohort-based leadership training L&D initiative. As such, they fit Creswell's (2014) definition of "bounded" (p. 14) or belonging to the same system. Thus, the case study was an appropriate vehicle for exploring their experiences.

Despite their similarities, these program participants also had some differences and nuances that could have factored into the research in myriad ways. They were cross-functionally, geographically, and racially diverse as a group. Both men and women comprised the group, and English was not the first language for some—a fact that could potentially have had some interplay with the operational, labeling nature of BA as a method for coding verbal behavior. In addition, while the content of the cohort program, the facilitators, and most of the venues where it had been held across 5 years remained intact and identical, the element and passage of time were crucial aspects to examine in this study. One of the subquestions for the study, in fact, was: What impact did the passage of time have on how mid-level leaders perceive BA as a training method?

Moreover, having only experienced BA for a short period of time, what impact did that have on the mid-level leaders' experience of it?

The researcher conducted the interviews via phone with participants situated at the U.S. headquarters of the biopharmaceutical company. A total of five cohorts have undertaken the BA module; the first cohort experience took place in New Jersey, in 2014, while the middle three cohorts were conducted in Switzerland, in May of 2015, 2016, and 2017, respectively. The most recent cohort is still in progress (as of the writing of this dissertation), and their Module 1 was held in New Jersey in 2018. The researcher decided it was not necessary to go to the actual venue itself to conduct the study, although the impact of the role the venue played on the participants' reflections was addressed in the interviews. In addition, because the researcher was a facilitator of the L&D program itself, she knew all of the participants in the program and, to some degree, in the study (see Researcher's Perspectives below and in Chapter III for a fuller discussion of this point).

Researcher's Perspectives

In a constructivist paradigm, the researcher is a co-creator of the "truth" and a collaborator in the reality that is experienced and subsequently perceived by those who are subjects in the research itself (Guba & Lincoln, 1994). As such, it becomes important to understand the views, skills, biases, and contributions of the researcher. As an instrument within the study, the researcher is also an actor on the stage, albeit in a supporting role, and this has an impact on interpreting and relaying the research findings.

This section outlines the researcher's background, inspiration, and motivation to undertake this particular study.

The researcher is both an executive coach and a trained facilitator of the BA method, and had familiarity with this study's program participants, both individually and collectively to varying degrees. She was a member of the facilitation team for this study's cohort-based leadership L&D training program over the course of 5 years/cohorts and helped to design the training program itself, although not the actual module where BA was situated. She has also used the BA method across a variety of contexts, industries, and training applications for over 15 years. Moreover, she has worked collaboratively with the original developer of the BA methodology (Neil Rackham), and some of his former colleagues and contemporaries, in concert with this study to ensure quality of research and alignment with BA's original methodological intentions.

The researcher's view on L&D training, and specifically about the need for a combination of educational and psychological attention in program design, comes from over 30 years of working with people of all abilities, learning styles, and development levels in corporate training settings. Her experience has led her to conclude that training programs are designed with "anonymous" learners in mind; the organization sponsoring the training in question has certain objectives and content to cover, and it is largely one-directional. Organizations may recognize the different ways in which people learn and factor these ways into how material is delivered (i.e., visual learning, audio, self-directed, and experiential activities) to provide variety and increase the likelihood of content resonating with participants. However, the researcher rarely saw training design that factored in how people made sense or meaning of what they experienced, or training that

could deconstruct the aspects of interpersonal communication in a way that made it learnable as a skill—until she encountered BA about 18 years ago.

In addition, the researcher's early life experiences, working in partnership with the teaching staff at a special education school to help her brother with autism learn, highlighted the very operational and step-like nature of how some people process and apply what they take in. Those on the autism spectrum often cannot fluidly intuit the nuances of interpersonal communication. They can struggle with reading political landscapes, understanding the reactions of others, and interpreting social cues. However, learning to ask more questions or wait for someone to finish speaking before making a contribution, for example, involves operational and tangible steps that can be formulaically learned to replace what comes naturally to those with more pronounced emotional intelligence (e.g., Goleman, 1995; Kunnanatt, 2012, p. 65).

The workplace, too, is filled with people who are not on the autism spectrum but who have similar challenges: high technical ability, low interpersonal skills. What if there was a way to help these people experience the leadership success that their more interpersonally gifted counterparts seem to experience with little effort? The researcher feels BA can potentially help with this as well by illustrating interpersonal communication as a technical skill—do more of this, do less of that.

Finally, many people struggle with attention deficit hyperactivity disorder (ADHD), traumatic brain injury, or other executive functioning cognitive challenges, which make it difficult for them to hold all at once the intricacies of conversation detail or to draw out the best ways to respond to another person. These challenges have nothing to do with emotional intelligence, desire, or the ability to connect with people; rather,

they are tied to a deficit in or damage to executive functioning capability. As will be seen in Chapter II of this study, BA groups verbal behaviors into initiating, reacting, clarifying, and processing categories. Thus, the researcher thought perhaps BA could provide an external construct and mapping model to make the conversation experience easier for those with certain forms of acquired cognitive impairment.

Assumptions of the Study

The researcher assumed that self-awareness, reflection, and meaning making are critical components of sustained behavioral change in individuals. She also assumed that learning from experience requires time, iteration, reflection, and critical thinking on the part of the adult learner. The researcher thus assumed a constructivist paradigm, whereby truth is co-created by various actors and factors in a given research setting, problem, and/or study (Guba & Lincoln, 1994, p. 112). The constructivist approach is detailed in Chapter III. Utilizing a constructivist paradigm also meant that the outcomes of this study were grounded in the context within which they were studied, and were germane to the point in time and meaning-making abilities of those who participated in the study; essentially, context matters. In addition, the researcher assumed that previous research on BA, transformative learning, and perspective transformation was valid, and that she understood and applied it correctly in this qualitative case study.

Rationale and Significance

Behaviour Analysis is a methodology that grew out of practice. This does not mean it has not been researched or tested; rather, it was not developed in response to a gap in academic or research literature, but from a need that surfaced in practical training

contexts. Therefore, the rationale for undertaking this study was trifold: (a) to situate BA within the academic and research literature, via a comprehensive literature review and this particular research study; (b) to examine if BA was perceived to have catalytic effects on reflection, self-awareness, and shifts in sense making or meaning making for those who experienced it in a corporate L&D context; and (c) to contribute to what is known more broadly about transformative learning training methods in corporate learning and development settings.

Transformative learning (Mezirow, 1978, 2003) has been linked in the research and literature to increases in leadership effectiveness (e.g., Erickson, 2007; Harris & Kuhnert, 2008; Helsing & Howell, 2013; McCauley, Drath, Palus, O'Connor, & Baker, 2006). Studying training methods that align with transformative learning could potentially lead to more tangible outcomes and measurable results for leaders attending those training programs. In addition, recent adaptations to Mezirow's original work in this area by other scholars and practitioners are providing clearer connections to practical training methods and outcomes (e.g., Hodge, 2011, 2014; Hoggan, 2016; Mälkki & Green, 2014; Nohl, 2015). Looking at training methods that incorporate both thinking and doing, and the links between them, provides an integrated view to behavioral change that could potentially challenge Mezirow's theory of behavioral change as purely a cognitive process. For certain, the dialogue about transformative learning, increases in leadership effectiveness, and developing training methods that support both continues to evolve in the literature. This qualitative case study endeavored to contribute to that ongoing dialogue.

Definition of Terms

Key terms defined for this study draw from the fields of adult learning, adult development, education, and psychology. Wherever practical, the researcher defined new terms as they occurred within the text, parenthetically and in simple language, following their introduction. However, to frame the content subject matter of the study, eight main terms are critical to understand upfront: (a) interpersonal effectiveness, (b) Behaviour Analysis (BA), (c) transformative learning, (d) perspective transformation, (e) adult development, (f) adult learning, (g) qualitative research, and (h) constructivist paradigm.

Interpersonal Effectiveness – The researcher chose to adopt a working definition of interpersonal effectiveness that aligned with John Thomas Kunnanatt's (2008, 2012) work on emotional intelligence and Michael Carroll's (2010) work on reflection. Kunnanatt (2012) suggested the following: "emotionally intelligent people often behave in rationally and emotionally balanced ways and produce win-win relationships and outcomes for themselves and others" (p. 54). Hallmarks of the interpersonally effective include social and emotional competence, the ability to read emotions in others and respond appropriately, emotional self-regulation, and a general sense of self-awareness (Kunnanatt, 2008, 2012). The researcher adds that interpersonally effective individuals also possess the ability to reflect, and they do so regularly and systematically. They are able to take an objective, nonpersonal view of their interactions with others, and apply those reflections towards behavioral change going forward (Carroll, 2010).

Behaviour Analysis – Behaviour Analysis (BA) is, according to its developer Neil Rackham (2012), a "short cycle interactive behavior measurement" (p. 2). What does this mean? Rackham defined BA thus: "the systematic collection of real-time data

from the observation of dyadic or group interactions and the use of that data as a

feedback mechanism to guide the future behavior of those observed" (p. 2). Essentially,

BA is a relatively objective method of observational feedback and a coding mechanism

for verbal behavior. Using BA, an observer watches people completing a task and

categorizes everything that anyone says as a type of behavior or contribution. These data

are then tallied and played back to those involved as a record of how they have used their

available airtime, interpreted by those who did the talking, and then applied towards

behaving differently in the future (Rosati, 2016). Behaviour Analysis is spelled in the

British tradition, with a "u" between the "o" and "r," to distinguish it from other forms of

behavior analysis more common to the field of psychology (Rackham, 2012).

Transformative Learning – Jack Mezirow developed a broad meta-theory

(Hoggan, 2016; Mezirow, 1978, 2003) of transformative learning in the 1970s after

studying women returning to work who had taken time off to have children. Essentially,

transformative learning illustrates (cognitively and procedurally) how our brains/inner

selves filter, categorize, and structure meaning—in other words, how our own

individualized internal logic works. It is how we make sense of the world around us; what

happens to us; where we place ourselves in an ongoing storyline; and what meanings,

intentions, and representations we assign to the experiences and events we encounter

(Rosati, 2016). For many scholars since Mezirow, transformative learning has been

suggested as a bridge between psychology AND education, even as it belongs to the field

of Adult Learning (Erickson, 2007).

Perspective Transformation – Perspective transformation is a subset element of

Mezirow's broader theory of transformative learning, and it also belongs to the field of

Adult Learning. Perspective transformation refers here to the 10-step process (explained

in greater detail in Chapter II) for cognitive behavioral change that begins with a

disorienting dilemma (a sudden, jarring event that cannot be denied, but also cannot be

explained with our current internal logic) and ends with integrated behavioral change

(e.g., Hodge, 2011; Mezirow, 1978, 2003). The researcher recognizes, acknowledges, and

appreciates the various critiques of transformative learning by scholars who have said it

does not go far enough in only addressing the cognitive aspects of change (e.g., Cranton

& Kasl, 2012; Hoggan, 2016; Newman, 2012). However, for the purposes of this review,

it is precisely the cognitive aspects of perspective transformation that were relevant and

considered.

   Adult Development – Adult development refers to the underlying meaning-

making schemes as well as sense-making and information-filtering processes of adults,

and how the results of those processes manifest in behavior that can be visible to and/or

experienced by self and others (Rosati, 2016). Adult development belongs to the field of

Psychology. The researcher subscribes to and assumed a definition of adult development

that is in the tradition of Piaget, Erikson, Kohlberg, and Loevinger (Bee & Bjorklund,

2000, pp. 33-41) and specifically consists of successive stages to adult development.

Further, these stages increase in complexity, with each successive one representing an

increased level of human growth and maturation, a more nuanced understanding of the

impact of one's behavior on other people, and an expanded capacity to see oneself as

separate from one's circumstances (p. 41).

   Adult Learning – Adult learning is defined according to the characteristics

mapped out in Malcolm Knowles' work with Andragogy, as being self-directed/

autonomous, based upon life experiences, and built upon existing knowledge; it is goal-oriented, relevant, practical, and collaborative. It concerns itself with the way that adults attain new knowledge and skills (Knowles, Swanson, & Holton, 2011). Adult learning is based in the field of Education. The researcher assumed an underlying definition of adult learning consistent with Knowles' definition wherever references to adult learning are made.

Qualitative Research – Creswell (2013) defined qualitative research as "characterized as inductive, emerging, and shaped by the researcher's experience in collecting and analyzing the data" (p. 22). In other words, the research comes from the ground up, and it grows from the researcher's experience of analyzing the data rather than being derived or "handed down entirely" (p. 22) from an explicit theory that is being tested or tried out. Merriam and Tisdell (2016) stated it this way: "Qualitative researchers are interested in understanding how people interpret their experiences, how they construct their worlds, and what meaning they attribute to their experiences" (p. 6). Consistent between these two definitions is a curious mindset of the researcher, with no preconceived hypothesis to be proven, but rather an interest in exploring the experiences of other people with an eye towards what can be learned by doing so.

Constructivist Paradigm – Research paradigms refer, in part, to the ontological nature of "truth." What does this mean? The concept of truth can be seen as an absolute or a relative thing. As an absolute, it is out there to be discovered via scientific process. Truth can also be seen as relative or co-created somehow via the perceptions of the witnessing actors to a particular event. The former (absolute truth) is also called a "positivist" or "post-positivist" paradigm. It follows many of the tenets of the scientific

method, where the researcher observes but does not participate, so as not to disturb the experiment. The latter (relative truth) is called a "constructivist" paradigm, which is prevalent in qualitative research, and it refers to the co-created nature of perception, experiences, meaning making, and interpretation that is a function of the subject(s) of the research, the researcher, and their interactions in the research process (Guba & Lincoln, 1994).

Summary

Formal learning and development (L&D) training programs have been considered for decades as the default corporate delivery method for growing leadership capacity and interpersonal effectiveness in mid-level leaders. Yet such a significant responsibility has not been matched with training methods that generate clear and tangible results. As the workplace changes, and as formal training settings are replaced with informal team learning situations and individual coaching for skill building, a need has arisen for more precise training methods that align with the principles of transformative learning, where individuals' meaning making shifts and sustained behavioral change are the result. Behaviour Analysis is structured to be such a training method, and the aim of this qualitative case study was to discover how some mid-level corporate leaders in a pharmaceutical company perceived its use, its abilities to foster perspective transformation, and any impact on their own interpersonal communication.

Chapter II

LITERATURE REVIEW

In Chapter I, the overall framework, guiding questions, and rationale for undertaking this qualitative case study were outlined. The purpose of this qualitative case study was to expand what is known about transformative learning training methods in corporate L&D programs. This included examining the perceptions, applications, and meaning making of mid-level leaders who experienced a data-driven, observational feedback training method called Behaviour Analysis (BA, Rackham & Morgan, 1977), in service of interpersonal effectiveness development and communication skills training.

Accordingly, the literature selected for this study centers on three main areas. The first area (Section 1) covers interpersonal effectiveness as a component of overall leadership effectiveness, with an emphasis on building communication skills. The second area (Section 2) focuses on BA as an observational feedback training method for verbal behavior. The third area (Section 3) looks at transformative learning, and specifically perspective transformation (Mezirow, 1978, 2003). Transformative learning was used as a theoretical lens for understanding the similarities between BA and perspective transformation, and the potential for subsequent shifts in leadership effectiveness via improved skills in interpersonal communication.

Interpersonal effectiveness, and specifically building communication skills, draws upon several references within the literature about the changing scope of roles as an individual moves up within a corporate environment (e.g., Bunker & Wakefield, 2005; Drotter, 2011; Lombardo & Eichinger, 2001; Northouse, 2016). Generally speaking, lower-level corporate roles are more technically oriented. They focus primarily on providing what one knows to others, and how one uses what one knows to complete tasks in service of other objectives; in other words, *advocacy* (presenting one's own position, knowledge, opinion) is key. As one takes on leadership roles and moves into more senior levels, a shift occurs that includes a need to develop *inquiry* skills; to ask questions about the positions, knowledge, and opinions of others (Tompkins, 2001). It is this shift—of relying less on what individuals know themselves and more on their ability to tap into, motivate, and inspire what others know—that is the key skill area this qualitative case study explored further.

Regarding BA as a method, the literature reviewed includes BA's origins and historical evolution as a training methodology. This section of the literature review considers the historical context because of its emphasis on situating BA within the academic literature and tracing its origins. Recognizing that BA was developed 40 years ago as an outcome of practice, additional literature and other resources where BA has been updated and modified for use (e.g., Hipgrave, 2016; Yates, 2017) are discussed. The potential implications of exploring BA for data collection are addressed as well.

This literature review also includes the processes and outcomes of perspective transformation, with an emphasis on looking at how perspective transformation is

observed and measured via critical reflection and interviews. Various scholars have applied, tested, and researched perspective transformation over the decades to further explore and expand Mezirow's original theory of transformative learning (e.g., Hodge, 2011, 2014; Hoggan, 2016; Kegan, 1982, 2009; Mälkki & Green, 2014; Nohl, 2015). Of note, Nohl (2015) suggested a five-phase approach for studying transformative learning via post-event interviews (p. 39) that informed the conceptual framework and data analysis for this study.

Additional literature reviewed for this study, which had implications for data collection and methods, included research on reflection and the role it plays in meaning making (e.g., Carroll, 2010; Lundgren & Poell, 2016). It also included research that illustrated operationally and psychologically how people change their own behavior. Specific research studies that linked leadership effectiveness to more sophisticated levels of meaning making are discussed as well (e.g., Erickson, 2007; Harris & Kuhnert, 2008; Helsing & Howell, 2013; Hodge, 2011).

Finally, specifics on the literature research process itself are outlined. This includes keyword searches used, resources consulted, rationales for choosing selected resources, and reasons for excluding other research and resources. Given that both transformative learning (Mezirow, 1978, 2003) and BA (Rackham & Morgan, 1977) originated decades ago, wherever possible, more current research that has validated, critiqued, applied, related to, and/or built on the original works by Mezirow and Rackham are discussed.

Sources of Literature

Various sources of literature are examined in this literature review, primarily including books, peer-reviewed academic and trade journal articles, and relevant research studies. The researcher chose to include only one dissertation as cited works for the literature review, even though ProQuest was utilized to begin initial research on related topics, and many dissertations were scanned for relevance. This was because the researcher found no dissertations that referenced BA and located sufficient resources in peer-reviewed journals and leadership books to illustrate the other main areas of the literature review. The researcher also considered relevant other sources, particularly for BA, that included trade journal articles by the original developer of the BA method, unpublished manuscripts from the original developer, and the researcher's own field notes. Google Scholar and the Gottesman Libraries online resources at Teachers College, Columbia University were the main search engines and library resources utilized. Additional books and resources were obtained via the researcher's own network and personal library, particularly on the topic of leadership effectiveness and BA.

Keyword searches included the combinations of "leadership effectiveness" and "interpersonal effectiveness," "Behaviour Analysis" and "observational feedback methods," and "transformative learning" and "outcomes and processes." Individual phrase searches included "constructive developmental theory," "perspective transformation," "adult development levels," "corporate training," "leadership effectiveness," and "communication skills training."

Section 1: Leadership Effectiveness and Interpersonal Communication

This section of the literature review examines effective interpersonal communication as a subset of the broader area of leadership effectiveness in corporate settings. As one moves up within a corporate career, taking on bigger and broader leadership roles, a general shift in communication is needed from advocacy to inquiry (Tompkins, 2001). Further, as leaders ascend in roles within corporate organizations, they have increased opportunities to influence, set direction, get others to follow willingly, and enable those who report into them to accomplish the goals of the organization (e.g., Drotter, 2011; Lombardo & Eichinger, 2001). All of this requires skill in communicating verbally with other people (Hipgrave, 2016). As BA is a training method and coding scheme for verbal behavior, understanding the leadership context within which BA could be useful was relevant to this qualitative case study.

Defining Leadership Effectiveness

For the purposes of this qualitative case study, the researcher chose to adopt Northouse's (2016) definition of leadership: "Leadership is a process whereby an individual influences a group of individuals to achieve a common goal" (p. 16). This definition recognizes the leader-follower dynamic because it cites roles for both the individual (the leader) and the group of individuals (the followers). It also shows leadership as a process rather than a set of characteristics or traits, specific behaviors, or other qualifications. This signals that leadership is accessible to all individuals based on context rather than to a select few based upon qualification. In addition, this definition

highlights the role of influence, thereby recognizing the importance of willing followership.

Psychodynamic leadership approach. The researcher also chose to focus on the psychodynamic form of leadership outlined by Northouse (2016) as it relates to (a) interpersonal effectiveness and communication skills, (b) Behaviour Analysis, and (c) transformative learning/perspective transformation. Psychodynamic leadership incorporates an understanding of psychology and group process/group dynamics into its approach (Northouse, 2016). With origins dating back to Sigmund Freud, more recent work on this approach has been done by Manfred Kets de Vries in the mid-1980s (p. 296).

Psychodynamic leadership follows four basic principles that form its Clinical Paradigm (Northouse, 2016, p. 296). The first principle states that rationale or logic exists behind every human action. The second is that much of mental life is outside our awareness. The third says regulating and expressing emotions are central to humans. The fourth indicates that human development is both "intra-personal" and "inter-personal" (pp. 296-297). As a result, the psychodynamic approach focuses on what goes on inside the person (intra-personal) and the relationship between the leader and follower (inter-personal), while also taking into account the various psychological effects of working in groups (Northouse, 2016). The researcher chose to hyphenate inter-personal and intra-personal only wherever the two terms are being compared to each other in the same sentence to emphasize their distinction. Elsewhere in the document "interpersonal" and "intrapersonal" will be written without a hyphen.

The psychodynamic leadership approach has relevance for looking at perspective transformation and BA for many reasons. Looking at the first principle of psychodynamic leadership—that logic or rationale exists behind every human action, BA also looks to align intentions and outcomes, and make them more deliberate and explicit, by operationalizing interpersonal communication. Both perspective transformation and BA seek to increase self-awareness, which maps well in service of the second principle—that much of life exists outside of our awareness. Third, a search of the literature on leadership effectiveness has shown that the building of emotional intelligence, empathy, and the ability to self-regulate are keys to success as one moves up in a corporate career (e.g., Goleman, 1995; Kunnanatt, 2008, 2012). Finally, perspective transformation is a cognitive, internal process where meaning-making shifts occur within the individual; BA is a training method that is used in groups, with external supports for helping individuals make those shifts. These two factors align with the fourth principle of psychodynamic leadership—that human development is both intra-personal and inter-personal. In the following subsections discussing the selected literature, efforts are made to highlight connections to these four principles. In particular, emphasis on the relationship between interpersonal communication skills and each principle is considered.

Interpersonal communication as a component of effective leadership. Stephen M. R. Covey (2006) said, "We judge ourselves by our intentions, and others by their behaviors" (p. 76). Internal logic, intentions, and motivations drive individual behavior—an inside-to-outside view. Yet others who experience that behavior and have to make sense of it somehow need to deduce from the witnessed behavior what the logic, intentions, and motivations were—an outside-to-inside view. There is a very high

likelihood that the behavior can be misattributed to a different motivation, logic, or

intention than what was originally intended. This affects trust, which is a key tool for

leaders (Covey, 2006). The first principle of psychodynamic leadership states that logic

and rationale are behind every human action (Northouse, 2016). Yet making that logic

and rationale explicit for others to see how intentions align with behavior is a function of

interpersonal communication.

Martin (1999) looked at communication skills training for senior adults. As she

stated, "Effective communicators of any age pay attention to the information being

conveyed to them both verbally and nonverbally, and their own responses and initiatives

are clear and suited to the situation" (p. 273). She further discussed the value of self-

observation, lists of words to describe feelings, the use of "I" statements, and making

explicit the "rationale for their use" (p. 274) as specific interpersonal communication

skills to increase alignment between intentions and behaviors. Reflecting on what others

have said (p. 275), conveying respect for another's view (p. 276), and asking clarifying

questions (p. 276) were also suggested as skills for the effective communicator. Martin

rounded out the discussion in this way: "Not to be overlooked or taken for granted are

skills in giving and receiving positive feedback" (p. 278).

Behaviour Analysis focuses on labeling verbal behavior much in the way that

Martin (1999) suggested. In fact, the labeling and counting of the behaviors witnessed

present a compelling picture of what kinds and how much of various verbal behaviors

mid-level leaders favor in their current state. These quantitative data, provided with

distinct labels, highlight the first two principles of psychodynamic leadership (Northouse,

2016). Specifically, those principles are logic and rationale are behind human action (ours for the discovering) and much of mental life is outside of our awareness (until we are made aware).

Emotional intelligence and leadership. Goleman (1995) is often credited with contributing significantly to the momentum of studying emotional intelligence and its links to leadership effectiveness. "Leadership is not domination, but the art of persuading people to work towards a common goal" (p. 149). He connected emotional intelligence with competence in teamwork, building consensus, persuasiveness, and "promoting cooperation while avoiding conflicts" (p. 163).

Kunnanatt (2008) took the work of Goleman and others and suggested a competency-based model of emotional intelligence. This model can assist Human Resource professionals and others with the operationalization of emotional intelligence in the workplace. "Studies indicate that EI (emotional intelligence) competencies are all the more important for career advancement of people as they move up and across various career levels in organizations" (p. 616). Among the competencies the author listed were self-awareness, self-regulation, social competence, social awareness, and social influence (pp. 620-621). On communication skills, the author stated this: "Communication skills enable the person to listen carefully to others as well as negotiate successfully to produce desirable outcomes in social transactions" (p. 621). On the ability for these competencies to be improved and/or mastered, the author said, "The first three of the EI (emotional intelligence) competencies, namely, self-awareness, self-regulation and social awareness, are basically functions of the rational-emotional mind of the person and could be

enhanced by a person through rigorous training and practice in EI (emotional intelligence) techniques" (p. 622). The skilled leader is able to do these things, and aspiring leaders are able to learn them.

Communication skills and leadership. A search of the literature yielded a number of research studies linking effective communication skills to leadership across industries, not just corporate settings. Managheb, Zamani, Shams, and Farajzadegan (2012) studied the effects of participation in video feedback training on communication skills for 40 medical students. They found that "video recording remains a most valuable tool for communication skills training" (p. 547). The authors concluded as follows: "Our training intervention was effective in producing significant changes in medical students' clinical competence as well as the students' skill in history taking, physical exam, diagnosis and treatment" (p. 550). The significance of this study was that it highlighted practices of repetition, feedback, and the ability to see/hear exactly what the student did. In other words, the playing back of data was key.

LeFevre and Robinson (2015) looked at a sample of 30 school principals in two separate studies focused on interpersonal effectiveness, communication skills, and competence levels in different types of parental conversations. They found that "typically, principals were more skilled in advocating their own position than in deeply inquiring into and checking their understanding of the views of the parent or teacher" (p. 58). This particular study is useful because the authors broke the skills being tested down into very specific categories. They looked at: (a) expressing a grounded point of view, (b) seeking a deeper understanding of the other's point of view, (c) checking

understanding, (d) helping the other to consider alternatives, (e) being open to considering alternatives him/herself, and (f) agreeing with the other on next steps (pp. 65-67).

Both of these studies highlighted the fourth principle of psychodynamic leadership (Northouse, 2016), which is that there are both "intra" and "inter" aspects to interpersonal effectiveness (p. 297). There are communication skills to be learned and mastered (intra), and there is also the ability to select and use them appropriately when interacting with others (inter). The successful communicator is able to do both.

**Summary Thoughts on Leadership Effectiveness
and Interpersonal Communication**

Two of the main themes recurring in the literature about leadership effectiveness are that (a) context matters and (b) the concept of "effectiveness" are—as with truth, beauty, and contact lenses—all in the eye of the beholder. The literature consulted paints a picture of shifting demands on leaders, depending on the scope of their role and the context within which they are leading. Goleman (1995) and Kunnanatt (2008, 2012) indicated an increased need for emotional skills as one shifts from doing work oneself towards doing work with and through others. Figure 1 shows a graphic summary and synthesis of the themes in the literature consulted on leadership effectiveness. It frames a visual for understanding how the need for effective interpersonal communication skills increases as one moves upwards in a corporate career.

Technical and Emotional/Social Skills
in Corporate Leadership

Technical Skills
Focus: Execution
Leading through Advocacy

Emotional/Social Skills
Focus: Influencing
Leading through Inquiry

| Individual Contributor | Leader of Individuals | Team Leader | Leader of Team Leaders | Organizational Leaders |
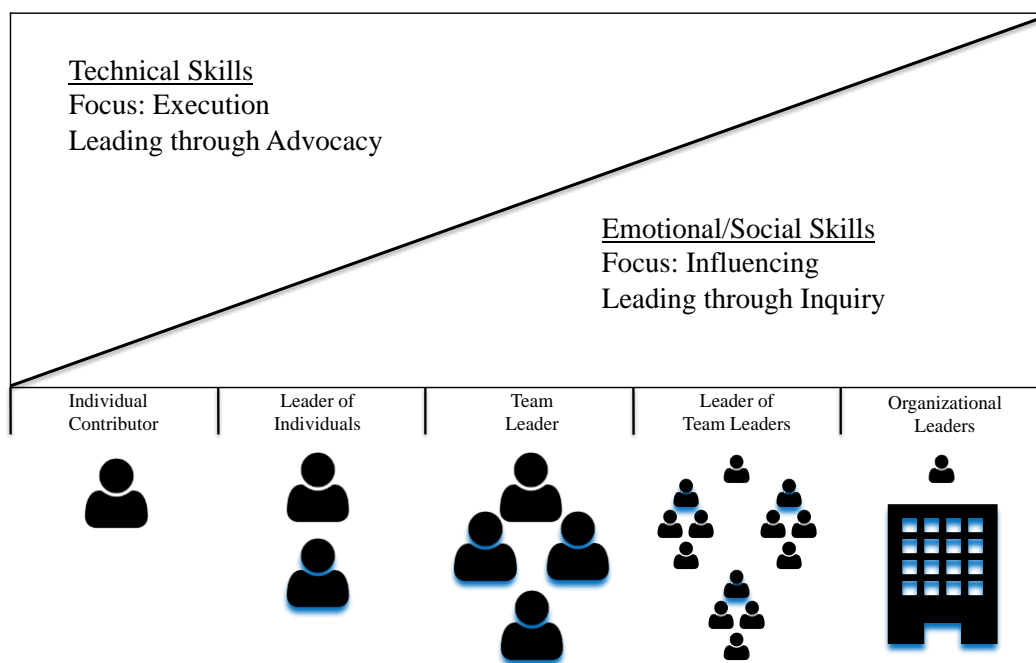
Figure 1. Interpersonal effectiveness across a corporate career

The importance of this graphic is to provide an anchoring visual for considering

the typical career trajectory within corporate settings as well as the increasing need for

effective interpersonal communication. It also frames the setting for the next two sections

of the literature review for this qualitative case study. Specifically, considering BA as a

training method and transformative learning as a lens for how individuals process change

internally, this visual provides the context or stage upon which BA and transformative

learning can be fully explored. As individuals ascend within a corporate structure, there is

a shift in the process of leadership. Leading self gives way to leading others, the need to

influence grows, and the importance of emotional skill becomes prominent. This is also

in line with Northouse's (2016) definition of leadership as (a) a process, (b) involving other people, and (c) requiring influence (p. 16). As such, effective interpersonal communication is a necessary skill in a leader's toolkit.

Section 2: Behaviour Analysis and Observational Feedback Methods

This section of the literature review examines historical influences on and inputs to the development of BA. It also outlines how BA is used as a training method, looks at adaptations by other practitioners, and discusses critiques of BA as a training method. Observational feedback methods and their use in training and development contexts are reviewed as well. Wherever possible, research studies that demonstrated the benefits of observational feedback on developing capacities in self-awareness, reflection, and/or meaning making are included. Finally, a comparison of patterns noticed across BA and other forms of observational feedback is presented.

Origins of Behaviour Analysis

Neil Rackham and Terry Morgan were hired by B.O.A.C. (British Overseas Airways Corporation, forerunner to British Airways) in the late 1960s to study the role of feedback in the successful evaluation of corporate training programs (Rackham, 1973). This was the first in a series of studies they conducted, in which early distinctions were made between participative and non-participative programs and long-cycle vs. short-cycle training evaluation.

As a quick definition of terms, participative programs include dialogue between instructor and participants and a co-creating of the training outcomes. Non-participative training is more one-directional and informational, where the trainer informs the

participants about what they need to know. Long-cycle evaluation means that the review and adjustments to the training that come about after it is completed will impact future training programs and participants, while short-cycle evaluation means that the current program participants will benefit from mid-point or in-program review and adjustments to the training.

The findings of these early B.O.A.C. studies showed two main results. First, feedback provided to trainers after a program that is non-participative (one-directional, informational) increased improvement in knowledge gain for participants of future programs. This was because trainers were able to make subsequent improvements in the content and delivery as a result of seeing the feedback. Second, feedback provided to trainers after a program that was participative (two-directional, dialogue based, co-created outcomes) did not have the same effect (Rackham, 1973).

The conclusion reached was that, in part, the dynamic nature of participative training (two-way dialogue, shared control of the outcomes) had an impact on the perceived effectiveness of the training. Feedback provided by a group of program participants was unique to that program and limited in its ability to influence the experiences of future audiences. Training that was non-participative was more one-directional, with the instructor maintaining control. In that case, feedback to the instructor could be implemented more universally to benefit future audiences because the instructor was the predominant variable. Participative training experiences are unique to the group in question and are not as repeatable as non-participative ones, which can be replicated word-for-word as needed (Rackham, 1973, p. 460).

From this early research on participative and non-participative training programs,

Rackham (1973) concluded there were different types of evaluation for different types of

training programs. This led to the discovery of the impact of short-cycle evaluation on

participants in highly participative training programs. That conclusion influenced the

development of BA as a method for interactive skills which focuses primarily on

providing "feedback to the group under training" (p. 457).

Original Intentions of Behaviour Analysis

Before going further to outline or describe the specifics of BA, it is important to

review the original intentions of BA's co-developer Terry Morgan. These intentions

underscore the challenges the present researcher has experienced in exploring the

academic literature for studies on the impact of BA on program participants. Specifically,

as a result of BA's lack of obvious ties to theory and academic research, no independent

testing of its efficacy or perceptions of its use has been conducted. BA has emerged as a

method of practice, not of theory or research, and with limited critique by others

(McCredie, 1991; Rae, 2002), even as its creators have researched its effectiveness and

used ongoing research to refine it as a training methodology (Morgan, 1979; Rackham,

1971; Rackham & Morgan, 1977). To this point about intentions, Morgan (1979) wrote:

> I think one general point I should emphasise at the outset is that our interest
> in the analysis of social, or interactive, skills has never been purely, or even
> primarily, theoretical and academic. Rather, our interest has lain in the very
> practical question of how we can help people to improve their social skills.
> The original stimulus for our work was a strong dissatisfaction with existing
> approaches to social skills training, and our objective throughout has been to
> develop techniques and methods which would enable us to more effectively train
> people to interact successfully with others.
>
> It is true that to achieve this objective we have had to do some theorising, but it
> has been theorising directed to a practical end. Because of this basic orientation,

the foundation of our work, behaviour analysis…has been developed and used, first and foremost, as a training technique. However, it so happens that it is also an extremely useful technique for researching interactive situations in order to identify why some people are more successful than others—and we have used the technique extensively for that purpose. (p. 104)

In this literature review, the researcher chose to not focus on BA as a research tool but as a training method only. She looked at the structure and process of BA as a training methodology because BA has been utilized in a 3- to 5-day training format. She also looked at how that structure (a) provides short-cycle feedback and (b) lines up with Mezirow's cognitive process steps of perspective transformation. In addition, although the content of what BA captures was illustrated in the discussion, only the *process* of BA as a training method was examined via perspective transformation. The content of the BA observational feedback itself is beyond the scope of this study and its examination is reserved for future research.

Early Theoretical and Experimental Influences of Behaviour Analysis

As a methodology for short-cycle feedback, BA builds on numerous early influences (see Appendix A). Rackham (2012) counted among them the debate between the hard and soft sciences, and the importance of measuring things in numbers in order to consider them satisfactory (p. 3). Rackham also held to an early dictum of effective evaluation, that "the purpose of evaluation is not to prove…but to ***im***prove" (bold emphasis in the original; Stufflebeam, 1969, in Rackham, 2012, p. 9). In BA, Rackham ultimately sought to demonstrate that there is merit to both the quantitative and qualitative aspects of meaningful feedback methodologies in the social sciences.

Another strong influence on the development of BA was early research by Rackham and others that indicated that participative training programs were more

sustainable than non-participative ones. "There was increasing evidence from my own research and from others (Stufflebeam, 1969; Knowles, 1970), that the more interactive the training, the more effective it was in terms of learning" (Rackham, 2012, p. 9). Yet, the traditional pre- and post-training evaluation forms that were being used were not enough to measure effectiveness in participative training (p. 9), so this necessitated the development of a methodology to measure effectiveness in interactive and participative training programs.

Other foundational theories were Kirkpatrick's model for program evaluation and Bloom's Taxonomy of Educational Objectives, both from the 1950s. Rackham and his associates at the time, Peter Warr and Mike Bird, felt there was a gap in Kirkpatrick's and Bloom's work around "the context in which the training took place and the instructional methods, tools or procedures that were used by instructors to bring about improvement" (Rackham, 2012, p. 15). As a result, they developed an alternative framework (CIRO) to address the gap. CIRO stood for Context Evaluation (what needs to be changed), Input Evaluation (assessment of methods used to bring about the change), Reaction Evaluation (participant reactions and perceptions), and Outcome Evaluation (evidence of a change occurring). However, CIRO still did not provide a prescription for an evaluation method in participative training, even as it did highlight the importance of context for training evaluation (pp. 15-16).

Still another set of influences on BA as a methodology came from cybernetics and the manufacturing quality movement (Rackham, 2012). From cybernetics, Rackham drew upon the concept "of using feedback loops in training design" (p. 24); from the manufacturing predecessors to Total Quality Management (TQM), Juran's and Deming's

work, Rackham concluded that "by using short-cycle measurement techniques, Japanese manufacturing quality was undergoing a major revolution. I had hopes that the approach would be equally effective in bringing about improvements to the fields of education and training" (p. 24).

Finally, it was the Bales Interaction Process Analysis (IPA) method that provided Rackham (2012) with a tool that could be considered for short-cycle participative training evaluation. The IPA categorized the behavior of individuals in a group working on a task and, via a grid, allowed for the quantification and grouping of those behaviors as observed by a third party. The feedback from those grids could be used to conduct further research or, in Rackham's perception, provide short-cycle interim feedback to the participants in real time. However, after further analysis, Rackham was not satisfied with utilizing the Bales approach because of issues with interrater reliability, challenges with maintaining distinct behavior categories, mixing of verbal and nonverbal behavior, and an inherent (if unintentional) judgment of observed behaviors that codified them as "good" or "bad" (pp. 46-55). In summary, context was not clear enough with the Bales IPA (Gnisci, Bakeman, & Quera, 2008, p. 20), and Rackham set off with his associates to develop their own instrument/methodology.

Behaviour Analysis: Relatively Objective Observational Feedback Method

The previous sections established that BA is a short-cycle training and evaluation method that emerged from interactive skills and social skills improvement training initiatives in the airline industry in the late 1960s. It was intended to give feedback to L&D program participants while they were still involved in the L&D program within

which BA is experienced. What kind of feedback does it provide? This section illustrates what data BA collects and how it works as a training method.

Data that Behaviour Analysis collects. BA was formed as a methodology for objective behavioral data collection and feedback (Rackham & Morgan, 1977). Specifically, a trained recorder/observer observes individual verbal behavior from teams working together on a task and records it on a grid. The behavior is then calculated via percentages and mapped to norms of best practice to provide participants with quantitative statistics on how they used their airtime (Rae, 2002, pp. 59-62).

Table 1 outlines the basic 11 category system (11-Cat) of data collection for BA. This includes the three main buckets for working with the ideas of self and others and behaviors for general group process that BA categorizes; "*initiating*, *clarifying*, *reacting*, and *process* behaviors" (Rosati, 2016, p. 3). Depending on the objectives of the L&D program goals and other inputs, these categories can be modified, expanded, and/or simplified to capture the ideal types of data. A more comprehensive analysis of the 11-Cat system is not covered in this review other than to demonstrate how other practitioners have adapted it over time (e.g., Hipgrave, 2016; Yates, 2017).

As developed by Rackham and his associates, the methodology works best when conducted over a 3- to 5-day period with the same group of participants, and typically as part of a larger program (Rackham, 1971, p. 178). To be effective, BA gathers data while participants are involved in various group tasks and activities that require verbal behavior, discussion, and interaction with each other. BA does not capture nonverbal behavior, which has been a subject of critique (e.g., Bakeman & Quera, 2012; Yates,

2017). This point will be discussed in greater detail later in this chapter and throughout this qualitative case study.

Table 1

Basic BA 11-Category Behavior System

1. Initiating Behaviors	1a. Proposing (ideas, procedures) 1b. Building (upon the ideas of others)
2. Reacting Behaviors	2a. Supporting 2b. Disagreeing 2c. Defend/Attacking (personal attacks and retorts)
3. Clarifying Behaviors	3a. Seeking information (questions/inquiry) 3b. Giving information (statements/advocacy) 3c. Testing understanding 3d. Summarizing
4. Process Behaviors	4a. Shutting (others) out 4b. Bringing (others) in

Adaptations of BA by other practitioners. BA's original 11-Cat system was adapted and expanded for use in leadership development training by at least two colleagues of Rackham, who later worked independently: Tony Hipgrave (2016) and Ally Yates (2017). Hipgrave (2016) indicated that the behavior categories under "seeking information"/clarifying behaviors were expanded by others. This allowed BA to become more specific and nuanced, particularly for situations requiring negotiation, influence, and persuasion. The additional categories included: seeking information, seeking reasons, and seeking proposals. Further, some additional processing behavior categories were created—namely, behavior labeling, giving feelings, and labeled disagreeing. Finally, the category "proposing"/initiating behavior was split into proposing procedures and

proposing content, for a total of 18 behavior categories. The researcher learned and used

this 18-Cat system (see Appendix B) for this qualitative research study.

Hipgrave's (2016) other adaptations to BA included: (a) structuring the qualitative

feedback session with peers in the format used in this qualitative case study, (b) outlining

how to use the range of BA behaviors deliberately for nuanced situations, and (c) creating

adaptable educational written forms (job aids) and contextual supports for participants to

reinforce learning post-program. As will be discussed in later chapters, the structure of

the feedback session allowed peers to exchange subjective feedback along with BA's

relatively objective data. This provided support for the affective domain (e.g., Dirkx,

2001, pp. 67-68; Taylor & Marienau, 2016, pp. 294-296) of learning to take place, along

with the more obvious emphasis (in this literature review) on the cognitive (thinking) and

behavioral (doing) aspects of learning.

Yates (2017), one of Rackham's contemporaries and former colleagues, also took

BA's original 11-Cat system and added some different behavior categories, for a total of

15 behaviors. Her adaptations were made to customize BA for building the skills needed

to work effectively in business. Like Hipgrave (2016), she utilized the split behavior

category for "proposing" into proposing procedures and proposing content. She also

included seeking proposals and seeking information within the category of "seeking

information"/clarifying. In addition, she added back in from Morgan, Rackham and

Hudson's (1974, p. 256) early work a category called "open," which is similar to the

category of "giving feelings" mentioned by Hipgrave (2016), and means any open verbal

behavior that gives another person an indicator of what is going on inside the individual

speaking. Examples could include phrases like "My mistake, didn't mean to say that" or "I'm confused by what is happening here" (Yates, 2017, pp. 22-25).

In early scoping conversations with Rackham, in support of this present study, the researcher discussed the adaptations of BA by other practitioners (Rosati, 2016). He confirmed that BA was designed to be expanded and adapted by practitioners as the need arose. The 11-Cat system is the core engine, with a focus on behaviors that allow individuals to focus on initiating ideas, reacting to the ideas of others, clarifying others' information and perspectives, and managing the flow and airtime usage of the group. Depending on the situation, it would make sense to break down the categories even further into subsets. For example, in negotiation and influence, it is logical that the "seeking information" category would include subsets like "seeking reasons" (inquiry into the logic of another) or "seeking proposals" (gathering ideas, content, or suggestions from others), as Hipgrave (2016) relayed to the researcher.

Consistent with this, in a business meeting context, it is also important to have a category like "open" that would allow individuals to see when they provide a "non-defensive admission of mistakes or inadequacies" (Yates, 2017, p. 24). The category called "open" provides a way to capture and label a useful behavior. This allows the behavior to be used more deliberately by an individual who wishes his or her intentions to be known along with his or her behaviors. In returning to Section 1 of this literature review, the discussion of interpersonal communication effectiveness and the psychodynamic approach to leadership (Northouse, 2016), the behavior category called "open" would be an example of labeling a behavior that allows an individual to make known his or her intentions aligned with his or her behavior as others witness it.

BA used as a training method. At the beginning of the L&D program, participants are made aware of the data being collected and what each category means and are informed that they will see a snapshot of data part-way through. They then carry on with their activities, while the BA observer/tutor/facilitator tallies behaviors from the 11-Cat system (or any other adaptation of the 11-Cat system being used) for each of the participants every time one speaks. These behaviors are aggregated across activities and on Day 3, or halfway through the program, the first formal feedback session occurs (Rackham, 1971, p. 178). Therefore, Table 2 captures the flow of the participant feedback session.

Table 2

Process Steps for BA Feedback to Participants

1. ***Mid-program initial feedback*** (preliminary data feedback) given to participants	6. ***Planning*** a course of action on an individual basis
2. ***Self-examination of data results*** in small group, often with feelings of wonder, curiosity, fear, anger, guilt, shame, worry, defensiveness, hope	7. ***Acquiring knowledge and skills*** for implementing one's plans (*Note: This step can occur before or after step 8)
3. ***Critical assessment of written data*** and underlying assumptions about individual behaviors	8. ***Provisional trying*** of new behaviors (*Note: This step can occur before or after step 7)
4. ***Recognition*** that one's discontent with the data and the process of critical assessment and evaluation are shared with others in the small group	9. ***Building competence*** and self-confidence in trying new behaviors and the impact they have on relationships
5. ***Exploration*** of options for practicing new behaviors and identifying actions for the remainder of the program	10. ***Reintegration*** into one's life and reinforcement of new behaviors post-program

Participants are given an opportunity to reflect on their actions to that point and to synthesize the data with subjective data provided either by a formal 360, another assessment, and/or the comments of their peers in the program who have experienced them in the current training setting. They are informed that they will have another opportunity to see their data from the mid-point to the end-point of the training on the last day of the program. After that, they will take the feedback and the data in concert with the subjective data they have received and form individual developmental objectives for post-program (Rackham, 1971; Rackham & Morgan, 1977).

The final presentation of these quantitative data of airtime usage by individuals within the group, on the last day of the program, is followed by a qualitative feedback session between the other L&D program participants in the small group as well as with the recorder/observer/tutor. This session balances the hard statistics with contextual examples of when the various behaviors were experienced and the impact they had on others. The feedback is conducted in real time, with other participants able to provide input from their own experiences working with the participant who is receiving the feedback. This seems to bring both the quantitative and qualitative aspects of the feedback together in a logical and contextual sense-making way for participants (Rackham & Morgan, 1977; Rae, 2002, pp. 93-95).

Anecdotally, from this researcher's experiences with the BA method, the combination of quantitative statistics and qualitative feedback is powerful. It shows the number of times particular behaviors were demonstrated, along with feedback on how those behaviors were perceived by others working with them, and pairs the information with a practice of structured reflection by the participants. This provides a comprehensive

view for the participant. Moreover, when aligned with recent 360 feedback or other

assessment tool results, the picture created is compelling. In particular, the act of

reflecting on the data and providing an opportunity to practice new and different

strategies within the same context and audience seem meaningful. Some research studies

have indicated that these aspects are indeed impactful to learning (e.g., Bierema, 1999;

Daudelin, 1997), but further testing is required to suggest what role they play in the

overall efficacy of BA as a training method. For certain, the researcher has witnessed that

the contrast and/or consistency between what individuals *think they do* and what they

actually do with regard to communicating comes through clearly, and serves as a trigger

for greater reflection and, in some cases, targeted developmental action.

Various publications by Rackham and Morgan over the years (e.g., Morgan,

1979; Rackham, 1971, 1973; Rackham, Honey, & Sugden, 1971; Rackham & Morgan,

1977) have highlighted improvement statistics for participants in L&D programs where

BA was utilized. For the purposes of this review, these statistics are not considered or

reported because the scope of this review includes only the structure of BA and how it is

similar to PT (covered later in this review), and not the degree of its efficacy in achieving

particular or specified L&D program goals and objectives.

Critiques of Behaviour Analysis

The authors of the BA method consider it to be objective because it captures and

categorizes verbal behaviors demonstrated by others and recorded by a third party with

no affiliation to those being observed. In addition, the data collected, which only record

how many times a person demonstrates one of several identified verbal behaviors, are

then presented back to the person in a feedback session where the meaning making is

done by the person, not by the observer (Rackham & Morgan, 1977; Yates, 2017).

Rackham and Morgan (1977) framed it this way:

> The great thing about behaviour analysis is that it forces observers to simply observe while an interaction is going on. Furthermore, the objective record of behaviour which is produced requires relatively little interpretation subsequently by the observer—the participants themselves can interpret and draw most conclusions from the data, and this is much more acceptable to most. (p. 40)

Leslie Rae (2002), in *Assessing the Value of Your Training*, said this about BA:

> Behaviour analysis is probably one of the most objective methods of observation and analysis and has a wide and varied use. Observational research with this base has identified a number of appropriate approaches defined in behaviour categories. This research data can thus be compared with the results of other observations and the necessary conclusions made…. Behavioural observation and analysis can be introduced at the initial analysis stage, during training events to determine continuous change, and at the end of the training to identify any terminal change from the initial state. (p. 62)

However, the present researcher agrees with Rae and does not consider BA purely objective, only "relatively objective." The researcher therefore chose to ascribe the "relatively objective" descriptor to it whenever objectivity is mentioned. Further, while the BA observer/tutor/facilitator is indeed a third party, he/she makes a decision about the category into which to put the verbal behavior heard. While based on objective criteria, that decision is still subjective. In addition, it is possible that the BA observer/tutor/ facilitator, who is only human, could miss an occasional piece of data and misclassify another. While extensive training in the BA method and interrater reliability were priorities for the authors, these risks remain; thus, it is prudent to call BA "relatively objective."

Another criticism is that BA has not been extensively studied in the literature because it evolved from practice and not from the literature or from academic or theoretical roots. As a result, very little is known about its researched effectiveness in

doing what it does, other than from those who created it. For example, two of the main behavior categories in BA's 11-Cat system include seeking information (asking questions) and giving information (making statements). Subsequent research has indicated that the balance of advocacy and inquiry (how much of each behavior one does and in what ratio) is related to managerial effectiveness (Tompkins, 2001). Could BA have been useful as a methodology for collecting data for this type of research and providing feedback to those involved? Perhaps, but it has remained a largely unknown and rarely published practice.

In addition, behavioral observation is a time-intensive methodology (Bakeman & Quera, 2012, p. 208). BA, in its original design, is a manual process and requires a multiple-day training program to administer properly, something that is becoming less and less common as organizations migrate from 3- to 5-day programs towards just-in-time training and modular formats. Could BA be utilized in shorter formats? Certainly, it could, although the impact on its efficacy is unknown. Could artificial intelligence and other forms of automated technology assist in the manual collection of the data? Perhaps, yes. This review did not attempt to explore what would need to happen for BA to be modernized and widely marketed, but only noted that in its current form, BA presents complex L&D training format and setting requirements.

Finally, another criticism of BA, which may apply to any form of quantitative coding of qualitative data, relates to the contextual nature of verbal interaction and the interval nature of quantitative data collection. BA categorizes verbal behaviors as they occur but does not account for "why" they occurred, or in response to what stimuli. BA ignores the context and *content* of the conversation in favor of capturing the *process*

of the conversation being observed and counting the behaviors. Moreover, as previously noted, BA does not capture elements of nonverbal communication at all—a critique that could have significant implications for the overall effectiveness of BA as a training method.

Gnisci et al. (2008) suggested that giving each data point recorded an equal weight in such a quantitative way can perhaps overlook the nested nature of "turns of talk" (p. 22). A tally of behaviors between two parties being observed in conversation is just a tally of behaviors observed, and without the qualitative feedback that only those who participated in the conversation can provide, it can be easily taken out of context. In the delivery of BA as a training method, qualitative and subjective "when you said this, here is how I took it" feedback from those within the experience is integral to the method and can guard against this criticism. However, it is noted that quantitative tallies of behaviors need to be matched with their qualitative contexts to be understood effectively (Bakeman & Quera, 2012; Gnisci et al., 2008).

Other Observational Feedback Methods

To situate BA, which evolved from practice, in a field of more academically researched and tested approaches and methods, it was necessary to identify a category for it. The researcher chose to align it with observational feedback methods. This decision was made because at its core, BA is a language and behavioral categorization system and process that is a result of direct observation. Even though BA is *used* as both a training method for improving communication and interactive skills and as a short-cycle evaluation method, it is a form of observational feedback from an ontological perspective

of *"what it is."* The following section presents a search of the literature on observational feedback methods and discusses the alignment of BA with those methods.

Behavioral observation. Bakeman and Quera (2012) discussed a variety of approaches to the field of behavioral observation, with emphasis on proper coding and determination of the unit of analysis. Writing together with Gnisci, they also highlighted the interplay between the quantitative aspects of behavioral observation and the qualitative nature of the interaction being observed (Gnisci et al., 2008). To be effective, both must be recognized and they can work together in concert. BA, as described herein, attends to that.

Other studies were consulted in which one or another form of behavioral observation (live, video, and/or audio) was utilized across disciplines and fields (medical, corporate, higher education). In consulting the literature, the researcher chose to include samples where either a corporate or an educational/training context similar to BA was evident. In a study most similar to BA, Roter et al. (2004) looked at using airtime and open-ended questions, responding to others, and building effective communication and interactive skills via an automated data-mapping tool. Participants had positive perceptions about the method contributing to an increase in their individual skills (Roter et al., 2004). Similarly, Regan-Smith, Hirschmann, and Lobst (2007) noted that an observation study with written feedback provided an effective means of individualizing development and improving the teaching of "micro-skills" (p. 278).

Reflection and observational feedback. An important component of BA as a methodology is reflection. Daudelin (1997) studied 48 managers in Fortune 500 companies to understand the impact of reflection on amount of learning in L&D settings,

with positive correlations found, including that reflection with others can build trust. Other researchers found that peer reflection can lead to building a support network that aids in future (post-program) development (e.g., Bierema, 1999; Shortland, 2010; Sullivan, Buckle, Nicky, & Atkinson, 2012). Pelgrim, Kramer, Mokkink, and Van der Vleuten (2013) found that reflecting on trainer feedback also had a positive impact on learning and development planning. Ryan, Brutus, Greguras, and Hakel (2000) noted the distinctions between *developmental* feedback (the kind one gets in relation to growing skills and developing abilities, which is often delivered informally on-the-job or in a training setting) and *performance* feedback (the kind one gets in a job-related performance review, which is often delivered by a manager).

Ryan et al. (2000) also suggested a link between self-awareness and receptivity to feedback. Carroll (2010) mapped out six levels of reflection that can be observed, identified, and operationalized, and then practiced and improved via coaching for individuals at each level. Consistent among all these sources consulted, and also with the literature selected for Section 1: Leadership Effectiveness and Interpersonal Communication, is a theme of reflection leading to increases in self-awareness and subsequently to improved leadership effectiveness.

Patterns Across Behaviour Analysis and Other Observational Feedback Methods

The patterns evident across these studies include the use of relatively objective data and feedback methods (either live observation by a third party or video or audio recordings), the use of reflection as a tool for sense making of the feedback, contextual placement of the feedback, and questions raised about the role self-awareness plays in development. These are all elements in BA as a training method.

On this topic, Yates (2017) drew a parallel between BA and "Four Stages for Learning New Skills," which is the work of Noel Burch (Burch, in Yates, 2017, pp. 37-38). The four stages begin with *unconsciously unskilled*, where one is unaware of one's behavior or its impact on others. Next comes *consciously unskilled*, where one has been made aware of one's behaviors and the impact on others. This is followed by *consciously skilled*, where one acts to practice new skills and learn new behaviors. The last stage is called *unconsciously skilled*, where those new patterns of behavior have replaced the old at a subconscious operating level (p. 38). "The 'Feedback' phase of the Behaviour Analysis cycle (Observation, Feedback, Action, Impact) is the mechanism by which you gain that awareness and is a critical stage of your development" (Yates, 2017, p. 38).

Some consider self-awareness to be a key component of leadership (e.g., Lombardo & Eichinger, 2001; Northouse, 2016), and increased capacity for reflection and self-awareness seems to link to more nuanced and sophisticated adult development levels (e.g., Harris & Kuhnert, 2008; Helsing & Howell, 2013). It appears that observational feedback methods, from the studies consulted, may provide one avenue for increasing self-awareness and reflection; they also provide the opportunity (if not the ability) to look critically at one's behavior in a training setting.

Section 3: Transformative Learning and Perspective Transformation

This section of the literature review examines: (a) transformative learning, (b) perspective transformation, (c) how transformative learning has evolved and been adapted by other scholars over 40 years, and (d) implications for data collection when considering perspective transformation and transformative learning in the research

design. Wherever possible, research studies that have demonstrated specific L&D

training methods, outcomes, and/or links between L&D training programs and increases

in self-awareness, reflection, and/or meaning making were considered and included.

Transformative Learning

Organizational systems thinking teaches us that a perturbation or jolt to an

organizational system, whether from internal or external sources, can act like a catalyst to

launch a chain-reaction series of changes to that system (Burke, 2011). If one considers

that an individual human is in fact a micro-system, then many of the same principles of

organizational change theory may apply. In his work with perspective transformation,

Mezirow (1978, 2003) essentially depicted (cognitively, at least) what that change

process looks like at the individual level, and he called the perturbation that launches it a

disorienting dilemma.

Perspective Transformation

Mezirow depicted 10 steps to perspective transformation, as presented in Table 3,

condensed by the researcher into a double-columned table rather than listed vertically. To

understand perspective transformation, it is important to look first at Mezirow's broader

metatheory (Hoggan, 2016; Mezirow, 2003) of transformative learning. Essentially,

transformative learning illustrates (cognitively and procedurally) how the human self/

brain filters, categorizes, and structures meaning making, or one's own individualized

internal logic. It is how people make sense of the world around them; what happens to

them; where they place themselves in an ongoing storyline; and what meanings,

intentions, and representations they assign to the experiences and events they encounter

(Rosati, 2016).

Table 3

Mezirow's 10 Steps for Perspective Transformation

1. ***Disorienting Dilemma***	6. ***Planning*** a course of action
2. ***Self-examination*** with feelings of fear, anger, guilt or shame	7. ***Acquiring*** knowledge and skills for implementing one's plans
3. ***Critical assessment*** of assumptions	8. ***Provisional trying*** of new roles
4. ***Recognition*** that one's discontent and the process of transformation are shared	9. ***Building competence*** and self-confidence in new roles and relationships
5. ***Exploration*** of options for new roles, relationships and actions	10. ***Reintegration*** into one's life on the basis of conditions dictated by one's new perspective

Meaning perspectives and meaning schemes. Mezirow broke this concept of

meaning making into two areas: *meaning perspectives* and *meaning schemes* (Hodge,

2011; Mezirow, 1978, 2003). *Meaning perspectives* are more permanent as they are

formed over periods of time and are often uncritically accepted by a person's ego. These

meaning perspectives become the foundation of an individual's collected experiences,

biases, cultural baggage, and so on. They form the filter through which people learn to

question (or not question) their own assumptions, future learning experiences, and the

world around them (Hodge, 2011; Mezirow, 1978, 2003).

The second structure, *meaning schemes*, is about the points of view that people

accumulate and form in response to external (and internal) triggers and stimuli. To help

draw a distinction between these two, an example of employment can be used. A change

in meaning scheme would look like changing jobs and working for a different company

because an individual disagreed with the policies, perspectives, or circumstances of his or

her current employer, and that individual changed his or her mind about where he or she

wanted to work. A change in meaning perspective would fundamentally change what that

same individual did for a living or how he or she engaged with the concept of work in the

first place, because he or she no longer subscribed to the foundational philosophy and

values of working for someone else.

In the first case, the individual would have still subscribed to what he or she was

doing career-wise. The individual would have just had a different point of view on where

he or she wanted to work now. In the second case, that individual's perspective on work

would have changed and he or she no longer would want to do what he or she was doing

before, likely because that no longer supported his or her shifted values, perspectives,

and philosophy. According to Mezirow, a change in meaning perspective would be

considered "transformative" (e.g., Hodge, 2011; Hoggan, 2016; Mezirow, 1978, 2003).

Moreover, a disorienting dilemma typically starts off that chain reaction, just like a

perturbation or jolt to the system. This would occur by getting behind the ego and

reaching the underlying, untested assumptions.

Perspective transformation as a cognitive process. In a broad sense, this

change process of transformative learning starts off with having one's experiences, then

critically reflecting on them, followed by entering into some form of rational discourse

(either within the self or with others or both); then the individual would take action. The

10-step process for perspective transformation, as outlined previously in Table 3,

includes: (a) a disorienting dilemma, which is an event, trigger, or other stimuli that

causes individuals to begin to question the assumptions of their more deeply held meaning perspectives. Then, individuals typically (b) experience an emotional reaction or response, which can include fear, shame, guilt, and/or anger, as they (c) critically assess their assumptions by asking, "We held those assumptions for so long, how could we have missed this?" and "What does this mean for us?" These types of questions are followed by individuals (d) looking around and realizing they are not alone and others may have had similar experiences. This signals that it is (e) okay to explore options for another way of thinking. Individuals then (f) plan for, (g) acquire new skills and knowledge for, and (h) provisionally try out new ideas. They gradually (i) build competence, and then confidence, in their new meaning perspective and, finally, (j) reintegrate that new meaning perspective into their way of being (e.g., Hodge, 2011; Mälkki, 2012; Mezirow, 1978, 2003).

Aligning Behaviour Analysis and Perspective Transformation

In this section, BA as a training method is compared to perspective transformation as a process for cognitive behavioral change to see whether and how they align. The idea that a training methodology has the potential to spark a chain reaction resulting in sustained behavioral change is exciting. It is clear that not enough has been studied about BA, or observational feedback methods, to determine if that is the case. However, there appear to be some similarities in how the processes of BA and perspective transformation align structurally; if similar structure is an indicator of sameness, then perhaps further testing is warranted.

Structural similarities between BA and perspective transformation. The disorienting dilemma aspect of BA is the first look at the feedback, occurring about mid-

point through the training program. Participants are often startled to realize they have

never thought to count how many times during a conversation they behaved in a

particular way. For example, how many times did they interrupt someone else, ask

questions, give information, and the like? From there, the process follows typically (with

the corresponding perspective transformation step in parentheses): (a) feedback

presentation to the group, with numbers of behaviors by category, shared to see patterns

and outliers (disorienting dilemma); (b) participants find themselves in the data, and

individual realizations of how they used their airtime are met with humor, horror,

uncertainty, curiosity, and a host of other reactions (self-examination); then (c)

participants are encouraged to reflect on their individual results, which are provided to

them in written format (critical assessment). In Table 4, the researcher presents a

reformatting of Tables 2 and 3 from the previous sections to facilitate seeing them as

side-by-side processes.

Following this initial look at their data, participants begin to (d) look around and

realize they are not alone; everyone in the group has a similar piece of paper and has had

a similar experience, even if their data are different (recognition of shared experience).

Participants are then encouraged to (e) explore alternative strategies for the remainder of

the program to see if different results are possible (exploration of options). At this point,

self-reflection and discussion with each other often ensue, and these include (f) planning

a course of action (planning); (g) acquiring new skills and knowledge (acquiring); and

(h) trying out new behaviors (provisionally trying), although this typically happens in the

6-8-then-7 sequence during the program itself, with acquiring new skills and knowledge

being the result of trying something new. An additional look at the data on the final day

Table 4

Structural Similarities Between BA and PT

BA Feedback Process Steps	PT Process Steps
1. ***Mid-program initial feedback*** (preliminary data feedback) given to participants	1. ***Disorienting Dilemma***
2. ***Self-examination of data results*** in small group, often with feelings of wonder, curiosity, fear, anger, guilt, shame, worry, defensiveness, hope	2. ***Self-examination*** with feelings of fear, anger, guilt or shame
3. ***Critical assessment of written data*** and underlying assumptions about individual behaviors	3. ***Critical assessment*** of assumptions
4. ***Recognition*** that one's discontent with the data and the process of critical assessment and evaluation are shared with others in the small group	4. ***Recognition*** that one's discontent and the process of transformation are shared
5. ***Exploration*** of options for practicing new behaviors and identifying actions for the remainder of the program	5. ***Exploration*** of options for new roles, relationships and actions
6. ***Planning*** a course of action on an individual basis	6. ***Planning*** a course of action
7. ***Acquiring knowledge and skills*** for implementing one's plans (*Note: This step can occur before or after step 8)	7. ***Acquiring*** knowledge and skills for implementing one's plans
8. ***Provisional trying*** of new behaviors (*Note: This step can occur before or after step 7)	8. ***Provisional trying*** of new roles
9. ***Building competence*** and self-confidence in trying new behaviors and the impact they have on relationships	9. ***Building competence*** and self-confidence in new roles and relationships
10. ***Reintegration*** into one's life and reinforcement of new behaviors post-program	10. ***Reintegration*** into one's life on the basis of conditions dictated by one's new perspective

of the program provides (i) an opportunity to begin to build competence and confidence via discussion with peers on how to move forward from this experience, share feedback, and form development planning for the future (build competence and confidence).

What does not take place within the confines of the training program is step 10, the full reintegration into one's meaning perspectives of the new perspective. As perspective transformation would indicate, this can only happen over time and with further reflection. A discussion about how the steps occurred in this qualitative case study will be covered in Chapters IV and V.

More Recent Interpretations and Applications of Mezirow's Theory

A number of scholars have looked at perspective transformation and transformative learning critically, with an eye towards the practicalities of its applications. Mälkki (2012) looked at the disorienting dilemma in times of crisis, when a methodological and cognitive step-by-step plan may be less accessible. Stuckey, Taylor, and Cranton (2013) sought to develop a quantitative survey that facilitated assessment of outcomes and processes of transformative learning. Looking specifically at management development, Hodge (2011) studied the disorienting dilemma that participants experience in a Vocational Education Training (VET) program; they discovered that the best-practices content of the program differed with their own experiences of managers on the job. Lundgren and Poell (2016) looked to operationalize transformative learning and perspective transformation to enable Human Resources and L&D professionals to access and utilize both more easily.

With a road map like perspective transformation, and as Hodge (2011) and Lundgren and Poell (2016) endeavored to do, one can begin looking at L&D programs

more critically. The more one knows about *how* one changes, processes, and challenges one's own assumptions, the more one can make those changes visible, deliberate, lasting, and meaningful. With a step-by-step plan for operationalizing change processes at the meaning perspective level, one can potentially and intentionally, almost prescriptively, address lasting behavioral change in an L&D setting.

To this end, still other scholars and practitioners have contributed to the ongoing discussion by challenging Mezirow's proposed sequencing of steps. Some have suggested reconfigurations and modifications that align with lived experience (Nohl, 2015); known psychological processes (Kucukaydin & Cranton, 2012; Mälkki & Green, 2014); and adult development stages (Kegan, 1982, 2009). Others have recategorized aspects of Mezirow's theory and/or added empirical evidence that suggests a less deliberate cognitive process and more of a retrospective sense-making journey (e.g., Dix, 2016; Hodge, 2014; Hoggan, 2016; Nohl, 2015). These adaptations have significance for data collection as well as for L&D program design that attempts to simulate perspective transformation and measure afterwards if it happened. Therefore, each is discussed in some detail here.

Social practice considerations in learning. Hodge (2011) studied Australian Vocational Education Programs (VET), which were largely competency-based. He found that formal VET managerial training was suited for assisting with shifts in meaning schemes, but not necessarily for making shifts in meaning perspectives (Hodge, 2014, pp. 166-167). Yet, the participants in his research studies referenced social practices, the work communities of professionals to which they belonged, and the expectations of their superiors (those in more senior roles) as influencers for making shifts in meaning

perspectives. This drew Hodge to look at the Practice-based Theory of Learning (PBL), which originated in Lave and Wenger's (1991, in Hodge, 2014) work with "situated learning" (p. 166), and to explore any relationship between PBL and transformative learning.

This theory of PBL suggests that participation in social practices is needed to understand learning (for example, novice, apprentice, and expert levels of skill). Moreover, people subsequently follow a "trajectory of participation" (p. 169) in these social practice settings linked to mastery and their skills become sophisticated over time. Membership in these social learning practices comes with defined entry and exit points (p. 167), with full membership in the "community of practice" achieved when "the participant is a competent practitioner" (p. 169). Hodge (2014) took somewhat of a chicken-or-egg (what comes first) view on transformative learning and PBL. He suggested that transformative learning and PBL may be complementary, even as he highlighted the role that social practices play in how individuals learn. Hodge ultimately proposed transformative learning as an "inter-process" phenomenon (p. 178).

As Mezirow originally depicted transformative learning, and perspective transformation as a subset of transformative learning, it is an internal cognitive process where one individual (or set of) assumption(s) is (are) released in favor of the acceptance of another (or set of) assumption(s). Essentially, according to Hodge (2014), it is an "intra-process" occurring within the individual in relation to his or her experience with the world (p. 166). Hodge's research opened the door for looking at the external processes and contexts that aid, support, facilitate, and perhaps even co-star alongside the internal mental processes for shifting meaning schemes and meaning perspectives.

Specifically, it poses the question: How does context matter? Does the situation in which an individual finds himself or herself play a role in the transformation, and if so, what role does it play? Practice-based Theory of Learning (PBL) would argue that interaction with others is critical to transformation, but transformative learning does not necessarily take that defined a stance (p. 172).

For the present qualitative case study, the concept of looking at transformative learning via an inter-process lens, instead of only as an intra-process, has significance. BA is a group-based training method. The perceptions of the mid-level leaders who experience it in a group-based training program may reflect in similar ways as the participants in Hodge's (2011) study. They could possibly attribute some of their perceptions of their experiences with BA to the group setting structure and processes in addition to, rather than instead of, the method itself.

Think bigger. Hoggan (2016) reclassified transformative learning to think about it more broadly as a "metatheory" (p. 63) or umbrella, rather than as it has been viewed predominantly in the literature as a definitive statement about how people learn and grow cognitively. More specifically, Hoggan indicated that "Mezirow's theory of perspective transformation is a theory. However, in broadening the scope of his theory and opening it up to other perspectives, Mezirow set the stage for transformative learning to operate as a metatheory rather than a specific theory" (p. 63). This bigger characterization of transformative learning allows critics to access alternative ways of conceptualizing transformative learning as "both/and" versus being excluded from transformative learning via a binary "either/or" view. Hoggan's research widened the lens on transformative learning and allowed room for multiple viewpoints and considerations,

which seems in line with Mezirow's original intentions that transformative learning could be taken up and expanded by others (Hoggan, 2016).

Dix (2016) also took a broader look at transformative learning, focusing on the concept of meta-cognition in transformative learning. He encouraged scholars and practitioners to take a less literal view of Mezirow's theory (p. 140). The strength of Dix's argument, much like the arguments of Hodge and Hoggan, is to consider alternatives and not limit the discussion of transformative learning to purely intrapersonal cognitive and mechanistic steps.

As discussed in the Definition of Terms section in Chapter I, transformative learning sits in the field of Adult Learning. Dix's view moves the discussion beyond adult learning and towards the field of Adult Development by highlighting the links between Kegan's (1982, 2009) constructive developmental theory and transformative learning. Taking a metacognitive view and considering constructive development theory, Dix (2016) stated, "to learn a new *way* [emphasis in original text] of conceiving and knowing makes possible new forms of discovery, critique and creativity, and thereby transformation of self-conception also" (p. 155). Constructive developmental theory and its implications for studying BA are discussed in the next section.

Taking a generally broader meta-view of transformative learning has implications for the present qualitative research study. BA emerged out of practice, not research, and serendipitously aligns in procedure with perspective transformation. A broader view of transformative learning as an umbrella (Hoggan, 2016), and thinking about metacognition and how shifts occur not only in adult learning but also in adult development (Dix, 2016), widens the discussion of transformative learning to include alternative ways of knowing

and attaining transformation, and beckons a closer look at practical training methods like BA. Further, much of the literature reviewed on transformative learning in preparation for this qualitative case study seemed to take a definitive, narrow, and binary view of Mezirow's theory, as Dix suggested. Therefore, the researcher specifically chose to discuss literature that challenged that historically prescriptive perspective. This was done in an effort to shine a light on what taking a "both/and" view (rather than an "either/or" view) could provide for understanding the evolution and application of Mezirow's theory.

Constructive developmental theory. In the researcher's review of the literature, many scholars have cited Kegan (1982, 2009) for advancing the discussion of transformative learning by linking it to levels of maturation in adult development. Kegan is most known for his constructive developmental theory, which focuses on shifts in the ability to separate subject (self) and object (other) within an individual (e.g., Erickson, 2007; Eriksen, 2006; Harris & Kuhnert, 2008; Helsing & Howell, 2013; Hodge, 2011; Hoggan, 2016; McCauley et al., 2006). Kegan took Piaget's child development stage work and expanded it beyond the adolescent to show how people develop across the lifespan. Constructive developmental theory illustrates a five-stage model for how adults *construct* meaning and view reality, and then subsequently *develop* the ability over time to see themselves and their circumstances more objectively than subjectively (Kegan, 1982, 2009). Research has shown that two of Kegan's levels of constructive developmental theory are particularly relevant to L&D programs: the socialized (externally aligned) and self-authoring (internally aligned) levels (e.g., Erickson, 2007; Kegan, 1994, in Helsing & Howell, 2013, p. 187).

In a nutshell, Kegan's theory posited that the more one is able to separate oneself (subject) from one's story (object), the more sophisticated one's level of adult development will be (Helsing & Howell, 2013; Kegan, 1982, 2009). Reflection and self-awareness are key ingredients in making the ascent from level to level (Harris & Kuhnert, 2008; Helsing & Howell, 2013; Kegan, 1982, 2009). As Helsing and Howell (2013) stated, "Leadership effectiveness correlates with higher levels of (adult) development, in that those with more complex capacities are better able to handle the most complex leadership challenges, and individuals who undertake personal development increase their capabilities for effective leadership" (p. 187). In their comprehensive review of the literature on constructive developmental theory, McCauley et al. (2006) called out for more research on what fosters the developmental movement of individuals, regardless of level, thus noting that a correlation may exist between leadership effectiveness and the adult development level.

A number of research studies were consulted to situate constructive developmental theory in corporate settings. Helsing and Howell (2013) looked at assessing leadership potential by identifying the adult development level in a sample of 32 global professionals at the World Economic Forum. Harris and Kuhnert (2008) studied 74 executives across industries to determine if the adult development level via constructive developmental theory correlated with 360-degree feedback results. Erickson (2007) looked at 20 instructors in retirement planning programs for indicators of the adult development level and its impact on transformative learning, going so far as to provide an illustration of what perspective transformation might look like for those at both the socialized and self-authoring levels (p. 78).

All three of these studies found some correlation between higher levels of adult development and increased leadership/managerial effectiveness. All three used Kegan's Subject-Object Interview (SOI) protocol as a method for gathering data in their studies (Erickson, 2007; Harris & Kuhnert, 2008; Helsing & Howell, 2013). While three studies are only a sample of research, they may be enough to suggest looking more closely at how one can move from one level of adult development to another, and what role perspective transformation plays in triggering—and ultimately facilitating—that movement in corporate L&D settings.

The link among transformative learning, perspective transformation, and constructive developmental theory is particularly interesting for this qualitative case study because BA is set up as a triggering effect on reflection. The data presented to mid-level leaders in the training program are quantitative, offering a literal list of how many times the mid-level leader verbally behaved in a particular way (often received as a jarring event). The structure of the training encourages reflection and self-awareness, both of which are critical to building leadership effectiveness and ascending to higher levels of adult development, according to the literature. Finally, linking adult learning and adult development in the corporate setting may hold a key to measuring the effectiveness of training if shifts from level to level of adult development can be determined to be the result of the training as a triggering event or fostering element.

Reflection, liminality, and shifts in meaning making. Mälkki and Green (2014) focused on liminality (the in-between spaces) and taking a micro-process view of transformative learning to view it effectively in the first person, as a phenomenon rather than as an outcome to be measured afterwards (p. 6). Taking a present-tense view when

looking at transformative learning highlights the process itself as well as the various aspects of the process of transformation that could have relevance to those who seek to foster or support transformation in others (teachers, L&D program designers, parents, therapists, and the like) "in the lived, educational moment" (p. 6). Mälkki and Green aligned their views with Kegan (1982, 2009) regarding phases of adult development linked to the subject-object relationship. They also promoted a concept of transformative learning that focuses on what it feels like, emotionally, to navigate liminality between temporal states of beliefs, assumptions, and uncertainty.

Mälkki and Green (2014) highlighted a number of considerations worth noting about the 30 or so years of discussion in the literature about transformative learning. They asserted that one can learn more about what transforms by looking at the process itself rather than at the outcome (p. 6). The disorienting dilemma does not always occur at the beginning of a transformative learning process (p. 11). The nature of transformative learning focuses on letting go of one assumption and taking up another, but it "places little emphasis on the psychic turmoil that it necessitates" (p. 7). Transformative learning is more a journey through limbo or liminality than the defined, predictable, and clean procedural surety that Mezirow's 10-step process of perspective transformation depicts (p. 7). The ego plays a bigger role than it gets credit for playing in the process (p. 9). Perhaps most importantly, the authors also suggested "traditional education considers itself to be an epistemological enterprise, whereas transformational learning is ontological in nature" (p. 11). This recalls the previous discussion about transformative learning being an internal process, often taking place in an external context. Further, the authors stated:

It is not surprising therefore, that teachers and instructors consider ontological change or "shape shifting" to be beyond the pale of both their mandate and their expertise. We suggest that the supportive function of the educator will be facilitated if they understand that the transformational change involves contestation between conservative and creative impulses. (p. 11)

Mälkki and Green further proposed a reframing of the role of the facilitator in transformative learning to "accompanist" (p. 17), which fundamentally changes the role of the facilitator. The facilitator could "just be with the student's liminal experience" and practice a "willingness to be present" (p. 17). The journey through liminality, if looking at transformative learning from the viewpoint of the person going through it, is characterized by uncertainty, anxiety, and potentially chaos (p. 17) because former operating assumptions are shuffled or dismissed in favor of new ones that are at best untested. In returning to the research on coaching, where the problem and the solution both lie within the individual (Kimsey-House et al., 2011), then it is possible to view this reframing of the facilitator role as an opportunity to practice coaching, witnessing, relating, and supporting.

These are consistent characteristics of the facilitator role in the BA training method. In BA, the facilitator helps the participants make sense of their own data and results within their own contexts. He or she creates safe spaces to explore the letting go of previously held practices, skills, and beliefs about interpersonal communication and the awkward initial practicing of new ones. The facilitator also recognizes that change is a process of navigating uncertainty, which shows up differently depending on the individual going through it.

Five phases of the transformation process. What actually transforms people? Further, why do certain events that are universally accepted as transformational (birth of

a child, death of a loved one, divorce, homelessness, sudden loss or disability, moving

house, enlightenment, joy) seem to trigger transformation in people so differently, or not

at all? One of the key limitations of studying transformative learning outcomes, and

specifically perspective transformation, is the very nature of how it is studied.

Researchers have measured it from the vantage point of a reinvented and reintegrated

biography (e.g., Mälkki & Green, 2014; Nohl, 2015). In other words, only *after* the

transformation has occurred—via reflection, perception, and meaning making that occurs

from the individual's new meaning perspective—can an individual determine what the

triggering disorienting dilemma was and which path of transformation was taken.

Perspective transformation is not an anticipatory endeavor, where transformation can be

planned in advance. What about the seemingly chance encounters in life and the

incidental and incremental nature of learning? Where do these concepts fit within

perspective transformation or transformative learning overall?

Nohl (2015) explored this particular avenue of transformative learning by

suggesting that there is an alternative way to explore perspective transformation paths

with individuals, "across social groups and topical terrains" (p. 35). He also suggested

that the disorienting dilemma, while pronounced at certain times with some individuals,

can be more of a nondescript event or chance encounter with something new that takes

root only later on (p. 36).

> The actors actually may not even explicitly know that what they practically
> went through was a transformative learning process and how the latter began. The
> researcher's and not the actor's task is to identify and explicate this process in
> which the core life orientations are transformed. (p. 38)

Further, this second point—that the researcher's job is to explain and describe the

transformation—allows for taking a closer look at the difference between how

perspective transformation has traditionally been depicted (Mezirow's 10-step process)

and the more organic way in which research study participants typically describe their

own transformations in life (e.g., Mälkki & Green, 2014; Nohl, 2015).

To this end, Nohl (2015) proposed a model of the transformation process that

consists of five phases:

> The transformation process begins with a (1) nondetermining start and
> continues with (2) a phase of experimental and undirected inquiry and a (3) phase
> of social testing and mirroring. The process is boosted during a (4) shifting of
> relevance and, finally, leads to (5) social consolidation and the reinterpretation of
> biography. (p. 39)

Mezirow's 10-steps of perspective transformation can still be seen as a thread throughout

these five phases, yet Nohl's model also reflects the expansion and evolutionary changes

of how perspective transformation and transformative learning have been viewed in the

literature. Specifically, the literature has suggested that reflection cannot be done in an

anticipatory way but only by looking backwards, and by default then through a changed

(even if subconscious) lens. Meaning perspectives have already shifted when the

individual talks about the thing that shifted them, which Nohl (2015) and Mälkki and

Green (2014) suggested points to a flaw or challenge in the structure of the thinking

about perspective transformation as a cognitive process. Who can say for certain that the

disorienting dilemma happens up front? In the telling of the story afterwards, the

disorienting dilemma may be reported up front, as the individual can trace from his or her

new meaning perspective the time, place, and/or event to which he or she has attributed

the triggering properties. However, this does not necessarily mean it happened that way

at the time when old meaning perspectives were still in place. At that time, it could have

been just an ordinary Tuesday.

This different view of perspective transformation does not negate the existence of the disorienting dilemma, only its placement at the beginning of the process. Nohl (2015) stated as follows: "The process of transformative learning begins when novelty, neither anticipated nor planned, breaks into life. The new occurs abruptly" (p. 39). Nohl ultimately suggested that individuals do not know what *will* transform them, only what *has* transformed them. Moreover, that assessment will continue to shift as their subsequent meaning making evolves over time (p. 45).

Beyond the contribution to the broader discussion about the evolution of transformative learning over 40 years, the greatest value of Nohl's (2015) model for this researcher is a practical coding scheme to look at the experiences of training program participants. The design of this qualitative case study included looking at how program participants perceived BA within the context of the year-long cohort-based training program they experienced. The study participants took this program anywhere between 2 months and 3 years prior to the interviews. Nohl's model allowed the study participants to describe their biography as it related to interpersonal effectiveness, communication skills training, and BA. Moreover, it gave the researcher a way to consider coding those experiences, via a timeline, for potential mapping to perspective transformation. This approach is expanded later in the conceptual framework section of this chapter, and again in Chapter III.

Summary Thoughts on Perspective Transformation Four Decades Later

While the literature selected is by no means exhaustive and was chosen specifically for its relevance for this particular qualitative case study, it is clear that an evolution has occurred in the thinking about transformative learning and perspective

transformation over the last several decades. The expansion of thinking about

transformative learning as a metatheory (Hoggan, 2016) offers a bigger lens for looking

at what transforms more holistically rather than just focusing on cognitive shifts. Kegan

(1982, 2009) and others have made connections between perspective transformation and

adult development level, thus opening a bridge between the fields of education and

psychology that permits potential access from where learners are in their meaning-

making sophistication when engaging in a training program. Hodge (2011, 2014) has

shown the role that informal learning and social practices can play in transformative

learning and perspective transformation. The triggering definitiveness and placement of

the disorienting dilemma have some flexibility about where the disorienting dilemma sits

in the process and that it may work more like a perturbation than a revelation (Mälkki,

2012; Mälkki & Green, 2014; Nohl, 2015). Finally, Nohl (2015) suggested a

reorganization of the perspective transformation steps to reflect how people report

experiencing and perceiving transformation, which makes capturing, coding, and

determining the occurrence of transformation potentially easier for the researcher. In the

next section, the implications of these researchers' work for data collection are discussed.

Implications for Data Collection

The implications for data collection in this qualitative case study are varied.

They relate primarily to the variable nature of humans, the trickiness of reflection, the

intricacies of perspective transformation, and the general tenets of qualitative research.

For example, how does the mid-level leader know if perspective transformation has

occurred if it can only be realized afterwards from a reorganized biography? This points

to Nohl's (2015) view that it is the task of the researcher, not the actor, to determine if transformation has occurred. A similar implication occurs with improved interpersonal effectiveness. One can only make those realizations via reflection, and that is contingent upon self-awareness and the ability to reflect, along with potentially the unknown underlying adult development level, as Kegan (1982, 2009) indicated.

Another implication concerns the perceptions of BA, and particularly if only seeing 2 hours of BA data. The method was designed originally to run across 3 to 5 days of training, with a midpoint check-in of data review and a final day of reflection and application. The structure of the current subject organization's L&D program only provides for spending a half-day on BA and only 2 hours of actual data collection. How does this affect perceptions?

Further, and as noted earlier, BA only collects verbal behavior, which is a limitation of the method. While the researcher did not set out to study how this limitation might affect results, it is important to note that it could have affected results in meaningful ways. Some of the ways in which only capturing verbal behavior could impact data collection include: (a) missing out on the meaning and messages conveyed by nonverbals in interpersonal communication; (b) how capturing and coding nonverbals could potentially impact the overall balance of advocacy and inquiry demonstrated by program participants; and (c) how nonverbals can be used to demonstrate empathy, presence, focus, and interest in a conversation. The structure of the feedback session attended to some of these concerns by providing in-the-moment calibration of the verbal behavior data collected against the subjective feedback of the other program participants in the group. However, for future study, research, and use of BA beyond this present

qualitative case study, it is noted that the lack of attention to nonverbals in communication presents a limitation, despite BA's many strengths.

Finally, and perhaps logistically imperative, how can Nohl's (2015) five phases of the transformation process framework be used to apply perspective transformation to this situation as well as the interviews, data collection, and coding? Nohl's framework has a practicality that the researcher finds attractive, primarily because it allows a mid-level leader to be met where he or she is; the story is what it is, and how it is coded becomes the researcher's task. To this end, the conceptual framework for this qualitative case study is outlined in the next section, and how it informed the actual interview protocol is discussed in Chapter III.

Conceptual Framework

The conceptual framework for this qualitative case study draws upon four theoretical inputs and one emerging insight. The theoretical inputs are (a) Argyris and Schön's (1974) seminal work on espoused theory and theory in use and transitioning from Model I (advocacy) to Model II behavior (inquiry) and (b) their Action Science model (1974, 1996) as it relates to communicating with others; (c) Festinger's (1957) psychological concept of cognitive dissonance; and (d) Nohl's (2015) five phases of the transformation process. The emerging insight comes from this literature review, namely the structural alignment of Mezirow's (1978, 2003) perspective transformation and Behaviour Analysis (BA), and how together they represent the thinking, doing, and affective processes of behavioral change. How each of these inputs contributes to the

conceptual framework is detailed in turn in this section. The evolution of this conceptual

framework over the course of the study will be discussed in Chapter III.

Transitioning From Model I to Model II Behavior

The researcher chose to focus on just a section of the theory about moving from

Model I behavior, which is largely about advocating one's own views, towards Model II

behavior, which is largely about co-creating the communication experience with another

party (Argyris & Schön, 1974). The piece that is pertinent to this discussion is the

transition process the authors outlined—specifically, the mechanical steps or process

flow for how people make a shift from an advocacy stance to an inquiry one, in service of

more balanced communication that involves both. Figure 2 illustrates Argyris and

Schön's (1974) flow diagram for Model II behavior change.
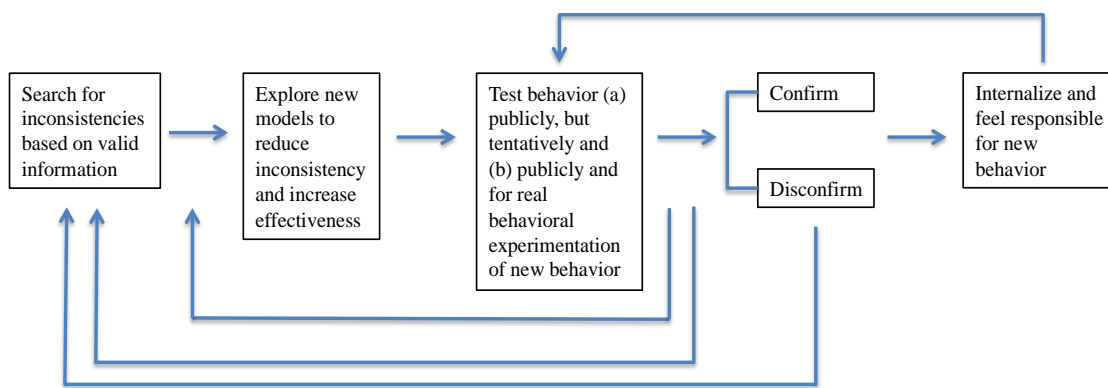
Figure 2. Summary of Argyris and Schön's (1974) theory of
Model II behavior change (p. 135)

Search for inconsistencies based on valid information. Argyris and Schön

(1974) described a clear flow diagram for internalized behavioral change that includes

both thinking and doing processes (pp. 134-135). Important in this flow is the

reconciliation that precedes an individual being able to "internalize and feel responsible

for the new behavior" (p. 134), and this is not just a cognitive process. The authors

suggested it involves *doing* along with *thinking*. This is a departure from Mezirow's

(1978) theory, which was silent on the doing part and focused only on the cognitive

aspects of behavioral change. The first step in this flow diagram (Figure 2) begins the

reconciliation process with a search for inconsistencies, using valid information.

Explore new models to reduce inconsistency and increase effectiveness. This

section of the flow diagram caught the interest of the researcher for its alignment with

BA's structure and intentions as a training method: it is designed to help program

participants reduce inconsistencies (via making people aware of their inconsistencies) and

increase communication effectiveness (via providing alternative verbal communication

behavior choices).

Test behavior publicly. Of note, the testing of behavior publicly is suggested in

the middle section of the flow. This is done tentatively at first, which is consistent with

Nohl's (2015) findings about how people experience transformative change—often as a

non-determinant start followed by a period of social testing and experimentation (p. 39).

Public testing of behavior also aligns with BA as a method for doing, and with

observational feedback methods in general, where data are provided that could be

considered "valid information" (p. 134).

Confirm or disconfirm. In this section of the flow, the reconciliation process

focuses on a match or mismatch to whatever behavior was chosen by the person. In this

case, the observation and/or the BA data represent valid information about individuals'

theory in use (what they actually did) that they can then reconcile against their espoused

theories (what they think they do).

Internalize and feel responsible for new behavior. One of the strengths of observational feedback is the role the facilitator/observer plays, which is likened to Mälkki and Green's (2014) depiction of an "accompanist" (p. 17). In Argyris and Schön's (1974) model (Figure 2), it is possible to see how the BA facilitator/ observer could play such a role, providing support and perspective for integrating new behaviors. This last step aligns as well with Mezirow's (1978, 2003)10th step of perspective transformation (see Table 3), namely the reintegration and internalization of new behavior.

Action Science Model Forming the Structure of the Conceptual Framework

Argyris and Schön's (1974, 1996) Action Science model is the second theoretical input, and it forms the structure of the conceptual framework for this qualitative case study. Figure 3 below illustrates the Action Science model.
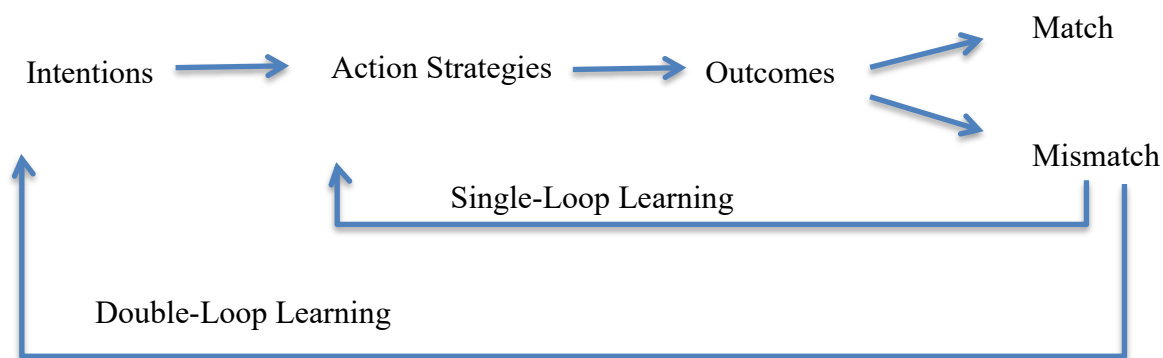
Figure 3. Summary of Argyris and Schön's (1974) Action Science model and single-/double-loop learning (Source: Google Images)

Intentions, action strategies and outcomes. The contribution of Action Science to this conceptual framework is the process of moving from assumptions to actions to outcomes to match or mismatch and the single-/double-loop learning that can ensue. It

provides a flow chart of sorts that shows how unconscious communication choices can become conscious and deliberate, opening the way for more nuanced and potentially effective behavior choices to be made in service of interpersonal effectiveness; it represents the decision-making process for communication.

Match, mismatch, single- and double-loop learning. Consistent with Figure 2, where the result of the process step "confirm or disconfirm" was a re-examination of inconsistencies, in Figure 3, confirm/disconfirm was replaced with match/mismatch, and resulted in the same concept of reevaluation and search for inconsistency. During single-/ double-loop learning, a person would take one or two steps back and reevaluate. In single-loop learning, the person selects another action strategy to accomplish his or her goal (takes one step or "loop" back). In double-loop learning, the person revisits his or her intentions (two steps or "loops" back) and then selects the appropriate action strategy for that intention. This informed the conceptual framework as a structure for potentially explaining the differences between the experiences of program participants over time.

Cognitive Dissonance

It is in this reconciliation, between thinking and doing, that the third and fourth theoretical inputs are considered. Cognitive dissonance, the third theoretical input, states that, conceptually, human beings cannot exist long in a state of friction between behavior and beliefs (Festinger, 1957). In fact, the concept of cognitive dissonance goes as far as to suggest that if an individual's behavior (what he or she has done) is inconsistent with his or her beliefs (what he or she thinks is the thing to do) and the behavior cannot be changed, then the individual will change his or her beliefs to ensure that these beliefs and

behaviors are aligned. Figure 4 below shows an illustration of cognitive dissonance as a theory.

| If Behavior and Belief are not aligned | → | If Behavior OR Belief cannot be changed | → | Then either Behavior will change (if Belief cannot change) or Belief will change (if Behavior cannot change) |
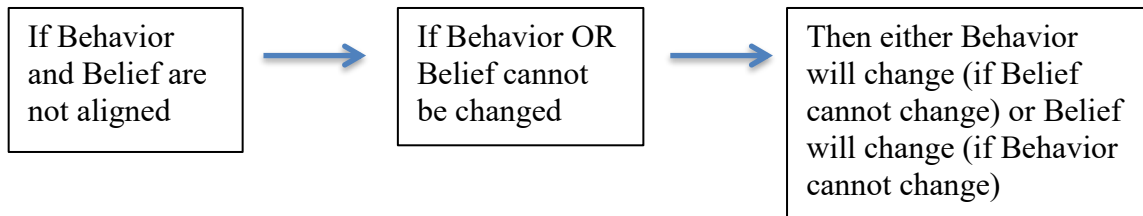
Figure 4. Cognitive dissonance as it relates to behavior change (Festinger, 1957)

If behavior and belief are not aligned. The researcher believes this concept of cognitive dissonance may be the psychological basis for the concept of the disorienting dilemma (Mezirow, 1978, 2003), by creating a sense of disjuncture for a person where his/her behavior and beliefs are not aligned. Further, the difference between where Nohl (2015) saw the disorienting dilemma occurring and where Mezirow (1978, 2003) put it may possibly have something to do with the difference between "lived" experience—that occurs organically, with no time constraints—and "contrived" or "planned" experiences, like training programs—where the conditions for the disorienting dilemma are created for someone. In the latter case, the disorienting dilemma could be mapped at the beginning of the chain of events. This point is discussed further in Chapter V.

If behavior or belief cannot be changed. The process flow that was outlined previously in Figure 2 by Argyris and Schön (1974, p. 135), with a repetitive testing of beliefs (espoused theory) against behavior (theory in use), suggests a place for cognitive dissonance as well as observational feedback training methods. Because it is relatively objective, the data and the feedback provided via BA, and other methods of observational feedback, demonstrate *what was actually done* (theory in use). The mid-level leader, in

this case, and following Festinger's (1957) theory of cognitive dissonance, could see that as behavior that could not be changed.

Then either behavior will change or belief will change. If the data presented run counter to what the mid-level leader *thinks* he or she has done (espoused theory), then a process of reconciliation begins where the mid-level leader would either change his or her action or change his or her belief, whichever one could change. In this way, the combination of Argyris and Schön's (1974) conceptualization of thinking and doing and Festinger's (1957) theory of cognitive dissonance forms critical components of an operational map of behavior change.

In the 40 years since Mezirow, Argyris and Schön, and Rackham introduced the various components that became the basis of the conceptual framework for this qualitative case study, our understanding of learning has evolved to include the importance of the affective (e.g., the role emotions play in driving motivation) as well as the cognitive and behavioral (e.g., Dirkx, 2001; Taylor & Marienau, 2016) domains. This researcher believes cognitive dissonance may trigger or otherwise affect emotions that drive motivation, subsequently attending to the affective domain of learning. Exploring the possible connection between cognitive dissonance and motivation for behavioral change was beyond the scope of this qualitative case study and is discussed in Chapter VI as a recommendation for future study.

Nohl's Five Stages of Transformation

Nohl's (2015) model is the fourth theoretical input to the conceptual framework. In it, a person's behavior changes occur gradually over time, until that person realizes that his or her behavior is no longer consistent with his or her beliefs and "shifting

relevance" (Nohl's words for the disorienting dilemma) occurs (p. 43); essentially,

behavior change drives belief change. In Mezirow's depiction, belief change drives

behavior change. BA, which has been shown in this chapter to map as a process for *doing*

to Mezirow's 10-step process for perspective transformation, also shows the disorienting

dilemma up front when the data are reviewed, and then behavior changes over time with

practice and support from the environment. This researcher believes the concept of

cognitive dissonance is critical to the process of behavior change, but where it is placed

in the process depends on many factors, one of which is whether the process is occurring

naturally or as a result of a planned or prescribed event, as in a formal training program.

Emerging Insight: BA and PT Structural Alignment

The emerging insight that is also being considered as part of this conceptual

framework is the apparent structural alignment of BA and perspective transformation.

Reconsidering Table 4, which is displayed again as Table 5 on the next page for ease of

viewing, it is possible to see how perspective transformation and BA line up. The

structural alignment suggests a level of consistency between how one would *think* about

behavioral changes (perspective transformation) and how one might go about changing

(*actually doing*) the behavior (BA, as a training method), at least as it relates to building

communication skills—which is what BA endeavors to facilitate.

Theories Combined Into a Process Flow for Communication Change

Taken together, this conceptual framework, with its five components (four

theoretical and one emergent), allows the researcher to focus on the interplay between the

mid-level leaders' espoused theories and theories in use, with respect to interpersonal

Table 5

BA and PT Procedural Alignment (same as Table 4)

BA Feedback Process Steps	PT Process Steps
1. ***Mid-program initial feedback*** (preliminary data feedback) given to participants	1. ***Disorienting Dilemma***
2. ***Self-examination of data results*** in small group, often with feelings of wonder, curiosity, fear, anger, guilt, shame, worry, defensiveness, hope	2. ***Self-examination*** with feelings of fear, anger, guilt or shame
3. ***Critical assessment of written data*** and underlying assumptions about individual behaviors	3. ***Critical assessment*** of assumptions
4. ***Recognition*** that one's discontent with the data and the process of critical assessment and evaluation are shared with others in the small group	4. ***Recognition*** that one's discontent and the process of transformation are shared
5. ***Exploration*** of options for practicing new behaviors and identifying actions for the remainder of the program	5. ***Exploration*** of options for new roles, relationships and actions
6. ***Planning*** a course of action on an individual basis	6. ***Planning*** a course of action
7. ***Acquiring knowledge and skills*** for implementing one's plans (*Note: This step can occur before or after step 8)	7. ***Acquiring*** knowledge and skills for implementing one's plans
8. ***Provisional trying*** of new behaviors (*Note: This step can occur before or after step 7)	8. ***Provisional trying*** of new roles
9. ***Building competence*** and self-confidence in trying new behaviors and the impact they have on relationships	9. ***Building competence*** and self-confidence in new roles and relationships
10. ***Reintegration*** into one's life and reinforcement of new behaviors post-program	10. ***Reintegration*** into one's life on the basis of conditions dictated by one's new perspective

effectiveness and communication skills (RQ1). It also allows the researcher to look at

how mid-level leaders have experienced BA as a training method as well as an external

data source that invites critical self-reflection (RQ2). Finally, it provides a lens for

considering how mid-level leaders have perceived their own perspective transformations,

if any, and as a result of their experiences with BA (RQ3). These are the three research

questions, and the conceptual framework outlined below works in service of them. Figure

5 provides a visual of this combined conceptual framework.

Intentions: communication as transmission of message
Action Strategy: advocacy
Behavior Choices: proposing, supporting/disagreeing, giving information, shutting out
Single-Loop Learning: I choose a different behavior to transmit more effectively

Intentions: communication as a dynamic
Action Strategy: inquiry
Behavior Choices: building, testing understanding, more and more varied questions, behavior labeling, bringing in
Double-Loop Learning: I choose to reassess why am I talking

Figure 5. Conceptual framework for this qualitative case study

As can be seen in the Figure 5 above, the various elements come together to form

a decision-making process for communication and subsequent skill building using BA.

Whatever espoused theories participants may have held about how to communicate with

others would influence their intentions. They would pick an action strategy for

communication (demonstrating theory-in-use), which would result in an outcome that

either matched or mismatched their intention. BA, with its inventory of verbal behaviors,

and collected tally of how program participants behaved verbally (nonverbals excluded) during a group activity, would provide (a) a disorienting dilemma; and (b) alternative communication strategies for participants to choose from as they learn how to expand their communication skills to include greater fluency with inquiry, along with existing skill in advocacy. Examples of intentions for advocacy and inquiry, with related action strategies, BA behavior choices, and the process of expanding a communication skill set to include both advocacy and inquiry, via single- and double-loop learning, are shown at the bottom left (advocacy) and right (inquiry) of the conceptual framework diagram.

Summary of Literature Review

The literature provided many examples of leadership effectiveness and interpersonal effectiveness studies, criteria, success stories, and perspectives. Among the main principles of leadership effectiveness are self-awareness, reflection, ability to self-regulate and relate to others emotionally, and communication that is effective and appropriate as a setting requires. While these concepts and abilities seem straightforward, developing competence and deliberate skill with them can be challenging. The literature consulted was not as plentiful with specific studies that discussed and explored *how* leaders achieve the successes that are so easily depicted in the *what* that sells books, drives seminars, and fills conference halls in a multi-billion-dollar training and development industry.

Behaviour Analysis (BA), developed by Neil Rackham in the 1970s with some of his associates, has properties for coding verbal behavior and providing real-time observational and peer feedback. These are in line with current research and practice with

executive coaching and team learning and represent a shift in how organizations deploy training (Noe et al., 2014). Why is BA effective? Anecdotally, the researcher has experienced that the data-driven nature of BA, with its quantitative counting of verbal behaviors, has a profound effect on those who experience it. In addition, the data are presented with subjective peer and observer feedback to put the data into context. This process provides an experience that maps closely with Mezirow's cognitive depiction of perspective transformation.

The research on perspective transformation and, more broadly, transformative learning has also evolved over the last 4 decades. The original 10-step process for perspective transformation that began with a disorienting dilemma and ended with a reinvented and reintegrated biography has been expanded, validated, and challenged by others with different perspectives. Current thinking has not necessarily negated Mezirow's original premise in full, but it has pointed out the dangers of taking it too literally or narrowly. This literature review suggested a broader interpretation of what transforms and how that process actually occurs within individuals. Taking a cue from this thinking and looking to explore how mid-level leaders experience BA, the researcher embarked on a study in service of leadership effectiveness, building communication skills and contributing to the discussion about tangible training approaches that can help people reach their potential.

Chapter III

METHODS

This qualitative case study intended to expand what is known about transformative learning training methods for developing interpersonal communication skills by examining whether and in what ways corporate L&D program participants perceived, applied, and made sense of an observational feedback method called Behaviour Analysis (BA, Rackham & Morgan, 1977). This methodology chapter examines various scholars' perspectives (e.g., Creswell, 2013, 2014; Maxwell, 2013; Merriam & Tisdell, 2016; Miles, Huberman & Saldana, 2014; Saldana, 2016; Yin, 2014) about qualitative methodology for research, as well as the process of selecting the qualitative case study as the method *du jour* for this research endeavor.

An overview of the constructivist research paradigm (Guba & Lincoln, 1994) is provided to ground the study's rationale and approach in relevant research theory. A comprehensive discussion of the study sample, additional client-provided documents that were reviewed, and a display of the interview participant demographics follow. An overview of the information needed illustrates how the research questions were addressed via a qualitative case study method, and how the conceptual framework evolved in service of the study. Considerations, limitations, unknowns, and other constraints that were taken into account when implementing a qualitative case study design are also

provided. A procedural overview of how the research unfolded and the methods used for data analysis is given. Finally, the chapter concludes with a description of how participants were protected during the study, the methodologies used for arriving at the coding scheme, how validity and reliability were addressed in the treatment of the data, and a discussion of the limitations of the study. The chapter begins with the study design.

Study Design

The research design for this qualitative case study had two main components: (a) review of archival client data, in the form of post-program feedback reports from participants; and (b) individual interviews with 16 program participants, conducted post-Module 1 or post-program, depending on the cohort to which each participant belonged. The feedback reports provided tangible and immediate feedback, given within days of completing the program, from program participants about elements of the program that were meaningful to them. With the passage of time and upon reflection, the researcher anticipated that participants would have more nuanced and evolved perspectives, which would not have been given as feedback in these reports. One of the goals of this study was to explore the perspectives of program participants via interviews, after the passage of time, and to examine whether and how further developments in their perceptions about BA occurred since their initial feedback reports.

Constructivist Research Paradigm

This qualitative research case study followed the constructivist research paradigm (Guba & Lincoln, 1994). Constructivism holds that truth is relative and is actually co-created by all of the actors in a given situation, including the researcher. The idea of a

single, irrefutable truth somewhere "out there" is replaced with a subjective, interpretive truth somewhere "in here." Epistemologically, the researcher is intertwined with the research in a meaning-making and sense-making role. This takes into consideration space, time, history, bias, context, and all the social variables that make humans variable creatures. It is a relationship of validity rather than validation; whatever is being researched is accepted for what it is, and then helped to become what it might be. The methodologies utilized are hermeneutic/dialectic (Guba & Lincoln, 1994, p. 112), which means they facilitate interpretation. The researcher takes an "emic" (inside) stance rather than an "etic" (outside) one. The methodologies used in constructivist research are largely qualitative because every situation is different, and every person's experience and perspective are different. Further, constructivism holds that sense making is a process of building consensus about lived and shared experiences and validating them across time, repetition, and similarly experienced realities rather than comparing them to a concrete or an absolute truth.

In this qualitative case study, where the perceptions of mid-level leaders about a particular training method and their experiences in a leadership development program were the subject of inquiry, the researcher deemed a constructivist view was appropriate. There is no truth out there to discover about what the mid-level leaders experienced; rather, this was a journey of discovery about how and why they experienced what they did. The researcher was an active participant in this discovery and research process, via carefully thought-out interview questions and impromptu follow-ups during the actual interviews. This is research about lived experience with a particular training methodology

and a group of similarly situated mid-level leaders from the same organization, who are taking the same training and are separated only by years and cohorts.

Rationale for Qualitative Case Study

Yin (2014) invited the use of case study as a methodology based on "the more that your questions seek to explain some present circumstance" and "the desire to understand complex social phenomena" (p. 4). Merriam and Tisdell (2016) described qualitative case studies as "the search for meaning and understanding, the researcher as the primary instrument of data collection and analysis, an inductive investigative strategy and the end product being richly descriptive" (p. 37). Further, they said, "a case study is an in-depth description and analysis of a bounded system" (p. 37).

Merriam and Tisdell (2016) also indicated, "the unit of analysis, *not* the topic of investigation, characterizes a case study" (italicized in original, p. 38). In this particular qualitative case study, the bounded system was the cohort-based leadership development program that the mid-level leaders attended. The researcher was indeed the instrument of data collection and analysis, with first-hand knowledge of the contents of the program itself as well as familiarity with the phenomenon (mid-level leaders' perceptions of BA) being studied.

The complexities of this research endeavor were not limited to the familiarity and involvement of the researcher in the program itself. They also include the factors of time (how recently the mid-level leaders took the program) and meaning-making ability/ sophistication (how the mid-level leaders perceived the program, BA, the role of interpersonal effectiveness in leadership, their own self-awareness and career trajectory, among other things). There were no clear predetermined or even hypothesized answers;

in fact, there were only more probing and curious questions. Each mid-level leader's perspective was unique and contributed to a rich mosaic of reported experiences with the program and with BA.

Description of Qualitative Case Study Methodology

Maxwell (2013) proposed a model of qualitative research design that focused on five aspects: goals, conceptual framework, research questions, methods, and validity. This framework, which was followed for this qualitative case study, provided enough structure and flexibility to allow the research process to breathe and lean into what surfaced, while still following a path and a plan. In looking at goals, Maxwell suggested the case study should have relevance and clear purpose. The conceptual framework attends to preconceived ideas about what is going on with the actors and factors on the stage. The research questions frame what the researcher will attempt to find out. The methods highlight how the researcher will engage with the subjects of the study to discover their perceptions, experiences, insights, and meanings. Finally, validity speaks to the rigor and trustworthiness of the data: How can the findings be trusted? How could the researcher be wrong?

Creswell (2013) provided additional structure for defining the critical elements of a qualitative case study. Among the "defining features" (p. 98) are: specificity of the case, intent of conducting the research, in-depth understanding of the case, data analysis from multiple sources of data, description of the case and its variations/variables, and chronology and explanations by the researcher for the themes and patterns discovered (pp. 98-99). The researcher chose to follow two generalist (broad) scholarly frameworks in Maxwell and Creswell to frame this particular qualitative case study instead of

becoming very specific in the early stages of the study. This supported Yin's (2014)

premise that research design is constructed and reconstructed as it develops and the work

is being completed. Because the nature of qualitative research is that the truth is co-

created, maintaining a flexible scaffolding for the methodological framework at the

planning stage was important.

This qualitative case study explored the following research questions and

subquestions:

1. How, and in what ways, did mid-level leaders perceive the interplay between

   thinking about how to communicate effectively and behaving in an

   interpersonally effective way? (perception)

   a. How did mid-level leaders experience the importance of interpersonal

      effectiveness in the demands of leadership and the competency and

      consistency of their own communication skills?

   b. How, and in what ways, were communication skills and interpersonal

      effectiveness developed in mid-level leaders?

2. How did mid-level leaders apply BA post-program? (application)

   a. How, and in what ways, did mid-level leaders report being able to do

      different things or think differently as a result of experiencing BA?

   b. How did mid-level leaders describe a relationship between BA and

      building communication skills and developing interpersonal effectiveness?

3. What were the reported perceptions of mid-level leaders about a relationship

   between BA and perspective transformation? (meaning)

    a.   What impact did the passage of time have on mid-level leaders'

perceptions about BA?

    b.   What role or relationship existed between perspective transformation and

the mid-level leaders' application of BA concepts post-program?

It is important to note that where the word "perceptions" was used in RQ3, the researcher's intention was to capture participants' reflections, retrospections, interpretations, and thought processes as they expressed them; how they saw BA post-program, how they understood their application of it, and what they learned. The researcher then analyzed and interpreted it to distill what, if any, elements of perspective transformation and meaning making had occurred. The researcher did not intend or expect for the interview participants to be able to demonstrate or articulate a relationship between BA and perspective transformation on their own.

Research Questions Linked to Areas of Literature Review

In this section, the research questions are linked to the three main areas of the literature review, namely (a) interpersonal effectiveness and leadership effectiveness, (b) Behaviour Analysis, and (c) perspective transformation and transformative learning. Table 6 illustrates each research question and how it links to the areas of the literature review and the specific interview questions proposed. Table 6 also illustrates how the literature and research questions inform and connect to the actual interview questions asked. In doing so, a clear thread through the literature and the research conducted can be drawn.

Table 6

Research Questions, Areas of Literature Review, and Interview Protocol

Research Question	Areas of Literature Review	Interview Protocol
RQ1: How, and in what ways, did mid-level leaders perceive the interplay between thinking about how to communicate effectively and behaving in an interpersonally effective way? (perception)	Section 1: A. Leadership effectiveness B. The role of interpersonal communication in leadership C. Reflection and leadership effectiveness D. Communication and interpersonal skills development E. Emotional intelligence and interpersonal effectiveness	1.1. Tell me about yourself/background, and what elements of your background might have enabled your professional progression. 1.2. How does interpersonal effectiveness factor into the demands of leadership, in your experience? 1.3. If we go back to Module 1, what is/was the story you tell/told yourself about you as a communicator? 1.4. What evidence have/had you gotten back from the world that supports or refutes that? How did you know? 1.5. What sense do you make of the discrepancies between the story and the evidence you got back?
RQ2: How did mid-level leaders apply BA post-program? (application)	Section 2: A. Behaviour Analysis as a training method B. Observational Feedback C. BA and interpersonal effectiveness D. BA and building communication skills	2.1. Describe your experience(s) with Behaviour Analysis? 2.2. To what do you attribute your experience(s) with it? 2.3. What did you hear or see in your BA data that called some of that story (the one you told yourself about you as a communicator) into question? 2.4 How did you apply BA after Module 1? 2.5 What connections, if any, do you see between BA, building communication skills, and interpersonal effectiveness?
RQ3: What were the reported perceptions of mid-level leaders about a relationship between BA and perspective transformation? (meaning)	Section 3: A. Perspective transformation B. Reflection and meaning making C. Self-awareness Section 1: D. Emotional intelligence and leadership	3.1. What are your perceptions of BA now? 3.2. What did you do post-Module 1 to bring those two (the story and the data) into alignment? 3.3. What story do you tell yourself now about you as a communicator? As a leader? 3.4. If the you of today, knowing what you now know, could go back in time and talk to the you who was about to embark on the development program, Module 1, what would you tell you? Final Question: What else do you think would be helpful for the researcher to know about your experiences, perceptions, or perspectives of this subject?

Site Selection and Sampling Method

This qualitative case study was designed with an embedded review of archival post-program survey responses and in-depth interviews. Specifically, the subject organization provided a post-program feedback review form for mid-level leaders to complete within days of attending the program. This feedback form was comprehensive and asked for reactions to and perceptions of every aspect of the program, from venue and setting to content, from facilitator interaction to internal stakeholder involvement. These feedback forms provided an initial sampling view for the qualitative case study because they highlighted those who reacted to BA immediately post-program. The overall sample pool consisted of approximately 86 mid-senior-level managers who were participating in a global L&D program in a biotech pharmaceutical company. A subset of this group of people (16) were interviewed in depth.

The subset of 16 was determined independently from the analysis of the feedback reports because the client did not maintain individual authorship records and only provided to the researcher the reports collected by the cohort without individual author identifiers. The feedback reports were reviewed and coded for any references to (a) BA; (b) research question relevance, references, and categorization; and (c) any insights written in the reports into meaning making by the participants. Following this initial archival data review and coding, the researcher set aside those surveys with an indicator or code for one of the three categories above (BA, research question relevance, or meaning making). They were used to determine general distribution and representation of reactions noted by participants by cohort, and to provide generalized response information. In addition, because no member of Cohort 1 participated in the interviews,

the data from that group's feedback reports were used to triangulate the data gathered in the interviews.

To ensure that a diverse group of mid-level leaders was ultimately selected for the study from the larger sample pool and, given Nohl's (2015) suggestion about non-determinant starts to transformation, the researcher sent out invites to the entire population of 86 people. This was an invitation to interview, regardless of whether or how the mid-level leaders responded to the initial post-program feedback report when it was originally sent to them, and because their individual reactions could not be determined. Since all were invited to interview, this would logically include those who may or may not have indicated BA as impactful or whose responses initially did not indicate relevance to the research questions or show insights into changes in meaning making. This approach focused on including those who were interested in participating in the study, and it yielded 21 initial positive responses. The researcher ultimately interviewed 16 from that group based on diversity of (a) gender; (b) cohort; (c) native English speaker or English learned as a second language (ESL); (d) any familiarity or relationship to the researcher during Module 1, that could potentially impact data collection; and (e) participant availability and scheduling. Point (d) is explained more fully later in the next section, when the sample is discussed.

The global L&D leadership development program targets mid-senior managers moving from functional to more enterprise leadership-level roles. Participants were invited from five different cohorts that spanned the 5 years in which the program has been run. The researcher has been part of the same team of facilitators across all 5 years/cohorts. The content of the program has not changed materially. All participants

were exposed to the BA training method at the beginning of the cohort-based training program, in what is referred to as "Module 1" by the subject organization. The overall focus of Module 1 was self-as-instrument—a deep dive into self-awareness and reflection via individual, paired, peer-to-peer, and internal stakeholder activities with real-time feedback. Organizational context, an overview of the training program, a review of the additional documents provided by the client, and participant demographics are included following the Discussion of the Sample.

Behaviour Analysis in this program was conducted in a half-day module rather than the typical 3- to 5-day structure as the developers originally intended. One of the potential limitations of this study was the brief nature of the interaction that participants have with BA. The researcher endeavored to address this limitation via probing during the interviews for reactions and perceptions to BA at the time of Module 1. In addition, the researcher used the feedback reports as an additional data point, to look at aggregate responses across cohorts. A discussion of these results occurs in Chapters V. In Chapter VI, the researcher makes recommendations for future practice that addresses the condensed format of BA that was used in this qualitative case study.

Discussion of the Sample

The researcher collected background information on each interview participant prior to conducting the interviews. This information, largely demographic, included gender, age, cohort identifier (labeled as belonging to Cohort 1, 2, 3, 4 or 5), years of working tenure with the subject organization, work location, languages spoken, and level of completed education. The researcher sought to sample for maximum variation by

obtaining a cross-section of corporate functions, cohort members, and demographics for the interview group selected.

Given her familiarity with the sample population, the researcher asked an additional background question about each participant's level of interaction with her during the cohort program. Specifically, this additional question looked at: (a) casual acquaintance, (b) Module 1 small group coach, and/or (c) Module 2 project coach. For anyone who answered in the affirmative for (b) Module 1 small group coach, the researcher made allowances in the design and data collection to ensure viability of that study participant's reflections and interview answers. This category of mid-level leaders would have had the greatest familiarity and working relationship with the researcher during the period in which they experienced BA.

Additional information collected, related to professional background, included current job/position title, key tasks associated with current role, professional goals and objectives since attending the L&D cohort-based training program, current aspirations, and assessment of progress towards stated goals and objectives. The purpose of gathering these data was to situate the various individual mid-level leaders across the spectrum of all program participants and to establish enough sampling criterion minimums.

Organizational Context

To put participant interview experiences in context, the researcher felt it was important to look at both the training aims of the subject leadership training program, called "Catalyst," and participant demographics prior to the discussion of study findings in Chapter IV. Therefore, in this next section of the chapter, a number of topics are reviewed: (a) organizational context for the Catalyst program; (b) a broad-strokes outline

of the content of Module 1 and how BA was conducted within it; (c) summary and synthesis of the various archival data sources gathered across five cohorts; and (d) a demographics review of the participants in this study.

Palmetto Pharma and Catalyst leadership. The researcher chose Palmetto Pharma (or "Palmetto") as the pseudonym for a global biopharmaceutical company that is a real-life client of Impact International USA ("ImpactUSA"). ImpactUSA is an experiential learning company based in Greenwich, Connecticut, with whom the researcher has maintained a strong professional and personal relationship for more than 18 years. "Catalyst" is the name of the training program that was custom-designed and delivered by ImpactUSA for Palmetto Pharma. All of the participants interviewed for this qualitative case study were members of Catalyst.

Wherever the training program Catalyst is referenced in this study, the researcher capitalized the "C" at the beginning, to differentiate it from any time the researcher may have used the word *catalyst* in any other context. It is also important to note that the researcher received permission from ImpactUSA to use its name and any trademarked information related to Catalyst in this study. This section explores the training objectives of Catalyst and provides insights into the design and delivery of Catalyst through the lens of how ImpactUSA designs programs for its clients.

Origins of Catalyst. When Palmetto Pharma approached ImpactUSA in 2013 to design and deliver a comprehensive, cohort-based pilot for its high-potential employees, it was looking to create "a network of Ready Now Leaders with the capabilities and confidence to lead at the next level" (capital letters in original; ImpactUSA, 2015, p. 3). ImpactUSA was asked to design a 1-year training program that blended experiential,

team-based, and innovative learning approaches with creating a supportive yet

challenging environment. The aim was to pilot Catalyst in May 2014 and, if successful,

then repeat it yearly for successive groups of internally selected leaders that met

Palmetto's identified criteria. The target group size was approximately 18 to 21 mid-level

leaders. These were associate directors, directors, or senior directors, which would be the

equivalent of vice presidents and/or rising senior vice presidents in other industries. The

program drew participants globally from all corporate functions, the specifics of which

are reviewed in later sections of this chapter. After 5 consecutive years running, about 96

leaders had gone through Catalyst (prior to calculating any turnover), and another cohort

(Cohort 6) is planned for a May 2019 launch. Here is how ImpactUSA (2015) described

Catalyst in marketing material following Cohort 1:

> The Palmetto Catalyst Leadership Program is a 12-month development experience for selected High Potential Associate Director, Director, and Senior Director Level Leaders. Cohort 1 included 18 cross-functional and cross regional participants. The overall goal is to build a network of Ready Now Leaders with the capabilities and confidence to lead at the next level. Participants were immersed in a leadership journey including four live modules, various virtual engagements, and an action learning project where participants were put into cross-functional teams to deliver on real business challenges. Participants were provided with various opportunities to build their self-awareness and skills around effective leadership, executive presence, organizational knowledge, stakeholder management, and accelerating good team dynamics. Strong emphasis was placed on giving and receiving feedback, experiential learning, and networking. (pp. 4-5)

Table 7, taken from the same marketing materials provided by ImpactUSA (2015)

for Palmetto after Cohort 1, shows the specific and overall learning objectives for

Catalyst.

Table 7

Catalyst Learning Objectives

1.	Prepare future leaders to meet business challenges of today and shape the solutions for tomorrow
2.	Provide exposure to relevant and critical business and industry topics
3.	Nurture deeper self-awareness and a catalytic, collaborative, innovative, agile, growth mindset
4.	Accelerate development of Palmetto's Leadership success behaviors
5.	Develop executive presence, authenticity, and more effective communication impact
6.	Emphasize a "One Palmetto" culture by deepening trust and alignment among future leaders: build a 'cohort of leaders'
7.	Acquire tools and models to achieve team success and more effective business/organizational performance
8.	Develop Cultural Ambassadors—preserving the things that matter about Palmetto

Source: ImpactUSA (2015), p. 5

Aligning intentions and outcomes for Catalyst. Catalyst has indeed created a brand of leadership within the Palmetto organization. Alumni of the program return in successive years to provide guidance, project mentoring, and encouragement to later cohorts, while keeping the program content strictly confidential. A unanimously agreed-upon "what happens in Catalyst, stays in Catalyst" code of conduct is strictly adhered to within each cohort, and it has become culturally enforced, even if humorously, within the alumni circle. Former participants protect the content from year to year with a sense of

pride and survivorship that resembles a corporate fraternity induction or similar rite of passage.

As Catalyst leaders within the broader Palmetto organization, alumni are easily recognizable by other alumni for the way they think about issues, their ability to communicate with empathy, and their project and team leadership skills (Rosati, 2018). The overall promotion rate within the ranks of Catalyst is 68%, with 52 of 76 alums across Cohorts 1 through 4 promoted at least once (see Table 9 later in this chapter). As of this writing, Cohort 5 was still in progress and excluded from the promotion statistics provided to the researcher by Palmetto. Many alumni have been promoted more than once since their attendance in Catalyst. Greater detail about promotion rates can be seen in Figure 6 and Table 9 later in this chapter.

Palmetto excelled in participant screening identification and building cohorts of people who worked well together. Year after year, the cohort of strangers who showed up on Day 1 of the program quickly became a group of people able to share with each other and engage with the facilitators and content in meaningful ways. In conversations with Palmetto Learning & Development (L&D) staff over the years, insights into how the selection process worked were shared with the researcher. Catalyst follows a nomination-based entry, including a 360-review, manager recommendations, and a thorough screening by L&D that includes availability to attend all of the dates of the program; absence from any part of the program is discouraged and dates are set a year in advance (Rosati, 2018).

If there is a criticism about Catalyst for the Palmetto organization, it is that the alumni network has not been fully energized or galvanized to work as a unit. Cohorts

remain closely connected to themselves following Catalyst and, in particular, project teams often become peer networks who meet regularly and continue to support, challenge, socialize, and enjoy each other. However, the organization has not taken up the task of organizing Catalyst alumni across cohorts in any formal way, and individual cohort members have not either. This lack of formal alumni support and leveraging of the leadership power of this network across the Palmetto organization have been points of discussion every year (Rosati, 2018) in ongoing design and delivery conversations with ImpactUSA and Palmetto.

Experiential learning design approach of ImpactUSA. ImpactUSA is a subsidiary division of Impact International UK ("ImpactUK," collectively "Impact") and an organization that grew out of the Outward Bound leadership development movement in the 1980s in Europe. Essentially, Impact would take executives on outdoor leadership courses with trained guides to help them learn to navigate people, places, and circumstances outside the confines of their familiar corporate structures. By focusing on "experiencing" and "learning" as separate yet linked concepts, Impact developed a reputation for creating learning experiences and programs that got participants up and out of their chairs, thinking and interacting in real time with real challenges, and with results that could then be applied back to work settings. Through its focus on environment, Impact is able to deliver unique learning experiences.

Impact espouses an "experience and label" rather than "introduce and practice" (Rosati, 2018, p.185) approach to designing and facilitating programs with clients. Programs feature a combination of hands-on and tactile out-of-the-box projects or activities, along with inspirational guest speakers, participant-led learning experiences,

real-world organizational challenges, psychometric assessments, innovative use of technology for delivering learning solutions, and best-practices leadership thought content. These elements are often woven together around current business challenges provided by the client organization, and centered on learning objectives developed in partnership with the client. Believing that leadership is not a "special kind of person, but a special kind of action" (Rosati, 2018, p. 187), Impact focuses on "noticing, deciding, and acting" (p. 188) as a practical approach for developing leadership competence in its programs.

      Catalyst-specific experiential design elements. A key theoretical influence that underpins most ImpactUSA programs, including Catalyst, comes from Daloz' (1999) work on challenge and support. Participants are encouraged to challenge each other's assumptions and thoughts, while doing so in a supportive and non-judgmental way. Though not explicitly stated, the "Development Group," which is ImpactUSA's name for the small group structure utilized in Module 1 of Catalyst, acts as a "holding environment" (Kegan, in Taylor & Marienau, 2016, pp. 108-109) for participants as they navigate the content of the program and its various components. Consistent with what Taylor and Marienau (2016) described as "support, challenge and scaffolding" (p. 108), participants learn to build trust with each other; take comfort in the vulnerability of shared experiences that challenge their own assumptions; and support each other with humor, solidarity, and meaningful feedback.

      In the design of Catalyst, and consistent with ImpactUSA's approach of focusing on environment, group size is a factor. Cohort size is thoughtfully considered, as are changing group sizes and shuffling group members around from activity to activity

within the program. ImpactUSA recognizes that some things are learned best individually, some in small groups, and some in plenary with the whole cohort. Optimizing environment around challenge and support, and outlining the almost mechanistic operational steps to building rapport in a group, are pillars of Catalyst.

Finally, learning to give and receive direct feedback in a meaningful and just-in-time way are also core design elements for Catalyst. In this regard, Behaviour Analysis (BA, Rackham & Morgan, 1977) provided a language for participants to use in giving feedback via its inventory and range of verbal behaviors. In Module 1, the emphasis is on (a) self as instrument for leadership; (b) building self-awareness; (c) growing skills in communication; and (d) learning the language, framing, challenge, and support needed to provide meaningful feedback to others. The next section further explains the flow of Module 1 without providing too much specific detail. The researcher has committed, along with the alumni group, to protecting the content for current and future cohorts, and so only specifics about how BA is situated and conducted within the module are provided in this qualitative case study.

Flow of Module 1 and BA. Module 1 is intended to be a deep dive into self-awareness, giving and receiving feedback, and understanding the impact of one's own leadership style on others. As will be seen in the interviews in Chapter IV, participants remarked that Module 1 was not what they expected. As outlined above, ImpactUSA prides itself on making a deliberate departure from traditional classroom-based leadership programs. It likes to get participants off-guard from the beginning, and then use the environment at hand to facilitate building a network of trust for participants and growing

their skill sets. This is done with a combination of social/fun activities, intense feedback, and peer-driven learning.

   BA within Module 1. BA is a cornerstone of Module 1 and appears on Day 1 so that it can be experienced by participants early and then utilized throughout the remaining elements of the module. BA is positioned up front in the morning, following introductory remarks and the welcoming kickoff to the program. The way in which BA is conducted in Module 1 differs from how it was laid out in Rackham's (1973) research and previously studied settings (BOAC Studies, in Rackham, 1973). The program design only allowed for 2 hours of data collection and a total of about 5 hours spent on BA on Day 1 (1 hour for introduction, 2 hours of data collection, 2 hours of feedback at the end of the day).

   The BA facilitators initially review with the group how the method works, the categories they will record, and what each category means. Participants are encouraged to ask questions about the categories. Following the explanation of how BA works, participants are given an opportunity to work together in their Development Groups on a group task. In this setting, six or seven participants work together to complete a task that takes about 2 hours of dialogue, idea generation, discourse, problem solving, and knowledge of organizational context before they produce a tangible deliverable to the organization. While this is going on, the BA facilitator is in the corner, conducting an inventory of the behaviors witnessed from individuals in the group (a sample copy of the collection form used in Module 1 can be found in Appendix B). When the group's task is complete, the program content continues and the BA facilitators meet to tally the behaviors and prepare the feedback, which is delivered at the end of the day.

That feedback session is conducted within the Development Group. It includes a combination of an open review of the group's data, identifying shared experiences, questioning assumptions, validating data recorded against one's own perceptions of self and others, and developing strategies for utilizing the behaviors differently. Chapter IV will reveal a number of quotations that provide reactions and feedback on what that experience was actually like for the participants.

Considerations for BA in Module 1. While the researcher is a qualified BA facilitator, her role in Catalyst did not include conducting BA for the participants. A separate group of BA facilitators came into Module 1 to conduct BA. They were assigned one facilitator per Development Group, and they all conducted the initial overview, an inventorying of the data, and the feedback session at the end of Day 1. One consideration in this qualitative case study was the researcher's familiarity with BA, and the possibility of additional influence and/or reinforcement of its concepts and applications that participants in the researcher's Development Groups may have had over those in other groups. To guard against this or highlight any discrepancies, the researcher added a question to the demographics survey to determine the level of interaction that individual participants had with the researcher during Module 1.

Archival data review. In this section, the various archival documents that were made available to the researcher are reviewed and discussed. However, the actual data from the post-Module 1 feedback reports are examined in greater detail in Chapter IV. The researcher chose to review the aggregated data from those reports as well as any individual commentary from participants, together with the findings from the 16 interviews conducted. Taken together, these sources of data provide a more complete

picture of how participants reacted to Module 1 immediately after attending (as gathered from the feedback reports) and after the passage of time. The structure and type of data gathered in those feedback reports are covered in this section.

Document review. The documents reviewed included: (a) feedback reports from each cohort that were completed within 3 or 4 days of Module 1; (b) promotion and turnover statistics provided by Palmetto about Catalyst alumni; (c) program manager reports completed by the lead ImpactUSA facilitator for each cohort; (d) the researcher's own notes and observations from each cohort, including discussions with key Palmetto L&D staff and the various BA facilitators; and (e) a marketing and statistical data report from the pilot program (Cohort 1), provided to Palmetto (and the researcher) by ImpactUSA. These documents contributed to this qualitative case study and, in some cases, triangulated the data gathered by the interviews themselves. These data source documents are outlined in Table 8.

Post-program feedback reports. The post-program feedback reports prepared by the participants in Module 1 were a critical piece of data for this qualitative case study. The researcher chose to organize the findings by timeline, and specifically to look at pre-Module 1, during Module 1, immediately after Module 1, and then after some time had passed (when the actual interviews were conducted). The design of the study relied on the recollections of the participants interviewed about their pre-Module 1 stories and their post-Module 1 (and, in some cases, post-Catalyst) stories. The post-program feedback reports provided an actual data point about what was said immediately post-Module 1.

Table 8

Archival Data Source Documents

Archival Data Source Document	Contribution to Case Study Review
Post-program feedback reports	Provided similar/contrasting views from participants who did not participate in the study (triangulation for interviews)
Promotion and turnover statistics	Provided context and statistics for success of Catalyst
Program manager reports	Provided summary comments of program content and how it ran, identified issues for resolution, provided insights into each cohort (validation for potential researcher bias)
Researcher's notes, observations, and conversations	Provided context, observations, records of discussions with stakeholders and BA providers (triangulation for interviews)
Marketing and statistical data report from ImpactUSA	Triangulated promotion and turnover statistics, and supported claims of overall success for Catalyst

While the data could not be tied directly to individual participants in the study,

two aspects were interesting to look at: (a) the feedback from Module 1 Cohort 1, since

no participants in this study were interviewed from Cohort 1; and (b) the feedback from

Cohorts 2, 3, and 4, as viewed for consistency and triangulation against the recollections

of the study participants.

In addition, a number of questions in the post-program feedback reports provided

insights into how the participants experienced BA and intended to apply it post-program.

A copy of the post-program feedback report template can be found in Appendix C. As

previously noted, an overview and discussion of the findings from those feedback reports

are included in Chapter IV.

    Promotion and turnover statistics. This source of data provided a view on how

many participants went through Catalyst, how many had since moved on from Palmetto,

and how many had been promoted into different roles. Looking at these statistics gave a

sense of the success of the program internally. Participants in later cohorts were aware of

the reputation of Catalyst, in particular for its overall promotion rate. The program was

viewed internally very positively and as a step towards internal promotion. Figure 6,

provided by Palmetto L&D (Rosati, 2018), shows the promotion statistics for Cohorts 1

through 4. At the time of this writing, Cohort 5 was still in progress and excluded from

the promotion statistics.

Activity	Total	# participants	% total moves vs total particpants	% individual participant moves
Catalyst moves (incl. terms)	108	56	142%	74%
Catalyst moves - minus terms	89	47	133%	70%
Lateral moves (incl. terms)	25	20	33%	26%
Lateral moves - minus terms	22	18	33%	27%
Total promotions (incl. terms)	82	51	108%	67%
Growth in Position	40	30	53%	39%
Change in Position	4	4	5%	5%
Career Ladder Promotion	21	16	28%	21%
Promotion	17	14	22%	18%
Expat assignment	1	1	1%	1%

Figure 6. Promotion statistics for Catalyst
Source: Palmetto L&D (typos, font and format included in original, 2018)

    Palmetto also provided to the researcher statistics on the number of promotions

achieved per participant. These data show that some participants were promoted more

than once following completion of Catalyst (see Table 9). There is a discrepancy between

Figure 6 and Table 9 regarding total number of participants promoted: Figure 6 shows 51,

with an overall promotion rate of 67%, while Table 9 shows 52, with an overall

promotion rate of 68%. This discrepancy is attributed to when Palmetto collected and

tabulated these data; the 52 and 68% were more recent statistics (Rosati, 2018).

Table 9

Multiple Promotions for Catalyst Alumni

Promotions Cohorts 1-4	Active Employees	Termed Employees	Total Employees Promoted	Percentage of 76 Alumni
1x promotion	25	3	28	37%
2x promotion	13	5	18	24%
3x promotion	4	1	5	7%
4x promotion	1	0	1	1%
Total	43	9	52	68%

Source: Palmetto L&D (2018)

Program manager reports. Program manager reports were ImpactUSA

documents, and the results were shared with the client and the facilitators. As such, these

reports were collected in the researcher's notes for this qualitative case study. The reports

were required documents to be completed at the conclusion of a program by the lead

facilitator of the program. In the report, a general outline of the training, its purpose and

objectives, feedback on how it went, client requests, and opportunities for further

dialogue with the client were covered. The researcher reviewed all of the program

manager reports for Cohorts 2 through 5 for Module 1 and found consistency among

them for how the (a) quality of delivery, (b) flow of the program, and (c) level of client

satisfaction were all reported by the lead program facilitator.

The researcher was not the lead program facilitator for Catalyst, and the lead was the same person for Cohorts 2 through 5. The researcher confirmed with the lead that he did not use the same report four times, and that each was a unique and original summary of what occurred during Module 1 for that cohort (Rosati, 2018). The benefit of reviewing the program manager's reports was to check the potential for researcher bias about how the program ran from year to year. It is a form of data validation for the researcher, and one of eight validation strategies that Creswell (2013) suggested (pp. 250-253). A more detailed discussion of how the researcher attended to validation in this qualitative case study is covered later in this chapter.

Researcher's journal notes about Catalyst. The researcher has kept notes about Catalyst since its inception, and in particular for Cohorts 2 through 5. At the time of Cohort 1, in May 2014, the researcher had not yet begun her doctoral journey. By the launch of Cohort 2, in May 2015, the researcher was about to begin her doctoral studies and knew she would somehow focus her dissertation endeavors on BA. To that end, and in anticipation of wanting to capture memories and thoughts, she kept a researcher's journal and all program-run sheets, notes, interview summaries, and insights gathered across the four later Cohorts about BA and Catalyst. The researcher's journal was compiled electronically, with all entries dated and paginated for purposes of citation for this qualitative case study.

Prominent in this researcher's journal were the following: (a) detailed notes on the researcher's visit with Neil Rackham in July 2016, and interviews and correspondence with him since then; (b) notes from various discussions with contemporaries and colleagues of Neil Rackham, who were also BA facilitators on the Catalyst program;

(c) program facilitator-run sheets that document changes and minor tweaks to how the

program was delivered from cohort to cohort (timing changes, activity modifications,

what went well, what did not, design questions that arose, and so forth); (d) notes about

the stated development objectives and reflections about the learning process for various

participants who were in the researcher's Development Groups; (e) notes from

conversations and discussions about Catalyst statistics, history, design, and

implementation with ImpactUSA and Palmetto L&D staff over the years; and (f) all

advisement session notes from the researcher's discussions across the years with her

dissertation committee members, colleagues, and the external auditor (Rosati, 2018).

Supporting these reflections on the interactions with other people involved with BA and

Catalyst, the researcher also documented her own questions, curiosities, insights,

connections, synthesis, and ideas on how to research BA and Catalyst. This researcher's

journal has been a helpful memory aid and first-person data source in writing this

qualitative case study.

   ImpactUSA marketing report on Cohort 1. Following the pilot of Catalyst with

Cohort 1, ImpactUSA (2015) partnered with Palmetto to design and deliver an internal

marketing and statistical analysis report. This report proved helpful in that it suggested

links between the program content and measurable increases in skills, perceptions by

others of competence, and increases to alumni leadership confidence levels. In addition, it

provided a comprehensive stakeholder comparison of pre- and post-Catalyst that included

manager of alumni views as well as alumni views of themselves. It also served to validate

the data reported by the interview participants, since none of the members of Cohort 1

were interviewed in this qualitative case study.

It is important to note that the ImpactUSA (2015) report was post-Catalyst for

Cohort 1 and not just post-Module 1. As a result, it captured experiences, quotes, and

statistics that reflected participant growth across the entire program, not only as a result

of BA or of Module 1. As such, the statistics reported herein were chosen for their

reflection about communication skills, BA behavior categories, and aims (push vs. pull,

questioning, advocacy vs. inquiry, and the like). The ImpactUSA report summarized both

pre-Catalyst data and post-Catalyst data collected via surveys, from Catalyst Cohort 1

participants and their managers. The researcher was unable to obtain the original survey

data or samples of it. Table 10 summarizes related statistics from this ImpactUSA

marketing report.

Participant Demographics

The 16 interview participants in this study all volunteered for it, responded to the

invitation that was sent out with a signed Informed Consent Form, and completed a

demographics survey. Each participated in a telephone interview for approximately 60 to

75 minutes. The participants came from various functions within Palmetto; all had some

formal education beyond high school, and most had advanced degrees. The group was

equally split between 8 male and 8 female participants. In addition, 8 had had the

researcher either as a Module 1 or Module 2 coach (or both), although 8 had no

interaction with the researcher other than as a casual acquaintance during the program,

or they were part of Cohort 5 and their Module 2 had not yet begun at the time of the

interview. Of the group, 8 grew up in the United States and 8 were born outside of the

United States. Of the participants who reacted to BA on their post-program feedback

forms, 11 indicated that they said BA was meaningful immediately after Module 1 and 5

did not remember what they wrote on the form. Table 11 gives a brief snapshot of each

participant according to the demographic data surveyed.

Table 10

Summary of ImpactUSA Cohort 1 Pilot Report

Question Asked:	"Did the Catalyst Program develop your executive presence and communication skills?"
Relevant Statistics:	57% Yes, to a great extent 36% Yes, to some extent 7% No, not really

Question Asked:	"Did the Catalyst Program deepen your self-awareness?"
Relevant Statistics:	93% Yes, to a great extent 7% Yes, to some extent
Participant Comments:	• "I really benefitted from the feedback that the team provided to each other" • "I think the program allowed me to reflect on my own leadership capabilities and performance in a way that I would not have otherwise." • "I think I am more aware of myself/professional style as well as those around me…and how to work with the tools we learned."
Manager Comments:	• "Motivated my participant to participate in the program and encouraged the participant to reflect on self-development."

Question Asked:	"What will you do differently as a result of the program?"
Participant Comments:	• "Engage teams to identify the solution rather than direct teams on how to solve or implement a solution. Adjust communication style and executive presence." • "Listen more to team members, ask more questions—everyone has something to say."

Table 10 (continued)

Manager Comments:	• "Demonstrations of leadership skills, much better communication and working in a cross-functional team." • "Honed interpersonal skills to increase impact on the organization."

Statistic Noted:	Increase in communication skills over the course of Catalyst
Relevant Statistic:	• Rating prior to Catalyst of 7.0 out of 10 • Rating after Catalyst of 8.43 out of 10 • Increase of 20%

Statistic Noted:	Your level of desire to continue learning and support your own development
Relevant Statistic:	• Rating prior to Catalyst 7.79 out of 10 • Rating after Catalyst 9.21 out of 10 • Increase of 18%

Statistic Noted:	The level of trust that exists among the cohort
Relevant Statistic:	• Rating prior to Catalyst of 5.77 out of 10 • Rating after Catalyst 8.64 out of 10 • Increase of 50%

Table 11

Participant Demographic Information and Pseudonyms

Pseudonym/Code	Gender	Age Range	Years of Experience	Level of Education	US/ Non-US	Relationship to Researcher	How BA Was Captured on Feedback Form
"Steven" C21	Male	45-54	10+ years	Advanced degree	US	Mod 2/3 only	Does not remember
"Debbie" C22	Female	35-44	10+ years	Advanced degree	Non-US	Mod 1	Positive experience
"Kami" C31	Female	45-54	10+ years	Advanced degree	Non-US	None	Positive experience
"AnneMarie" C32	Female	45-54	5-10 years	Advanced degree	US	Mod 2/3 only	Positive experience
"Micah" C41	Male	35-44	10+ years	Advanced degree	US	Mod 1	Positive experience
"Harold" C42	Male	45-54	10+ years	Advanced degree	US	None	Positive experience
"Aamir" C43	Male	35-44	10+ years	Advanced degree	US	Mod 1 & Mod 2/3	Does not remember
"Joseph" C44	Male	45-54	10+ years	Advanced degree	Non-US	Mod 1 & Mod 2/3	Does not remember
"Linda" C51	Female	35-44	10+ years	Some college	Non-US	Mod 1	Does not remember
Matthew" C52	Male	45-54	10+ years	Advanced degree	Non-US	Mod 1 (at time of interview)	Positive experience
"Jonathan" C53	Male	45-54	10+ years	Advanced degree	US	Mod 1 (at time of interview)	Does not remember
"Monique" C54	Female	35-44	5-10 years	Advanced degree	Non-US	None	Does not remember
"Lisa" C55	Female	25-34	5-10 years	Advanced degree	US	None	Positive experience
"Cary" C56	Male	35-44	10+ years	Advanced degree	US	None (at time of interview)	Positive experience
"Renee" C57	Female	45-54	5-10 years	Advanced degree	Non-US	None	Positive experience
"Sharon" C58	Female	45-54	10+ years	Advanced degree	Non-US	Mod 1	Positive experience

The researcher chose not to include significant biographical data about the participants in this study, in part for confidentiality reasons, but also because this qualitative case study is less about the individual professional chronologies and biographies of the participants and more about their recollections of a shared training program experience. In Chapter IV, the participants' stories are shared in their own words across a timeline of pre-Module 1, during Module 1, right after Module 1 (via the feedback reports), and after some time had passed (the actual interviews). This demographics review is provided more for general information about the participants and to introduce their pseudonyms.

Methods for Assuring Protection of Human Subjects

Protecting the confidentiality, dignity, and sanctity of the reflections of the humans involved in this research study was of paramount concern for the researcher. Measures to ensure the protection of the humans involved included: (a) relatively anonymous reporting (using alternative identifiers, including individual pseudonyms, but maintaining accurate demographic information) of their reflections in the interview process; (b) generic reporting of their post-feedback reports, with no identifying information; and (c) changing the names of clients to pseudonyms. The researcher followed all IRB-recommended protocols for the protection of human subjects and carefully stored all data used for this study in the manner dictated by IRB requirements for confidentiality and ethical practices.

Confidentiality

Study participants were advised of the inherent risks of participation and given the option to withdraw from the study at any time with no advance notice or explanation required. The data collected were used only for purposes of this dissertation and any subsequent follow-up academic research or articles that the researcher might write and publish on the same topic. The data (including Informed Consent forms, transcriptions and recordings of interviews, post-program feedback forms, and any identifying study participant information) were stored in a password-protected file on the researcher's personal computer only for the required period of time to complete the dissertation process and will then be destroyed.

In addition, each participant in the qualitative case study was given a pseudonym and a coded identifier consisting of a letter and two numbers. This coded identifier was used for the recordings and any other documentation that could somehow trace back to the individual study participant. Pseudonyms were added to make this document personalized and easier to read. The researcher confirmed with interview participants that any direct quotations from their interview transcripts, for either this qualitative research study or future academic publication related to this study, would be cited using pseudonyms and coded identifiers for the participants to protect their anonymity. The client organization was also given a pseudonym, for additional confidentiality.

Ethical Practices

The researcher abided by all IRB-recommended protocols for ethical research. This included completion of the Collaborative Institutional Training Initiative (CITI) for the Ethical Principles course, which is a requirement of the doctoral program in Adult Learning and Leadership to which the researcher belongs. In addition, the researcher was grateful for the voluntary participation of the mid-level leaders who willingly engaged in the research study as participants. The researcher did not do anything that could be perceived as a risk to any ethical considerations for this study. This consideration included protecting the age, race, gender, religion, orientation, and personal or professional views of the study participants.

Overview of Information Needed

The researcher designed this study to respond to the research questions through a qualitative case study approach that included: (a) review of client archival data, specifically participants' post-program feedback reports; and (b) semi-structured participant interviews. Triangulation was achieved by utilizing the following additional sources of data: (a) researcher's own archival program notes and documents (as program facilitator); (b) participant observations and researcher's field notes; and (c) document analysis of post-program feedback reports. Table 12 presents an overview of the information needed and the sources from which the information was obtained.

Table 12

Information Needed by Data Source

Information	Online Data Collection Tool/Survey	Post-Program Feedback Report	Semi-structured Interviews	Researcher's Journal & Program Notes
Demographic				
Age range	X			
Gender	X			
Geography/Locale	X	X		
Organizational Level	X		X	
Cohort Number	X	X	X	X
Level of Familiarity with Researcher	X		X	X
Perceptual				
RQ1: leadership effectiveness			X	X
RQ2: reactions to and perceptions of BA	X	X	X	
RQ3: meaning-making		X	X	X
Contextual				
Current leadership context	X		X	
Changes to context since program	X		X	

Description of Data Collection Procedures

The data collection methods included: (a) review of the existing subject organization's post-program feedback reports; (b) interviews with program participants post-program; and (c) an online survey tool to validate demographic data and relevant participation criteria. Follow-up discussions with relevant stakeholders to triangulate data obtained from interviews or to clarify the interview data were also conducted on an as-needed basis. Finally, numerous conversations and correspondence among the researcher and BA's developers and practitioners provided contextual grounding and were captured in the researcher's journal. It was an important alignment check for the researcher with experts who were external to the study yet familiar with the BA method, the subject program, and its participants.

Post-program feedback report for initial selection. The post-program feedback report is a comprehensive document that originates from the subject organization, for the benefit of internal return on investment (ROI) measurement and future L&D program planning. It was shared with the researcher as part of the facilitation team and was discussed following each Module of the cohort-based program. The researcher obtained permission to include a sample of the feedback form in this qualitative case study. The results were (a) incorporated into data for triangulation, (b) reported as findings, and (c) analyzed as data for the timeline point immediately following Module 1.

In addition, the data from the feedback reports informed the interview protocol for this qualitative case study in two distinct ways: (a) as a point in time (immediately after Module 1 was completed), it provided a time-stamped view of how participants experienced BA that was viable and valuable; and (b) across cohorts and including a

much larger sample than the 16 interviews, the data provided a clear view of the impact BA had on participants. This second point (b) gave the researcher a place to start formulating interview questions that would align with the data in the feedback reports and also capture participants' perceptions of their experiences. A sample of the post-program feedback report appears in Appendix C.

Semi-structured interviews. The bulk of the data for this qualitative case study was obtained via in-depth interviews with 16 mid-level leaders who completed the training program. As stated earlier, the goal of the research was to explore these leaders' experiences, perceptions, insights, and meaning making with limited prompts from the researcher other than broad area focus and direction. The interview protocol (see Appendix G) was designed to first obtain the mid-level leaders' perceptions of the interplay between their leadership effectiveness and their own interpersonal communication skills. This topic was explored within the leaders' own current work context and broader career experiences.

The second area for exploration was the perceptions of BA and applications of the method post-program, if any. This portion of the interview protocol was designed to elicit any meaningful recollections about BA, to explore which aspects of it were particularly meaningful or helpful, and to determine if BA had a facilitative effect on meaning making and/or improved interpersonal communication skills.

The last section of the interview protocol focused the mid-level leaders on making sense of their experiences. The researcher accompanied them on a recollection journey and witnessed the sense making that occurred. The intention was to provide a holistic interview experience for the mid-level leaders, with a clear beginning, middle, end, and

sense-making wrapper, as well as to capture their experiences in service of the research goals of this qualitative case study.

Online survey tool. The online survey tool was intended to capture basic demographic information. It also validated information obtained via the post-program feedback reports. Finally, it provided the researcher with an avenue to communicate directly with the interview pool regarding information needed specifically for the interviews rather than with the entire sample pool of 86 alumni and current program participants. For example, relevant data that were obtained via the online tool was any changes to the mid-level leader's employment context (promotion, transfer, expanded role).

Methods for Data Analysis

The primary source of data for this qualitative case study was the 16 qualitative mid-level leader interviews. The analysis of results from the post-program survey was used to establish a baseline in time (immediately post-program) for reflection and impressions about experiencing BA. The interviews sought to qualify further those perceptions and explore the effect of time on the meaning making of the mid-level leaders regarding BA. Specifically, the interviews focused on: (a) the perceptions mid-level leaders had of effective interpersonal communication, and their own level of skill before they experienced BA; (b) application of the BA method post-program; and (c) the learning or meaning making done by participants after experiencing BA. These three components formed the timeline framework for how the interviews were conducted, coded, and analyzed before, during, and after.

This section focuses on the procedural supports the researcher utilized to codify the data; determine findings; and prepare for analysis, interpretation, and synthesis: (a) contact summary forms and the researcher's journal; (b) online coding software (Dedoose); (c) the coding scheme as it was developed over time; and (d) how the conceptual framework evolved and was applied for developing the final coding scheme.

Contact Summary Forms and Researcher's Journal

The researcher made journal entries after conducting each interview to record reflections, observations, themes, and patterns noticed within and across interviews. Miles, Huberman, and Saldana (2014) outlined a very useful tool called a "contact summary form" (pp. 124-128). For each interview, the researcher completed one of these forms, which outlined what was obtained, what questions were answered, which were left open, and how the interview went versus how it was planned. These contact summary forms, some of the researcher's journal entries, as well as the interviews and post-program feedback reports were all coded. To support a rigorous review and in service of triangulation, data for this study were corroborated across three distinct sources: (a) the post-program feedback reports, (b) the interviews, and (c) the researcher's journal notes.

The researcher kept a detailed accounting of time and tasks in the researcher's journal and also utilized other resources for support and input as well as to check her assumptions regularly. Periodic check-ins with the researcher's advisor and members of her committee in addition to frequent discussions and peer reviews with two specific colleagues from the researcher's own doctoral cohort also took place. Moreover, she tested ideas with the developer and other practitioners of BA. These provided grounding,

thought partnering, and refining of the ultimate approach the researcher employed to conduct this qualitative case study.

Online Coding Software—Dedoose

The researcher used the online data analysis software Dedoose for housing transcripts, coding, and analyzing data. Dedoose was selected from a variety of applicable software options for its ease of collaboration. The researcher was remotely located from her peer-coding resources, and Dedoose allowed for online collaborative coding discussion and shared views in real time. Codes were determined based on emergent themes in the data and aligned with the conceptual framework and research questions. As suggested by Saldana (2016), three rounds of coding and recoding, cross-checked and peer-validated, were employed before arriving at the final scheme. These are discussed in greater detail in the next section.

Data Coding and Analysis

To arrive at the final coding scheme used in this qualitative case study (see Appendix H), the researcher processed the data through three distinct levels of coding and analysis. Five interviews were used as the sample data sources for the coding scheme to evolve and develop: Steven C21, Debbie C22, Kami C31, Micah C41, and Linda C51. The final coding scheme was then applied against the remaining 11 interviews. The rationale for selecting these five interviews was that they represented a range of experiences—one interview from each cohort and two from Cohort 2. The researcher felt it was important to use the entire range of participant/cohort experiences to generate the final coding scheme. In addition, time seemed to be an early indicator of difference in

experiences, so the researcher chose to take both interviews from Cohort 2, which

represented participants who had the most amount of time since taking Module 1. Table

13 shows the levels of coding, their structure, and their results.

Table 13

Levels of Coding, Structure, and Results

Coding Level	Type of Coding	Basis for Coding	Results
Level 1	*In vivo*	Open coding for participants' words	234 codes + 0 indicators
Level 2	Structural	RQs and Interview questions	87 codes + 0 indicators
Level 3	Conceptual	Conceptual framework	12 codes + 28 indicators
Final Coding Scheme	Combined from Levels 1-3	Previous levels, feedback and cross-coding	12 codes + 22 indicators

Level 1 coding. The first level of coding methodology applied to the data

was *in vivo*, which is a form of open coding that captures the key words, insights, and

headlines of the data (Saldana, 2016, p. 105). Open coding was helpful to start with and

generated many of the quotations and succinct headlines cited in Chapter IV. The results

of the first level of coding also included early indicators of time being a differentiator.

However, the first level of coding generated 234 codes, which the researcher considered

an unwieldy number. Recoding with another lens was required.

Level 2 coding. Because of the structured nature of the interview protocol, and

the consistency across the interviews in terms of what questions were asked and in what

order, the researcher chose to apply a second form of level one coding, structural coding,

as a level 2 coding scheme (Saldana, 2016, p. 98). The structure used for level 2 coding was the interview questions. This second level of coding, in conjunction with the results of the first round of coding, focused the researcher on looking at organizing the data by time period—pre-Module 1, during Module 1, and post-Module 1, which will become more evident when findings are reviewed in Chapter IV. The researcher condensed the total number of codes down from 234 to 87 following the second round of coding.

Level 3 coding. Following the first two rounds of *in vivo* and structural coding, the 87 codes were defined with indicators and verbal descriptions, and then cross-coded by peer coders. Feedback received from advisors, peer coders, colleagues, and classmates from the researcher's data class indicated that many could be condensed and consolidated. To a condensed version of 12 codes and 28 indicators, the researcher applied a third level of coding, using the components of the conceptual framework as a coding lens and incorporating the feedback of reviewers, and was able to condense the indicators down to 22.

Final coding scheme. This final coding scheme, with 12 codes and 22 indicators across them, was the result, and it was applied across all 16 interviews to generate the final data set that represented the findings for this qualitative case study. The final coding scheme can be found in Appendix H. The process of coding the data spanned 4 months and 258 hours of the researcher's time. This included all three levels of coding, the various consolidation steps in between, and the application of the final coding scheme across all 16 interviews. It was by far the most complex aspect of this qualitative case study, but necessary to ensure the validity and reliability of the data, which are reviewed in the next section.

Conceptual Framework and Coding Scheme

The conceptual framework for this qualitative case study evolved over time. It expanded and changed in response to curiosities in the data and the researcher's desire to develop a framework, linked to the literature, that would function as a useful lens in analyzing and interpreting the findings. The original conceptual framework, shown in Figure 7, focused primarily on two aspects of theory and one emergent insight: (a) Festinger's (1957) concept of cognitive dissonance (see Figure 4); (b) Argyris and Schön's (1974) theory of Model II behavior change (see Figure 2); and (c) the structural alignment of BA and perspective transformation (see Table 4). Each of the boxes in Figure 7 aligned with one of the RQs.
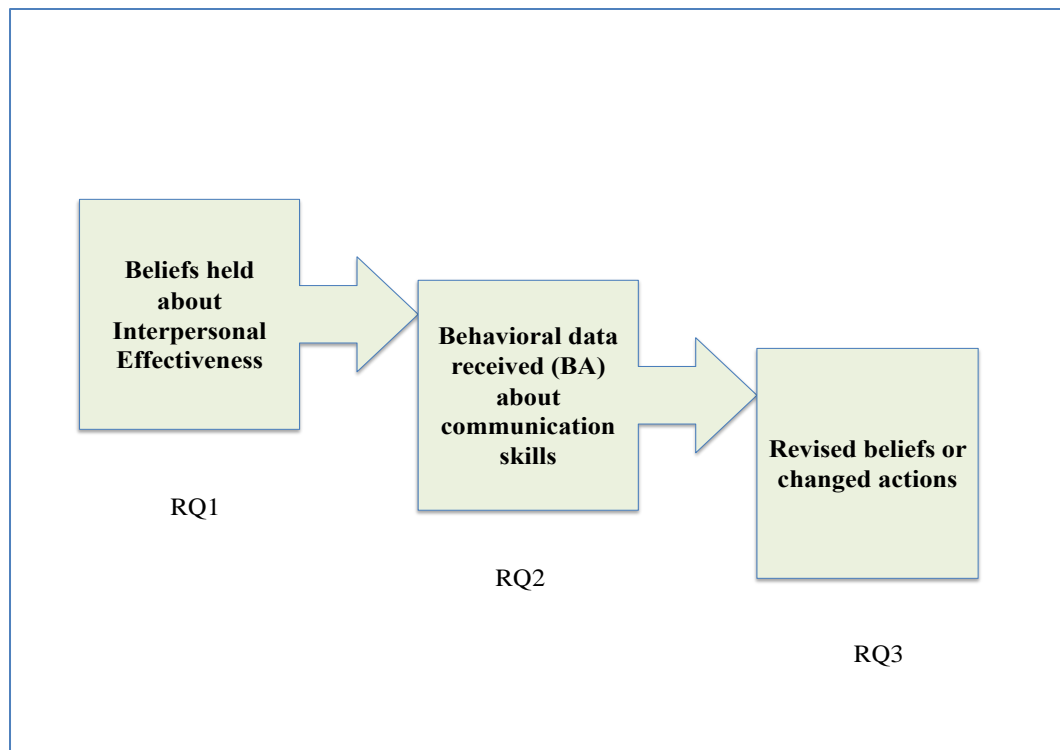
Figure 7. Original conceptual framework for this qualitative case study

Beliefs held about interpersonal effectiveness. Program participants held beliefs about how they communicated and their interpersonal effectiveness prior to Module 1. These beliefs represented their espoused theories (Argyris & Schön, 1974). Exploring these beliefs with program participants was the basis of RQ1.

Behavioral data received (BA) about communication skills. Program participants got back relatively objective data about how they behaved as well as subjective data from their group members about how they were experienced by others during the BA activity. This represented program participants' theories-in-use (Argyris & Schön, 1974). Exploring how program participants experienced BA during the training program, and how they applied it afterwards, was the basis of RQ2.

Revised beliefs or changed actions. Program participants reported being able to do some things differently and/or thinking differently about how they communicated, post-Module 1. This change in either belief and/or behavior was attributed, in part, to Festinger's (1957) theory about cognitive dissonance. Exploring what had changed for participants, and what they thought about what had changed, how they made sense of their learning and experience with BA, was the basis of RQ3.

Evolving the conceptual framework. This version of the conceptual framework (Figure 7) was used to develop the interview protocol. However, when the data were reviewed, the conceptual framework proved to be too simplistic to understand the experiences reported by program participants. The path towards revised beliefs or changed actions was just not that clean or direct for people. Some participants made belief shifts, others were still processing the experience, some had thought they did

something wrong, still others were trying out new behaviors awkwardly. The existing

conceptual framework needed to be updated and refined.

A messy process of behavior or belief change. The raw interview data showed a

messy process, with people in different stages of application and meaning making about

BA. Some had clearly changed their beliefs; some were experimenting with different

behaviors; some had done nothing yet. Many were in the limbo state described by Mälkki

and Green (2014), where articulating what had changed (behavior or belief) was still not

clear, even if change was in process. The data seemed to indicate a cyclical and/or

incremental process of behavior and belief changes, but the original conceptual

framework did not capture that. Participants reported change processes more similar to

how Nohl (2015) studied them via lived experience and life history stories than to how

Mezirow (1978, 2003) reported them via the mechanical steps of perspective

transformation—with which BA aligned procedurally.

BA seemed to play a dual role. As the data were coded, they seemed to indicate

that BA played a dual role. The feedback reports indicated the disorienting nature of

receiving the BA data and the interviews confirmed this. Moreover, interview

participants reported using BA as a menu card, taking the inventory used to record data,

and using it as a set of alternative choices to use behaviorally in communicating with

others. The original conceptual framework (Figure 7) did not allow for this either.

The decision-making process of communication. Interview participants across

cohorts, when reporting how they applied BA post-Module 1, provided details consistent

with making choices, deciding, and picking alternate behaviors. This indicated to the

researcher, and her advisors, that there may be a decision-making process about

communication at work. Argyris and Schön's (1974) Action Science model, with its step-by-step process for looking at the underlying process of communication, seemed to fit. The researcher found this model curious because it provided a structure for looking at the messiness of behavior and belief change via single-/double-loop learning. It also allowed for how BA interacted with that process.

Conceptual framework aligns with coding scheme. Elements of the original conceptual framework, specifically how the RQs and steps of cognitive dissonance align, influenced the methods for data analysis because the original conceptual framework informed the interview protocol that was used for the study. This also allowed the data to be coded more easily for the categories of before, during, and after Module 1 because the RQs were focused on before, during, and after. Ultimately, the conceptual framework evolved to its current form (see Figure 5), in response to the coding of the interviews and feedback report data that showed how BA impacted the decision-making process of communication. How the conceptual framework was used to analyze and interpret the data will be reported in Chapter V.

Validity and Reliability

Data have long been thought to be an objective, reliable, valid set of facts upon which sound decisions can be made. Yet qualitative research is different because it is "based on assumptions about reality different from those of quantitative research" (Merriam & Tisdell, 2016, p. 237). Validity and reliability are concepts typically associated with quantitative research, while qualitative research is about "the meaning individuals or groups ascribe to a social or human problem" (Creswell, 2013, p. 44). As

such, it relies on memory, perception, interpretation, and the reported integration of experiences of the subjects of the research. On the subject of validity and reliability, Merriam and Tisdell (2016) chose the terms "trustworthiness and rigor" (p. 237) regarding qualitative research. Trustworthiness and rigor, which imply cross-referencing, triangulation of data and analysis, and thoroughness in the research process, are the standards to which researchers adhere in their qualitative studies, where $1 + 1$ does not necessarily or always equal 2.

Therefore, the researcher endeavored to do all that was possible to ensure accurate collection, analysis, and interpretation of the reflections and memories of the human subjects involved in the study. Creswell (2013) outlined eight specific validation strategies to ensure rigor and cross checking of researcher assumptions in the research process (pp. 250-253). Of those, the researcher incorporated five, which are outlined in Table 14. In particular, the researcher's proximity to and familiarity with the subjects and content of the program necessitated additional steps to ensure validity.

Peer Coding and External Auditor

In particular, it is worth noting that the researcher took extra steps via an external auditor and extensive peer coding to ensure the validity of the study, in service of both validity and reliability. Saldana (2016) recommended coding data via multiple lenses to ensure that the data speak and the researcher listens, versus the other way around. The researcher was very sensitive to this risk and had the second- and third-level coding schemes peer-coded, cross-checked, and validated before arriving at the final coding scheme.

Table 14

Five of Creswell's (2013) Eight Validation Strategies Utilized

Validation Strategy	Definition	How Incorporated
Prolonged engagement and persistent observation	Researcher builds trust with participants, learns culture, checks for misinformation; close, long-term contact (pp. 250-251).	As a 5-year veteran facilitator of the program, researcher developed rapport, deep understanding of the client's culture and had client's and participants' trust.
Triangulation	Researcher uses multiple and different sources, method, theories, and so forth, to corroborate evidence from the study (p. 251).	Researcher had multiple sources of data and implemented multiple peer-coding resources to check data and coding scheme.
Peer review or debriefing	Peers conduct an external check of the research process with a resource who will check researcher assumptions (p. 251).	Researcher incorporated feedback and input from numerous sources: (a) original BA developer, (b) other BA practitioners, (c) advisor and committee members, (d) peer coders, (e) qualitative data classmates, (f) client input, (g) external auditor
Clarifying researcher bias	At the outset of the study, the researcher discloses biases, perspectives, and assumptions that may affect the study (p. 251).	Researcher's perspectives noted in this study; in-depth peer reviewing throughout study aided in clarifying researcher biases as well.
External audits	The researcher allows an external consultant, with no connection to the study, to review the process and data, and check for accuracy (p. 252).	Researcher partnered with an external resource who had similar background and training as researcher, but was not connected to the study, to meet BA developers, audit literature review, refine coding scheme, peer code 10 of the 16 interviews, check findings and conclusions, and challenge researcher every step of the process.

Peer coding. Two of the researcher's colleagues in her doctoral program, as well as from classmates in a qualitative data analysis course the researcher took prior to writing up Chapter IV, provided peer coding, discussion, and feedback that allowed the researcher to refine the coding scheme. Classmates from the data analysis course were given the level 2 coding scheme with its 87 codes. The two colleagues from the researcher's doctoral program were given both the level 2 and the level 3 coding schemes and some of the same interviews to code as the classmates from the data analysis class.

Both the classmates and the colleagues determined the level 2 coding scheme was excessive. The colleagues found the level 3 coding scheme easier to code with and more relevant. Peer coding of the interviews was 81% the same as the researcher's using the level 3 coding scheme. At that point, the researcher made some minor tweaks based on their feedback, consolidated some of the indicators, and provided what would become the final coding scheme (12 codes/22 indicators) to the external auditor. The auditor used only the revised (final) coding scheme to code 10 of the 16 interviews. After discussion with the researcher and refinement of some of the language, agreement was achieved 85% of the time between the researcher's coding of the data and the external auditor. This Final Coding Scheme can be viewed in Chapter IV as well as in Appendix H.

External auditor. The external auditor was a colleague of 12 years with whom the researcher had partnered on many professional projects in the L&D, Organizational Development, Human Resources, and Executive Coaching space. This auditor went with the researcher to visit Neil Rackham, critiqued the literature review, checked resources, questioned assumptions, and provided a sounding board for the researcher in framing the structure of the study and sense-checking themes in the data. In addition, the auditor

peer-coded 10 of the 16 interviews in their entirety and then compared notes with the researcher until the coding scheme was refined appropriately. The auditor's ability to both challenge and support the researcher throughout this qualitative case study was critical to scaffolding a more objective and rigorous review.

Limitations of the Study

Limitations for this study included the intermittent and variable nature of human memory as well as the constructivist properties of qualitative research in general. Multiple sources of data, even cross-referenced and triangulated, can provide rigor and support for findings suggested by semi-structured personal interviews and can limit where the researcher's fingerprints may persist in the process. Another limitation of the study was the researcher's familiarity with the client subject of the study and the members of the sample pool. All those who were interviewed volunteered for the study.

An additional limitation was reliance on the mid-level leaders' ability to reflect, be self-aware, articulate their perceptions, and think critically about those reflections with any degree of consistency across their interviews. Generalizability was another potential limitation because the sample size studied looked at BA within the context of one distinct client setting and one distinct training program. While this study included mid-level leaders from four separate cohorts experiencing the same content over a 4-year period, the underlying program design itself was a constant.

All participants in this study were considered high potential by their employer, the client. As such, they may or may not have been predisposed to reflection, self-awareness, and feedback receptivity. These aspects were not tested prior to the study.

The somewhat limited exposure to BA (only 2 hours of data collection rather than days of data collection, as would be typical in the design) within the targeted training program was another potential limitation of the study. This provided two separate challenges, the first of which were limited data. The second was that the program design allowed for only steps 1-6 of PT to be experienced within the training program itself and relied on the mid-level leaders' self-reports and reflections of steps 7-10 of PT as part of the interview process.

Finally, and as stated in earlier chapters, BA only captures verbal data. Nonverbal communication is not tallied and only figures into the discussion via the subjective group feedback session, if it comes up at all. This is a structural and design limitation of BA as a training method and its potential impact on this qualitative case study was not studied. That said, recommendations for future practice, to guard against this limitation, will be discussed in Chapter VI.

Summary

Qualitative case study methodology was chosen for this research endeavor because the researcher was looking at similar groups of individuals from the same client company, who had experienced the same training program content and were separated only by time and cohort. As such, the research fit Creswell's (2013) definition of a case study. Creswell itemized a number of qualities for a case study: (a) natural setting, (b) researcher as key instrument, (c) multiple methods, (d) complex reasoning through inductive and deductive logic, (e) participants' meanings, (f) emergent design, (g) reflexivity, and (h) holistic account (pp. 45-47). This chapter outlined many of those

factors and attended as well to describing the safeguards employed for participant and

client confidentiality, and the methods used to ensure the validity and reliability of the

data. How the coding scheme was developed and the application of the conceptual

framework to the data were also presented. Limitations were discussed, as was the care

the researcher took to be mindful of her embedded role in the very experience that

participants were describing as part of their stories.

An overview of the organizational context included the various supporting

documentation and demographics of the participants. These were reviewed to provide

grounding and context for the Catalyst training program, and to outline some of the

similarities and differences of the interview participants. In addition, the structure of and

data collected in the post-program feedback reports were discussed and positioned onto

the overall study findings timeline; the post-program feedback report represented

anonymous data points across all five cohorts for immediately post-Module 1. The next

chapter presents an in-depth review of the final coding scheme and the findings data of

this qualitative case study.

Chapter IV

FINDINGS

In this chapter, the foundation setting review of the various case study documents from Chapter III is expanded to look at the findings of the 16 interviews conducted, as well as the content of the feedback reports collected. The purpose of this qualitative case study was to expand what is known about transformative learning training methods in corporate L&D programs. In particular, the researcher was interested in exploring the perceptions and experiences of a group of mid-level leaders who were exposed to an observational feedback training method called Behaviour Analysis (BA, Rackham & Morgan, 1977) in service of building communication skills.

This chapter is organized into five sections. In the first three sections, the final coding scheme (see also Appendix H) is introduced in three parts, by timeline section, to provide an anchoring framework for the discussion of the interview findings. These timeline sections represent: (a) pre-Module 1; (b) during Module 1; and (c) post-Module 1, after some time had passed, with how much time depending on the cohort to which the participant belonged. In the fourth section, following the interview findings, the data from the feedback reports are reviewed.

The timeline section for the feedback reports corresponds with immediately after Module 1 was completed, which would be in between (b) and (c) above, if the findings

were viewed on a continuous timeline. The researcher chose to keep the two data sources separate and to report them in kind. In addition, the feedback reports contained data from most of the Catalyst program participants, not just those who were interviewed. The last section of the chapter includes a summary of the findings across both data sources.

The final coding scheme followed the flow of the research questions (RQs) for this qualitative case study, which mapped closely to three of the timeline sections, (a), (b), and (c), introduced above. The researcher chose to follow a consistent interview protocol for each interview, in part because of her familiarity with the Catalyst training program and the participants. She took a more structured approach to the interviews, while relying on open-ended questions and ad hoc probes in the moment to allow participants to share their experiences fully. Each interview participant was asked all of the questions in the interview protocol. The interview protocol (see Appendix G) shows how the interview questions aligned with the RQs for this qualitative case study.

Interview Findings: Pre-Module 1 Timeline Section

The first timeline section focused on participant recollections of relevant milestones and background information—the period under consideration culminating with the start of the Catalyst program and Module 1. It also included insights into how participants saw interpersonal effectiveness factoring into their roles as leaders. Finally, this section explored the story that participants told themselves about themselves as communicators, and any evidence they had that supported or refuted their story. This timeline section proved to be consistent across all 16 interviews, with similar answers provided about background influences, criteria for assessing self as a communicator, and

type of evidence that had been received. Therefore, the researcher chose not to cluster

Timeline Section 1 findings by cohort, but to report them freely across cohorts. To assist

the reader, Table 15 below shows the participant pseudonyms and cohorts to which they

belong. This information was extracted from Table 11 in Chapter III.

Table 15

Participant Pseudonyms and Cohort Numbers

Cohorts 2 and 3 (4 Interview Participants)			
Steven C21	Debbie C22	Kami C31	AnneMarie C32
Cohort 4 (4 Interview Participants)			
Micah C41	Harold C42	Aamir C43	Joseph C44
Cohort 5 (8 Interview Participants)			
Linda C51	Matthew C52	Jonathan C53	Monique C54
Lisa C55	Cary C56	Renee C57	Sharon C58

Timeline Section 1 Codes: Pre-Module 1

The codes used for the pre-Module 1 timeline section focused on establishing the

story that the participants told themselves about themselves as communicators in order to

ascertain their espoused theories (Argyris & Schön, 1974, 1996). The researcher chose to

ask questions that established background information and looked at perceptions of

influences, milestones, inflection points, and individual characteristics that the

participants identified as important in their career progression. In addition, the interview

protocol focused on how important interpersonal effectiveness was to the participants in

their leadership roles, and probed for evidence about the story the participants told

themselves about their communication skills—essentially asking them "How did you

know?" Table 16 shows the codes, indicators, definitions of indicators, and timeline

section (time cluster) for pre-Module 1; the overall theme of this section of codes was "perception": exploring the participants' perceptions of themselves coming into Module 1 of Catalyst.

In Tables 16, there are four codes, organized by timeline section ("Time Cluster" as it reads in the first column of Table 16), which in this case is prior to Module 1. These codes are: (#1) background, (#2) leadership effectiveness, (#3) story about self as a communicator, and (#4) evidence gotten back about story. Each of these codes has an indicator, and sometimes multiple indicators, that focuses on a certain aspect of the code. In the following discussion of these four codes, the indicators form subheadings to allow the reader to track the discussion within the narrative, and without having to refer back frequently to a corresponding code table. The last column of Table 16, on the following page, provides definitions of the indicators to further guide the reader. A similar logic and structure for presenting the findings by timeline section is followed for Tables 19 and 21 later in this chapter.

Code #1: Background. The three indicators for this code are (a) years of experience, which includes age range; (b) science or business degree; and (c) critical incidents, people or qualities that enabled the participant to succeed.

Years of experience. The specific years of industry experience as reported by participants can be found in Table 11, in Chapter III; the average for the group of participants was over 10 years. The age ranges provided for participants in the study to choose from clustered into three ranges. Only one participant (1 of 16) answered that he/she was in the age range 25-34. Six (37.5%) answered they were aged 35-44 and the remaining nine (56.25%) answered they were aged 45-54.

Table 16

Pre-Module 1 Codes, Indicators, and Definitions

Time Cluster	Codes	Indicators	Definitions of Indicators
Prior to Module 1	Code #1: Background	Years of experience	How long participant has been working and/or working within the industry
		Science/Business background	What formal training and/or educational background
		Critical incidents, people, qualities that enabled them to succeed	Descriptions of professional progression influences on participant; what helped them get where they are in their view
	Code #2: Leadership effectiveness	How does interpersonal skill factor into leadership (includes examples)	Role that interpersonal skill (emotional intelligence, empathy and ability to self-regulate) plays in leadership in participant's experiences
	Code #3: Story about self as communicator	Assessment of self as communicator	What is participant's estimation of own skills, confidence, abilities as a communicator
		Criteria for assessment of self as communicator	Basis for that assessment: How does participant "know" story told to self is accurate
	Code #4: Evidence gotten back about story	Feedback from other people	What feedback others have given participant about his/her communication skills
		360s or other tools/inputs	What other sources of data have either corroborated or refuted story told to self

Science or business degree. The majority of interview participants (15 of 16) held an advanced college degree, with 25% (4 of 16) holding degrees in both business and science, 56.25% (9 of 16) holding advanced degrees in science, and 12.5% (2 of 16) holding advanced degrees in business. Only one participant in the study did not fully complete college.

Critical incidents or people influences. Participant answers were varied when asked about critical incidents, milestones, people, or qualities that enabled them to succeed. As can be seen in Table 17, six participants (37.5%) mentioned mentoring as a key ingredient—specifically having someone who believed in them and helped to steer and guide their careers. Luck played a role for two participants (12.5%) as well: "Right place, right time," said Cary C56. Other contributing factors mentioned included: (a) leveraging prior experiences working across industries and functions (43.75%); (b) networking (25%); (c) having good people skills (25%); and (d) pushing themselves beyond their comfort zone (25%). It is important to note that the participants were able to provide more than one influence or milestone and were not asked to prioritize them.

Table 17

Critical Incidents, People or Qualities as Influences on Background

Critical Incidents, People or Qualities	Percentage of Response
Leveraging prior experience	43.75%
Mentoring	37.5%
Networking	25%
Pushing themselves beyond comfort zone	25%
Luck	12.5%

Code #2: Leadership effectiveness. All 16 participants answered the question in the interview, "In your experience, how does interpersonal effectiveness factor into the demands of leadership?" Their answers were affirmative and consistent, and focused on a few main areas: (a) being able to see where others are coming from and to read social and interpersonal cues (43.75%); (b) investing in, developing, and utilizing interpersonal relationships (37.5%); (c) demonstrating a willingness to listen, to show respect, and to show empathy towards others (31.25%); and (d) being able to influence others (25%). None of the participants answered that interpersonal effectiveness was not a critical component of leadership in their view and experience. Table 18 shows these categories clearly.

Table 18

Criteria for Leadership Effectiveness as Reported by Participants

Aspect of Leadership Effectiveness	Percentage of Response
Being able to see other's view and read social cues	43.75%
Investing in interpersonal relationships	37.5%
Demonstrating a willingness to listen and show empathy	31.25%
Being able to influence others	25%

Interpersonal effectiveness. "I think it's critical because I want people to feel like they're being heard, that their perspective matters, that it ultimately will impact the decision that's being made," said Lisa C55. Monique C54 echoed those sentiments: "I think you can't have leadership without interpersonal effectiveness…it's at the crux of success in general." Aamir C43 said it this way: "I think it is one of the most critical things that I have come across because if you cannot understand the other person's

perspective and mindset, and where they're coming from, you're going to fail as a leader, pure and simple."

Two additional points were highlighted, particularly for those who work outside of their native language. Linda C51 said this: "It's hugely important; when you speak a different language, you actually have to use other cues because you don't always understand 100% what's going on." Matthew C52 brought forth the challenges of working in new groups and how that impacts leadership: "So for me, there's a big difference between the first couple of times you meet an individual or you are part of a new team or group, versus that you have been working in very closely."

Very pronounced in all of the responses was that interpersonal effectiveness is a component of leadership, and it somehow contributes to the recipe of effective leadership. What was less clear was "how"; few concrete examples of what interpersonal effectiveness in a leadership context looks like were given. Joseph 44 said, "Creating the interpersonal connections are fundamental to show leadership in the pure sense of the word." However, he did not provide an example. Cary C56 reported an example of a coworker who was very close to a project, and unable to accept that the organization was going in a different direction from a study in which that coworker was particularly emotionally invested. This created an opportunity for Cary C56 to (a) sense that she (the coworker) was emotionally entrenched, (b) reach in and try to help her see that the outcome had nothing to do with her efforts and involvement, and (c) attempt to focus her on moving forward from disappointment in a constructive way.

AnneMarie C32 connected interpersonal effectiveness with her role:

So it's all about understanding how am I going to craft my message to get that other person to do what I need them to do, and also understanding that they may be coming at it, you know, looking at X, Y, and Z because they've just had that experience, or having a rough time with new management or something and are not going to be focused on this, but I need to bring them back into the fold.

Finally, Micah C41 suggested being able to read people was important:

I think it's great you put it that way. I think if I had to single one thing out, I think…it cannot be undervalued. I think it is the most important part of leadership is being able to read people, have people open up to you, to not feel confrontations, to feel people in their problem solving, you know, state of mind. I think a lot of people, they have great interpersonal skills, but I kind of challenge the people that make it look effortless are the ones that really do.

Code #3: Story about self as a communicator. In participants' stories about themselves as communicators, there were two indicators: (a) assessment and (b) criteria. Assessment referred to how well the participants rated their own communication skills. Criteria referred to how they knew they were good communicators.

Assessment. A consistent story was noted about self as communicator, at least as far as pre-Module 1. The story across 13 of the 16 participants (81.25%) was "I am a good communicator." Criteria for how each made that self-assessment varied and are explored in this next section; as well, evidence gathered from the external world follows that exploration. The researcher chose to provide all 16 reflections in this section, since the story the participants told themselves about themselves as communicators was a critical component in determining espoused theory for this group (Argyris & Schön, 1974, 1996). The criteria most cited by participants as indicators of their communication skills were: (a) giving direction, getting a point across, being articulate particularly with technical topics—essentially "transmitting a message"; (b) being able to listen, ask questions, and modify a message to audience/counterparty and ensure understanding; and (c) presenting to people, large or small groups, formal or informal presentations.

Kami C31 said, "I thought I was a good communicator, and I thought that I am able to change my message according to my audience." AnneMarie C32 said a similar idea: "I thought I was a great communicator. I thought I was a great relationship builder, good listener." Renee C57 offered, "I thought I was a good communicator. I do tend to talk a lot…I have a lot of ideas and I want to…discuss things…I like to tell stories, I like to hear stories…perhaps I talk too much, but hopefully most of it is good." Monique C54 said she was a good presenter:

> I have thought of myself as a strong communicator, and I think a lot of that developed when I was in the field. I was doing presentations—more than a hundred presentations a year to big customers.... I would go in there and I would ask questions.... I think that helps me be more successful.

Similarly, Jonathan C53 added he felt his communication skills were okay on balance:

> I think I'm okay as a communicator. I can only try and get my point across, probably a bit long-winded. I prefer to have a little bit more time to kind of prep myself before I need to communicate. So, I'm probably not as strong ad hoc.... I certainly don't think probably my strongest strength, but I don't think I'm weak at it.

Moreover, Cary C56 said he was able to get his point across:

> I do think I'm actually effective as a communicator in a group setting on a topic. I feel less effective, um presenting in public on a topic that's not a dialogue, and I think that's just kind of natural. That takes time to kind of be engaging and, and everything (pause), but I tend to be able to get my point across.

Sharon C58, Matthew C52, Steven C21, and Lisa C55 provided a slightly different take in answering the question. From Sharon C58: "How good we are at this [communicating] is another story, and personally me, I am, I think I have a lot to do in that area." Matthew C52 commented, "I always, and I mean always, need to feel or know that I'm giving the very best account of myself." Steven C21 said it this way: "I always thought I was a better communicator than I really was." Lisa C55 gave a six-word

headline: "good on paper, challenged real time." Further probing brought details that

included a preference for preparation beforehand, a difference between doing the research

for someone else to do the speaking and having to "sit in the chair real time while people

were throwing questions my way."

Three of the group expressed a different perspective. Debbie C22 gave this self-

assessment: "I was the questioner, that I was always like the one asking—kind of

applying the Socratic method—and letting others kind of through answers realize what

needed to be done." Moreover, both Micah C41 and Linda C51 answered the question

with a nod to the evidence they got back in Module 1 that may have caused them to

question their story. Micah C41 suggested there was more going on: "Prior to Module 1, I

felt like my greatest strength was communicating technical details…. I think Module 1

put me in the right mindset to realize there was more than that going on." Linda C51 said:

> So, my internal belief was…that I was actually good at communicating. I
> thought that it was a skill set that I had been developing, and that I was good at
> communicating and good at collaborating and bringing everybody on board. And
> then I learned something slightly different from the module about that, but
> initially I was, I did think that was something I was quite good at.

Aamir C43 said, "I was getting stronger by the year. I was getting more

comfortable in front of groups." Moreover, Joseph C44 expressed, "I think that module

one was, was almost shocking because…I thought about my communication style was

moderated to the role, I think. So, just listen. Yes, it was more about giving direction

more than the reason why I think it." Harold C42 provided this reflection: "I told myself

that I was not as active a communicator as maybe I was, that I tended to hang back and be

quiet, sort of be a quiet observer."

Criteria. The participants offered many examples of how they arrived at the conclusion that they were "good communicators." Here is a sample of them, from Cary C56, Kami C31, AnneMarie C32, Harold C42, and Monique C54. Cary C56 focused on bringing information:

> I try to bring information and data to a discussion, I try to look at things from a logical perspective and apply that forward. I think I, at least I try, to be as concise as possible. I subscribe to the theory that less, if you can say something with less words, it's better than using more. I think you'll be able to reach more people and they'll be able to really get you.

Kami C31's included audience understanding: "When I see that my audience is able to understand what I'm presenting and ask the correct questions." She also said, "I could engage people in discussions and conversations, and also debate effectively about kind of big points." AnneMarie C32's added the importance of timing contributions:

> I tend to think internally, but I always thought that I was absorbing information and I could think quietly to myself and I could jump in the conversation and bring out the zinger and everyone would be like oh yeah, that's great. I wasn't one of those people who had to talk through everything to get to the end.

Harold C42 preferred to take a measured approach: "I'm a solo thinker. I am also very word-bearing, so if I don't feel that I have anything material to contribute, I am not going to speak up just to hear my voice." Monique C54 promoted versatility of approach:

> You have to be able to talk both to the science people as well as to the commercial people and be able to go back and forth, and like zoom in and out to the level of detail…. I've been successful in the past like bringing people on board who other people think as difficult and things like that. So, I do have a good sense that I was a fairly good communicator.

Themes in these reflections, and those of many of the other participants, centered around three main areas: (a) bringing information and data across to others, (b) gauging the audience for receptivity, and (c) being articulate and concise. The examples provided reinforced these themes. The pre-Module 1 communication story that participants told

themselves was about good communication being consistent with the effective transmission of message to others. The role for questions was predominantly to check for understanding of the messages being transmitted. Adjustments to message were made as needed, depending upon audience, circumstances, and degree of comfort or preparation that the speaker (in this case, the participant) had. The next section discusses the evidence that the participants got back to substantiate their communication stories.

Code #4: Evidence gotten back about story. The evidence that the participants cited to substantiate their stories about themselves as communicators included: (a) feedback from others, (b) references to 360 data, and (c) no real evidence. None had examples of psychometric evaluations or other assessment tools. None mentioned ever having experienced BA or other forms of relatively objective observational feedback for building communication skills. None cited any significant challenges to their self-assessments as communicators; in fact, most of the evidence and examples provided validated their stories.

Feedback from others. Jonathan C53 noted consistency: "I've gotta say, I don't think I've ever had a huge discrepancy between what I thought of myself, and I've never had one of those shocking 'Aha!' moments where someone has come to me and said, you need to change this about the way you communicate." Kami C31 had an interesting experience where her BA exposure coupled with an incident about 1.5 years prior to Module 1 and produced the following insight: "I realized that while I was focusing on presenting ideas and coming across as useful and smart and whatever, I was not paying too much attention to how this might leave other people in the room feeling."

References to 360s. Cary C56 said, "I've done a number of 360s and that kind of came out as well, that my communication style is kind of effective." Aamir C43 cited a 360 report on him with 22 respondents that Palmetto sponsored before Module 1 of Catalyst, and a consistent message of him being a good communicator.

No real evidence. Harold C42 said he had no evidence: "I had no evidence, only testimony, and that testimony came from myself." Others began a search for evidence after Module 1. Steven C21 started to look for clues: "So, after Module 1, you start—it makes you start to think about some of the conversations you're having; and then you know, did it change immediately? No, because then now you're gathering evidence about it."

Interview Findings: During Module 1 Timeline Section

The during Module 1 timeline section is organized around participants' experiences with Behaviour Analysis (BA, Rackham & Morgan, 1977). In particular, these experiences are organized around how they reacted to the method, what it told them, how they applied it after Module 1, and any emotions experienced or noted. As stated in the limitations of the study, the interviews took place post-Module 1, rendering each interview a recollection. Across all 16 interviews, as this section shows, were elements of bridging between the pre-Module 1 stories and the post-Module 1 stories that are explored later in this chapter.

Unlike the first section, where there was consistency across the elements of the story all participants told themselves, their reactions to and insights gleaned from their respective BA experiences were varied. Clustering of the findings by cohort was done during this Timeline Section 2 for findings related to the code for how BA was applied.

This begins to show the impact of time on participants' recollections and reported experiences. At minimum, with those in Cohort 5 only having experienced BA 6 weeks to 3 months prior to the interview, their opportunities to apply BA were different than those who took the program earlier (Cohorts 2, 3, and 4). Therefore, the researcher chose to cluster their experiences by cohort for that code in this section.

Timeline Section 2 Codes: During Module 1

This section of the Final Coding Scheme focused on BA and how participants experienced it. In general, the researcher wanted to understand their reactions to the training method, and how they came to either trust and/or accept the data that were presented to them about themselves or about others. Probing for what BA may or may not have told them about themselves or others, or even about themselves in relation to others, was key in this section, as well as any indicators about feelings or emotions noted. Finally, participants were asked how BA was applied following Module 1 and what that was like for them.

Two of the limitations of the study were that the Catalyst training program design did not allow for (a) a significant amount of BA exposure, and (b) enough dedicated time to practice new BA-specific strategies during the program. The researcher was curious about how participants had applied the method on their own afterwards. In Chapter V, these data are reviewed more closely, considering how they mapped to the Conceptual Framework at the end of Chapter II. Table 19 shows the coding scheme for the During Module 1 section, following the same structure as Table 16 before it: (a) Time cluster, (b) Codes, (c) Indicators, and (d) Definitions of indicators; the theme of this section of codes was "application" and focused on experiences of BA and how those were applied.

Table 19

During Module 1 Codes, Indicators, and Definitions

Time Cluster	Codes	Indicators	Definitions of Indicators
During Module 1	Code #5: Reactions to BA	Reaction to BA as an experience: positive, neutral, negative	How participants described their BA experience; what was it like to go through it; thoughts, observations, feelings, experiences described
		Trusting the data/BA process	Accepting the data received and accompanying feedback as accurate or not; thought process and rationale of participants that resulted in either accepting the data or rejecting it
	Code #6: What BA told them	What did they see in their own data?	What was surprising, validating, concerning, curious in participants' own data—what called their story into question
		Their view on other people during BA or during data review	What did participants see or realize about others in the group as a result of BA experience
		Their view on themselves in relation to other people (including what others helped them to realize about themselves)	What did participants see about themselves in relation to others, or how did others help them to see something about themselves
	Code #7 How they have applied BA	What have they done differently?	What aspects of BA have been applied post-Module 1; what have participants done differently
		What was that like?	Examples, reactions, reflections, descriptions about what it has been like for them in applying BA since Module 1
	Code #8 Emotions	Emotions noted during Module 1 or flow of story	Emotions, descriptions of emotional state, changes in emotion of participant either noticed by participant or others

In this Timeline Section 2, the researcher looked for evidence of (a) conceptual framework elements; and (b) integrated thinking, doing, and feeling. The former could potentially situate BA as a training method aligned with what was known theoretically in the literature. The latter could potentially explain what learning was going on for participants. One of the challenges of working in contemporary contexts with theoretical frameworks and methods from prior decades is ensuring consistency with what has been learned in the literature since. As indicated in Chapter II, whole-person learning (e.g., Dirkx, 2001; Taylor & Marienau, 2016) illustrates the integrated nature of thinking, doing, and feeling in service of learning. While the theories that underpin this qualitative case study are somewhat silent on the feeling (affective) dimension, BA attends to it. The researcher felt it was important to draw attention to that here and in Chapter V.

Code #5: Reactions to BA. Reactions to BA ranged from very positive and validating to unexpected and disconcerting. Participants used words like "shocking," "mortifying," "brutal," and "destroyed" to describe how they experienced this training method. Others found it "positive," "validating," "eye-opening," and "interesting." In their words, here is how some of the participants experienced BA. There are two indicators for this code: (a) positive, neutral, negative; and (b) trusting the data.

Positive, neutral, negative. Joseph C44, for whom English was not a first language, had a cultural habit of using the word "but." He used it to start sentences and praise people, and also as a segue between acknowledging others' contributions to a conversation and bringing in his own perspective. For those who speak U.S. English, "but" often has a negating connotation. It almost dismisses whatever comes before it in a sentence in favor of what comes after it. In BA, "but" at the start of a sentence gets

counted in the category of disagreeing. If it is used as a segue between summarizing a

contribution from someone else and offering an alternative, it would be counted that

way—summarizing and disagreeing. Here is how Joseph C44 recollected his experience

with BA and the accounting of the word "but":

> So, in my mind, I thought that I was a builder, but I was not! It was completely different, the image, the sense of myself from other people's point of view… and so I loved that moment…it was fundamental for the rest of the training…. I think that joining the training and discussing with the shocking moment, then understanding that you do in a different way from what you have in your mind, and looking at the evidence of your behavior, it's a moment fundamental in terms of building your self-awareness, and if you want to go inside yourself, it's an amazing approach.

Joseph C44 was a member of the researcher's Module 1 group, and the researcher

witnessed the above recollection. A simple change of words from "but" to "and" allowed

Joseph C44 to shift from being perceived as disagreeing to being perceived as building on

the ideas of others. His recollection of the experience, and seeing the actual data,

continued below:

> It was amazing to see the numbers, with the evidence that the way I used to communicate was, was absolutely, you know, important to understand where I was versus, you know the way I used to think about myself a little bit, the story that I have in my mind…. I like to receive feedback in general, but that little machine, from the computer with the evidence of the words, it's not an interpretation. It's there and no way to write an elegant story about myself and eventually filter in someone else.

AnneMarie C32 was an industry veteran. She had worked for many years in a

variety of functions, with "one thread that has been consistent through all of the positions

that I've held over the years has really been like a client focus." Providing service,

looking at the bigger picture, and helping drive solutions were her forte. She led a cross-

functional team within Palmetto, which she described as "a high-touch job and it's

constant moving of focus to make sure that everyone is keeping alignment that needs to

happen in order for us to achieve what we need to achieve." Her experiences with BA

were, in a word, "brutal." Here is how she described BA's disorienting effects on her:

> I remember the conversation we were having around the table as a team, when we were going through the actual exercise. All I can definitively remember is feeling so incredibly frustrated because the conversation was not going the way I thought it was supposed to go, like I thought we were off topic…. I can still feel the, my stomach dropping, and this bad feeling in the pit of my stomach when the results came out because it seemed like it was totally opposite of what I thought I was…. It was brutal. It really was. But it was such a reflection and I had to think long and hard about not discounting it.

AnneMarie C32's recollection of the experience continued this way, with a recount of

both in-the-moment processing and reflections that had occurred in the 2 years since:

> There was this momentary feeling of, oh my god, this is one example and I don't know these people and I was trying to find ways to go this is not true, this is not really me…. I got honest and realized that it was a reflection of what I had, what was going on truly at that time for me…. I made the connection that in the last year, nine out of ten meetings resulted in similar frustration level.

As the conversation with AnneMarie C32 continued, she explained the source of the

frustration, which was not entering the conversation early enough: "I was, you know,

interjecting, I was not asking questions, I was not drawing people out, I was not

engaging, right? I was, I was fighting." In addition, her role had shifted from servant/

client service role to leadership role, requiring her to be more vocal and find a way to

engage more, and this experience helped show her the need for that. Her final comments

on BA from a reaction perspective were these: "To this day I will tell them the BA was

the absolute low point for me…it was brutal. That was probably the hardest part for me

for Module 1, but it was the thing that has stuck with me the most."

AnneMarie C32 was not the only participant to reference that BA cast a light on

the conversation process—specifically, about when and how a person enters a

conversation. Matthew C52 and Sharon C58 commented on this as well, both expressing

(a) frustration with not entering discussions sooner, and (b) BA showing them both the need to be in a discussion and behavior choices that could help. Matthew C52 said, "I think that what I'm trying to do is make my presence known earlier." Sharon C58 commented, "I am just throwing information to the group without any, let's say, next step or constructive way how to use that information."

"Don't take it personally" was a phrase used frequently across the interviews from a reaction perspective. A number of people got out of the BA experience that people's behavior belonged to the other person and not the recipient. Kami C31, Cary C56, and Micah C41 all cited this phrase and how BA brought that realization to light. As an example, Kami C31 commented on the direction of interruptions: "So when I realized that someone was interrupting me, I thought of them as interrupting *me*, I never thought of it as that person just interrupted…. So it is so-and-so's nature to interrupt and it has nothing to do with me." Micah C41 talked about what triggered him in others:

> So, some elements that I kind of learned from that were like the clear triggers for me in other people's behavior that I don't like…. I think that things like that, seeing behaviors that are like negative triggers for me and kind of being able to acknowledge that I'm having a negative reaction to somebody else's behavior, it's brought some awareness of situations that I probably did not spend a whole lot of time thinking about before…. Was interesting to kind of see those [behaviors] laid out as ways people manage conversations.

Cary C56 offered the example discussed earlier in this chapter about the woman who became too emotionally invested and attached to a project outcome and the role Cary C56 had to play in letting her see how to "not take it personally."

In addition to the stories above, other participants had reactions to BA as well. Aamir C43 called it "eye-opening," Monique C54 said it was "validating," Sharon C58 and Matthew C52 "did not like it" and "were uncomfortable." Debbie C22 said

something similar: "It was uncomfortable, it's not comfortable to be confronted with something." She talked about what it was like to digest BA:

> …it took me a little bit longer to internalize…of course, being confronted with that actual evidence…that was actually the first time that there was objective evidence…that's what shook me because if not for that, I don't think I would have believed it. I could not argue with that…I might have a tendency to argue, but that gave me pause…. It was objective data that somebody took during that two-hour interaction and I had to pause.

Trusting the data. On the subject of trusting the data, Kami C31 offered, "If the Behaviour Analysis did not match the opinion I had, I would have blamed the Behaviour Analysis. That's just me. (laughs). Yeah to me, it was like, okay the fundamentals are all in its place and now let me dig deeper." About experiencing BA, Renee C57 said, "It was a little bit unexpected. I had never been through it before, so it was a new thing…. I found it really good, actually, because first I was mortified…I was the one with the most behaviors." Harold C42 said it helped him see himself differently:

> Yeah, it was really very powerful and enlightening…. I went in with one perception of how I actually behaved and interacted, and the evidence showed something different…. My perception or was I being hard on myself, I wasn't really participating, and in fact, I did participate. I fell exactly right in the middle of the group. But, I also helped other people participate, which maybe surprised me a little bit. I wasn't necessarily conscious of doing it.

Linda C51 talked about how to turn her data results into an opportunity to learn:

> I had this thing that I thought I was really good at, and then it turned out I wasn't quite as good as I thought. But, what was great was I saw how I wasn't as good as I thought, which means I can do something about it. So, it was nice because it was an eye-opener, and sometimes when you get feedback, you go through this stage of...you're a bit angry about it, you know, saying it's wrong. And, I really didn't go through that to the same extent as before because I just thought wow, this is good that I know this because I...am not being as good as I could be.

Code #6: What BA told them. In the previous section, participants shared their reactions to BA. They described going through it, seeing their own data, and witnessing

others (and their data) in the group. Their reactions varied from validating to pausing to outright embarrassment and discomfort. This next section details what BA actually told the participants—about themselves, about others, and about themselves in relation to others. This section is about self-awareness and other awareness. It includes three indicators: (a) participants' own data, (b) their view of other people, and (c) self in relation to others.

Participants' own data. In the initial set up of BA, advocacy and inquiry are described in terms of "push and pull," which refers to the direction of the argument—is a person pushing information towards someone (advocacy) or seeking information from someone (pulling)? Participants found this concept easy to grasp and quickly adopted it as a way to describe what they were experiencing. Five of them (31.25%) explicitly talked about push versus pull in what BA told them.

Steven C21 talked about his choice of words: "How much pushing versus pulling I was doing," his presence in the conversation interaction with others, what messages he was conveying verbally and nonverbally. Jonathan C53 commented on managing airtime: "I think maybe stepping back a little bit more, letting other people initiate the ideas and then you know sort of testing, making sure I understand what their idea is. Pulling a little bit more instead of pushing." Lisa C55 said, "I mean it was great because I learned some things about myself that was very surprising. Like I thought I was a pull and it turns out I'm a push, so that was very insightful." Sharon C58 said, "So, because I am communicating this, and this is more push than pull, I am not able to build…I am just giving information…without next steps." Cary C56 said, "I'm not pulling enough. I'm pushing more."

The topic "questioning" rose to the surface as participants noted what their BA data told them. Debbie C22 had a revelation about her questioning:

> It was the distinction of that one particular point that just because there is a question mark at the end of a sentence doesn't mean that it's a genuine question. That was a light bulb going off…. And, not having and showing…the range of behaviors that somebody can access, so I clearly was not staying into that full spectrum available. I was actually quite narrow, if I recall correctly, in terms of the BA, and that was again, that was like a second really uncomfortable thing... like it was almost like I wasn't a full human being...like I wasn't like a full person.

AnneMarie C32 had this to say about the subject of questioning and what her BA data told her:

> I didn't question, like I didn't ask questions to kind of better understand where somebody was coming from or what their background was, or what was bringing them to the conclusion they were working on. I certainly didn't find polite ways to interject my (laughs) thoughts. I had a big red exclamation point of doing this way too much. Basically, other than interjecting, with a really bad tone, I was doing none of the other leader things that I should have been doing as a leader.

Finally, Linda C51 offered this commentary: "I didn't say 'So, what does everyone think?' I wasn't asking that many questions. I was just sort of making suggestions and listening to others making suggestions, but I wasn't asking enough questions."

Their view of other people. Participants mentioned that the other person plays a role in conversation and effective communication skills. Specifically, they stated it was important to slow down and consider what another person was saying. Cary C56 used the phrase "exercise an idea" to refer to walking through the pros and cons of what another person puts forth. Kami C31, Aamir C43, and Cary C56 all commented on this idea of considering another person's perspective. Kami C31 said:

> That's when I realized about perceptions that people have and also that I myself was not building. I had to take the time to let people know I heard them, to take the time to listen first, and then to let people know that I listened and I heard. And, the third thing is not to be dismissive of an idea that I don't think personally

is good, but to explain why it might not be that, you know, in a way that is not condescending.

Aamir C43 shared insights about checking in with others:

I think it was those nuanced things that I brought up earlier about, you know, probing about you know, when you're checking in [with another person] to make sure that you're not rushing to conclusions, right? And, not leaving any person behind in the process in terms of making the decision. And really gathering all the insight you can. Be thoughtful when you're checking in and really probe and uncover as much as you can when you can.

Cary C56 said it was important to let others say their full thought and not interrupt:

Nothing surprised me or nothing there said that's not you…. I think that is how I would act in that type of environment. I think there's things for me to work on…. Even if whatever the person is saying is totally wrong, or you think it's totally wrong...it's important to kind of let the conversation happen, right? So let them fully elucidate their idea or their concept and not just try to rush the decision…. I think in the long run, people will feel more valued if you just, you know, exercise an idea…rather than just shutting it down.

Self in relation to others. BA is conducted in a small group. The exercise where the data are collected occurs in a group of 6-8 people. The data and feedback review occurs within the same group of 6-8 people, which gives them the opportunity to see themselves in relation to others. They can compare their memories of the exercise where the data were collected with the data they see on themselves and others in the group. A number of participants referenced this experience and said it was a source of perspective about themselves they had previously not considered.

Aamir C43 said, "BA at the end of the day is self-reflection for me. If you don't have self-reflection, I don't care what tools you give me." Joseph C44 said, "It was most memorable because first of all, it was the first time that I was in such a, you know, sort of feedback session, so transparent and so important." Linda C51 said, "There's a sense of camaraderie that really helped with dealing with something that probably ordinarily

would have been quite difficult to digest." Renee C57 added, "I thought the fact that we

looked at those behaviors in front of a group of people out in the open, it was a very

interesting experience."

Micah C41 saw something in himself as a result of the feedback session:

> Person 'X' [unnamed program participant] told me that there are times when I appear to have a very short attention span and when I'm not, when I don't think much of an idea, you can tell that I'm, you can tell by the look in my eyes that I'm about fifty percent there. You know that's spot on, like I've got a relatively short attention span and I think that's been something that I kind of consistently looking at behaviors, I'm very aware of now and I make sure to think about that when I find myself in situations where I'm perhaps less engaged.

Harold C42 said this: "I try and be very conscious of who else is in the room and are they

participating. I'm watching who else is maybe hanging back and somebody hasn't said

anything in a while, I want to make sure they're engaged." Monique C54 offered this:

> So, I think it was fairly accurate…so one thing that came up for me is that I cut off people too much. Like not too much but more than average.… I think even though I know I cut people off, I was hoping I didn't do it as much. So, it made me feel like maybe I don't do as good of a job listening as I thought I did.

Code #7: How they have applied BA. This section focused on how participants

reported they had applied what they learned from BA post-Module 1. The element of

time began to show up in this section as a factor because for some people (those in

Cohorts 2, 3, and 4), more time had passed since Module 1. For those in Cohort 5, only

6 weeks to 3 months had passed. The passage of time seemed to affect a number of

aspects, ranging from what participants reported they had opportunity to try, to how

successful or not they were in their application. Some had not even digested the material

in the program enough to have reflected on what they wanted to apply; this was

particularly true for Cohort 5. In addition, those in Cohort 5 only saw Module 1, and

therefore did not know the degree to which the remaining modules built off its content.

This Code #7 breaks with the previous pattern, and groups responses by cohort, rather than by indicator, because of the element of time. The two indicators for this code were: (a) what have they done differently? and (b) what was that like? For indicator (a), what have participants done differently, the experiences reported by participants were grouped into key categories and distributed by cohort. Categories were: (a) questioning and listening, (b) utilizing a broader range of behaviors, (c) connecting with others/using empathy, (d) building on the ideas of others, (e) increased self-awareness, and (f) airtime management (pause, hold back, wait to speak). Table 20 shows a distribution of participants' comments in those categories across cohorts. This table is helpful as the impact of time is considered on the application of BA. Some participants' comments, by cohort, follow Table 20, and many describe indicator (b), what was that like.

Table 20

Participant Applications of BA Post-Module 1

Category	Cohort 2	Cohort 3	Cohort 4	Cohort 5
Questioning & Listening	0	0	2	4
Range of Behaviors	1	1	1	2
Connecting With Others	1	0	2	0
Building on Ideas	0	1	1	1
Self-awareness Increase	1	0	0	1
Airtime Management	1	2	1	1

What they have done differently and what was that like? Cohorts 2 and 3.

Steven C21 said, "Awareness is the first step." He went on to explain how his goal in conversations had shifted to connecting more empathically with the other person in the conversation "because now I am looking for cues, right? I am looking for things and it

helps me realize…it's more mindfulness." When asked about what he thought had

changed, he responded, "I think I'm probably a little bit more in tune to people and their

emotions and where they are at, and I'm probably tailoring my communication…. I'm

more empathic today than I was before."

Debbie C22, who saw herself as the questioner using a Socratic approach in her

pre-Module 1 story, indicated that she has applied BA most via incorporating a pause,

holding herself back, asking more "why" questions to explore the other person's

reasoning, and expanding her use of the range of behaviors. She put it this way:

> I definitely do is when there is something that I don't understand, like
> something happens, let's say, on a project, I try not to rush in immediately, try to
> solve the problem. I actually do pause and I just ask why, like why do you think
> this way or…I do the why…. And, it actually really helped a lot of times because
> sometimes I have a preconceived notion of what happened and it's just not at all
> how things happened…. It definitely makes me better in my job, probably at
> home as well, frankly (laughs)…. I access a much broader range of behaviors
> actually and communication style, depending on what the project needs. So, I
> would have never done in the past, like I can be very direct, or not…I feel like the
> range is much, much wider for me now.

AnneMarie C32 said, "I catch myself all the time thinking about how is the best

way to engage in this, in this dialogue. I also find myself…forcing myself to speak up

more." She went on to describe her thought process and the strategies she reviews:

> There is not a meeting that I don't go into where I don't catch myself and think
> to myself, okay, wait, you know I need to, to not, you know just blurt it out. Let's
> see, can I build off something somebody else just said? Yes, all right, then we're
> going to phrase it that way.

Kami C31 talked about how applying BA has helped her become a better

influencer:

> Definitely I listen a little more, so when I feel like jumping into every
> conversation, I kind of stop myself and say, okay, let it play out a little bit, let me
> hear what others have to say. It's easier sometimes and it's harder at other times,
> but I'm trying, trying to make a conscious effort of it. I would say fifty percent

success….one thing I'm also trying to do is to bring ideas in the context of other ideas that were presented, so that is building upon what's already there and it's acknowledging all the other contributions. Rather than present it as a standalone idea, I start out with what was presented and walk people through to where I want them to be kind of—it takes a little bit more time, but I feel like I can get more people on board when I do that.... Yes, I can say it's helped me be more of an influencer.

What have they done differently and what was that like? Cohort 4. Cohort 4

members who were interviewed also spoke about increased self-awareness and exploring

alternatives from the range of behaviors. Distinct among their reflections was a sense of

self in relation to others: how they are perceived by others, how they impact others, and

checking in with others. Micah C41 spoke about "removing distractions to kind of allow

myself to focus better." His awareness of what "triggers him" with other people as well

as an increased perception about how he is seen by others have encouraged him to look at

things differently. He said this about the impact of his behavior on others:

I think it made me realize that it was a little bit more obvious that I thought that I was checking out, and so it kind of put a personal (pause), it added an emotional incentive that made that for me, that's usually all I need, is to kind of realize that this is kind of being negatively perceived by anybody and, and sensitive to people's emotions. So, I think that if there had not been this emotional link to the behavior, I'm not sure I would have had the same incentive to work on it.

Harold C42 became more conscious of interrupting others and of recognizing that

he may not know where a conversation is going from the outset; the other person plays a

role, too. He referenced a number of BA behaviors that have been added to his range.

Harold C42 also talked about utilizing a "neutral observer"; he was not the only

participant to reference process approaches. He talked about his application of BA and

the strategies he used:

I have learned how to slow down and pause, check for understanding [testing understanding], repeat back to people [summarizing], create some space, give people a chance to respond. I have used some of the prompts like "May I ask a question?" [behavior labeling] or, you know, interjecting in a way that lets people know there's something coming…. There also have been times when I have engaged a neutral observer…from a process perspective or how I handle things…to bring together reality versus my perception.

For Aamir C43, his application of BA centered on building on the ideas of others. "I use the build on, the build on all the time. It's just, 'Oh, I'm gonna build on that' and then asking clarifying questions and probing a little more." He also talked about using another conversation process behavior, checking in with people, like the neutral observer mentioned by Harold C42 above. Aamir C43 described checking in this way:

Sometimes I'll, if we're trying to get a task done, I'm thinking about the end and if I feel like we're going in circles, instead of going in circles, I'll be like okay, 'are we' I'll check in, right? (laughs) To see where we're going and then say, 'Okay, if we're good, let's just move on.' But, I probably could (pause) and again, my recollection of that is asking a little more insightful, thoughtful, probing questions to uncover things that maybe others had in their mind that didn't come out.

Joseph C44 talked about how he applied BA to some deeper reflection work: "I think it is important to have in your mind 'how do we work?'… It's more than a simple training." He went on to describe how BA affected him: "I think Module 1 helps you to raise questions…you can also ask yourself 'why do you have a gap?' independently of what I can do to fill the gap…. It is important to understand, and this is the question I raised to myself: why is the story so different?" His final point included, "Is it different only coming through the communication or is it different coming through different pieces of my life?"

What have they done differently and what was that like? Cohort 5. As indicated earlier, many of the participants in Cohort 5 focused on how much push (advocacy)

versus pull (inquiry) they were doing. As a group, they mentioned adding in more questions, listening, and learning to pause as examples of how they applied BA post-Module 1. Linda C51 and Jonathan C53 both referenced "pulling a bit more than pushing." Matthew C52 focused on getting his voice heard earlier in a conversation, and an increase of self-awareness related to knowing that if he is in a room full of people and in a new situation, he is likely going to take a back seat at first. Monique C54 said, "I try to listen more. I try to shut up more. I feel better about asking questions…not asking the same question over and over again. I'm trying to understand like what's being said and that's okay."

Lisa C55 indicated she was in a new role and not expert in many of the functional areas she was now leading. She said, "I'm constantly pulling from them, and I'm kind of changing up my approach because I am building relationships with these folks…. I'm testing understanding, calling people out by name…so they feel their perspective matters." Cary C56 talked about "I think I'm asking more questions, especially in kind of one-on-one settings" and he saw some progress in conversations with vendors by adding in more questions: "Why should I walk this person to the answer? Like why should I, like to give this person the answer, like let them find it so they can own it." Cary C56 went on to share an insight into what it had been like to apply BA:

> I feel like the balance BA, if you're using the behaviors in a balanced way, it makes people feel they're valued, and you care about what they're talking about or they're asking…and it's just a thought, but maybe that's how you kind of can quickly build the rapport, right? You're immediately investing yourself in that person by asking them questions, understanding their perspectives.

This insight referenced a previous section of the interview, when Cary C56 was talking about the experience of building rapport quickly in the group. He was curious about how

to build rapport quickly with people. The researcher asked him to hold that question for later in the Catalyst journey and promised to discuss it further at the end of the program, if it was still a curiosity to him. This insight above suggests Cary C56 was still chewing on it later in the interview and was perhaps beginning to make some sense of what he had experienced in the service of the objective of building rapport.

Renee C57 said about her application of the method post-Module 1, "I don't know that I had to do much about it because what I learned in BA just helped me see what I already believed. I think I feel a little bit more certain about it now that I've looked at it a different way." She added that she was consciously aware of trying to give some space to other people to talk. Sharon C58, who did not like the BA experience while going through it or for days afterwards, offered this summary of how she applied it after the program:

> It was quite quick when I completely changed my mind, my mind from being upset and hating the experience for thinking that this experience was very useful and I really appreciate that I went through this…and this training…. This one stays in my mind for much longer…it was very impactful on my thinking after…. I spoke with my former boss who was attending this course two years ago or three years ago…. He said that he still remembers this kind of being in a puzzle, you know after three days you are actually being puzzled, you are completely, you know, you need to spend time to put yourself together again. (laughs)

Code #8: Emotions. The emotions experienced by the participants during the BA exercise and feedback session following were varied. There was only one indicator for this code.

Varied emotions. Four of the participants (Debbie C22, AnneMarie C32, Matthew C52, and Sharon C58)—25% of those interviewed—were physically and emotionally uncomfortable, did not like BA at first, and had clearly negative reactions to it. They mentioned being "embarrassed," "mortified," and "shut down," and that this

training method was "brutal." Yet, after some time, they all stated they found value in it. They even participated voluntarily in this qualitative case study. Most of the participants (75%) were somewhere between neutral and positive about BA, with emotional reactions consistent with feeling validated, intrigued, and curious. As discussed further in Chapter V, it is important to notice emotions and evidence of affect in the learning process, along with thoughts conveyed and behavior witnessed.

Interview Findings: Post-Module 1 Timeline Section

The beginning of a split in the experiences of participants was noted in the findings for the during Module 1 timeline section above, beginning with Code #7: How BA was applied post-Module 1. This section, post-Module 1, showed a similar divergence of experiences based on cohort. Half of the interviewees (8 of 16) belonged to Cohort 5; they had only seen Module 1, and recently at that, when the interviews were conducted. The interviews for Cohort 5 participants took place between the end of June and beginning of August 2018—anywhere from 6 weeks to 3 months post-Module 1. For many of the participants in Cohort 5, the sifting, reflecting, and meaning making were still very much in process at the time of the interviews.

For the other half of the interview participants, Module 1 was completed anywhere from 1 to 3 years prior to the time of the interviews. Not only had this group had the benefit of time to reflect and digest Module 1, but they had also seen the full Catalyst program, and the subsequent program content that was built on the foundation of their own experiences in Module 1. The reflections of the two groups are discussed in this

section separately, yet still following the reporting by code and indicator structure that was laid out in previous sections.

For parts of this section, each group is discussed in turn under the code subheading, grouped into three buckets: (a) Cohort 2 and 3 together, then (b) Cohort 4, and finally (c) Cohort 5 as a group. At other times, the split is between Cohorts 2, 3, and 4 together as a group of eight participants and Cohort 5 as a group of eight participants. These splits are made to show the impact of time on participant reflections.

At the end of this section, Table 22 shows the summary findings by cohort, with Cohort 2 and 3 shown together, then Cohort 4, and finally Cohort 5. This is a helpful guide for Chapter V, which looks more closely at a comparison of before and after stories for the participants grouped by cohort in this way.

Timeline Section 3 Codes: Post-Module 1

This final section of codes focused on the post-Module 1 story that participants told themselves and any meaning making that had occurred for them since Module 1— specifically, what changed for them, how did they see themselves differently as communicators and leaders, and what meaning did they make from it. Additionally, the researcher looked for hindsight advice: What would the present-day participant tell his/her former self who was just about to embark on the program? The codes in this section, as seen in Table 21, are structured in the same way as appeared in Tables 16 and 19 earlier: (a) Time Cluster, (b) Codes, (c) Indicators, and (d) Definitions of Indicators. The overall theme for this section of codes was "meaning making" and sought to capture what changed for participants (behavior) and how they made sense of it (belief).

Table 21

Post-Module 1 Codes, Indicators, and Definitions

Time Cluster	Codes	Indicators	Definitions of Indicators
Post-Module 1	Code #9: Post-BA story about self as communicator	What stuck with them?	Highlights that have stayed with them
		What story do they tell themselves now?	Changes in story about self as a communicator; what is the new story
	Code #10: Current view on BA	How do they see the experience now, post-Module 1 or post-Catalyst?	Current thoughts about BA now; what was helpful about it, what did it do, how have participants contextualized it and/or made meaning about it
	Code #11: Hindsight advice	What advice would they give themselves now looking back?	If participants could go back in time and speak with self before starting Module 1, what would they tell themselves
	Code #12: Insights into what changed	What do they think has changed for them? (participant's own view of self)	Meaning making about what has changed for participants
		What key takeaways or lessons have been learned?	What has been learned, shared, taught to others, applied, enacted or otherwise integrated into participants as a result of Module 1

Code #9: Post-Module 1 story. The post-Module 1 story about self as a

communicator was nuanced for those in Cohorts 2 and 3. It was somewhat operationally

focused (do more of this, do less of this) for Cohort 5. For Cohort 4, it was a mix of

transactional elements and broader or more philosophical elements. For this Code #9, the

indicators were: (a) what stuck with them, and (b) what story do they tell themselves

now. For the purposes of continuity of participant story, and because the element of time

is a factor in post-Module 1 stories, the researcher reports these indicators in sequence by cohort for this code.

      What stuck with them? Cohorts 2 and 3. In the stories of members of Cohorts 2 and 3, participants used words like "interdependence," "empathy," "relationship," and "being aware." Steven C21 talked about the interdependence of communication with another person and focused on how he saw the relationship between himself and the other person he was speaking with now before what he or they were actually saying. He looked for alignment of cues—"verbal, physical, nonverbal, attitude, body language"—in addition to just listening to what people say. Debbie C22 said, "For me, Module 1 was always the most impactful module that has become even more clear over the years." She used questioning to explore the thinking of other people, rather than just as a tool to get them to figure out what to do next. When asked specifically about what story she told herself now about herself as a communicator, she said this:

      I am trying to get to the point where I am like a three-dimensional being looking at the two-dimensional world…being aware of what others are saying versus what they think they might be saying or what they might be hoping to say. And then just seeing it from a higher maybe vantage point…listening for the cues because some people may not be effectively communicating when they're frustrated, for example…also paying attention to the negative space…like not just who's filling in the volume, who is filling the air, but also who's not and why they may not be.

      Kami C31 spoke about what stuck with her from Module 1 this way, highlighting "it's not a false me, it's a changed me":

      I think it was an invaluable lesson. While you're going through it, it felt a little like you had problems going in thinking that on the one hand, there has to be authenticity. On the other hand, we're told you shouldn't be this way and you should be that. Aren't those two in direct conflict with each other? And, in retrospect, having gone through it and after having time to look at it from a vantage point being further away.... I realized that it's not in direct conflict with authenticity. So what BA was telling us is not how we need to pretend to be, but

how we genuinely need to be, right? So, when I went in, I was thinking, oh, this is the true me and they're asking me to pretend to be a false me. This is not natural to myself and then that's in direct conflict with authenticity. But really, it's not a false me, it's a changed me, and I did not think that was easy to do, but it is easy to implement some of those learnings. It wasn't hard.

What story do they tell now? Cohorts 2 and 3. The researcher probed Kami C31

a bit more on this topic to get a sense of how she was making sense of things. She

described what changed in her definition of communication:

> My definition of good communication has changed. Before I was a good communicator or an effective communicator if I got to my audience and I could engage my audience…and they all walked out of the room understanding exactly what I was trying to get at. But now I have added a layer to it that it's the idea, communication of the idea and the material is one step. Communicating my personality and creating the right perception is a second layer to the communication that I had so far ignored. I was always intent on communicating the substance, I'm always communicating about myself as a person and the people walk out with both of these. So, I started making sure I pay attention to that second piece.

AnneMarie C32 described her utilization of BA and how it affected her as a

communicator this way:

> What I have found is the more I engage with the behaviors that we talked about during the BA session, the more willing people are to have the dialogue and, you know, at least, consider what I'm saying to a certain level. I think what was, part of what was happening, prior was that my interjections could easily be dismissed, you know, because I wasn't engaging really. I was jumping in, saying something and jumping back out. I think with the BA having to use those skills to create more of a dialogue has been very helpful. And, I found people more willing to engage in conversations and going, "Oh yeah, that's a good point, and then what if we"…so, you know, it helps to build and to come up with some better decisions.

AnneMarie C32's reflections continued with a post-Module 1 definition of how she saw

herself as a leader:

> I certainly don't leave work with the level of frustration I used to…. I think people see me as a leader with, understanding and with empathy, um, you know, the clear goal as to what's at the end of the tunnel for all of us. And helping everybody get there together. No one thing is, is more important than the other.

We all have to go the same way, but we can do that together, and that includes me. And, I don't set myself apart from it. I have to be in the middle of it with my team and my group for it all to work.

What stuck with them? Cohort 4. Cohort 4 participants focused on "self-awareness," "confidence," and "being conscious" in their descriptions of a post-Module 1 story. Micah C41 said he was more comfortable as a leader:

> I think that it has made me a little more comfortable with the concept of being a leader, and I think you know, by that I mean (pause) I know what a technical leader is like, but a leader of people, I'm much more comfortable with that concept now than I was before.

He continued with his post-Module 1 story this way:

> I think I've kind of realized that I have a strength beyond technical that is kind of becoming my new story. I think that, you know, I have an understanding now that the relationships, not just in meetings or like just in your everyday work with people, how you relate to people, can be an incredible asset and sometimes that becomes part of the job. This is no longer just about what's accomplished task a, b, c, but you know what? Like the hour I'm going to spend doing a, b, c tonight is well spent because right now I need to ask you "How was your weekend?"

Harold C42, who had many memorable headlines from his interview, said "Actually, at the moment, I'm a bit bullish on, on myself." He talked about his new role where he needed to be out in front of large groups, doing town hall meetings, and building connections with lots of different people. He added that this provided an opportunity for him to practice his new skills.

What story do they tell now? Cohort 4. When probed for his post-Module 1 story about himself as a communicator, Harold C42 said he was a different person now:

> I do really believe now that I am a different person than when I entered that program [Catalyst], you know, fourteen months ago. I think it really did give me the confidence. Yes, it gave me some particular skills, but it did give me confidence…. I feel that really in the last twelve to fourteen months, that whole process [of adjustment to new company, role, etc.] has been very accelerated.

Aamir C43 was more modest in his assessment of self as a communicator after Module 1, saying, "I think I'm still a strong communicator and that I'm still growing, and that's it. I'm not going to assume I'm the best at anything." For Joseph C44, he said he "communicates differently" and was "more conscious of words chosen" that they "match what I'm trying to convey." He talked about how he used the behavior called "building" more with other people. His view was summed up this way:

> So, the module helps, it helps me to be a better person in terms of communication because if you communicate well and our intention is translated by the words that I use, I'm more in control of the way I talk. So, and the intention is what, I mean it's more clear the intention, so reality and the story they work together, they are on the same page.

What stuck with them? Cohort 5. The stories from Cohort 5 included words like "more conscious" and "tools" and "skills," and an emphasis on "doing" things to describe their post-Module 1 communication stories. The module was fresh in their minds still, and what stuck with them had not yet been distilled as it had for previous cohorts. Linda C51 focused on skills:

> Building communication skills is definitely linked to how you actually communicate your message and helping to get to that point…. I think you can use the skills that you learn in BA for everything…to get where you want to be in a much kinder, nicer way, and everybody is—it's less stressful for everybody.

What story do they tell now? Cohort 5. When asked about her post-Module 1 communication story, Linda C51 said, "I realized actually it's all inside of me…. It's just about how I use it because the more I use it the more second nature it will be, the easier it will become." Matthew C52 noted an increase in self-awareness and that he continues to try to please people. The story he now told himself included managing airtime and self-imposed stress: "I would say now I might make more a conscious effort to get in what I

consider to be a valuable statement or contribution pretty early on in a discussion if only

to relieve the pressure that I feel in myself, right?"

Jonathan C53 talked about the iterative nature of changing how he communicated.

Specifically, he said:

> I've been consciously trying to move away from pushing and move toward
> pulling. And sometimes I'm good at it, sometimes I'm not, and maybe in the
> moment because of the stress of the situation, you drop back to a push style, but
> then you walk out and think about it, and if I had to do it over again and go back
> in time, how could I have you know gone a bit more pulling and made others take
> a bit more of an active role.

When probed for his post-Module 1 story, Jonathan C53 said he was still in process:

> I don't know, is it wrong to say that I don't think I was that far out of
> alignment, at least…. So I don't necessarily have, at least consciously…changed
> between how I thought of myself and how others thought of me all that much….
> It's been more of a skill build for me…you know instead of leading from the
> front…leading a little bit more from behind and letting others take point on an
> issue and just knowing that, hey, I'm here for you when you need it…. I am a
> little bit more mature.

Monique C54 felt she had some areas for focus: "I know that I have some good

skills as a communicator, but I based on the BA like I know I have some things to work

on, so it's like, you know, not cutting people off. So, I do know more than I did before."

Lisa C55 said, "It doesn't matter in which environment you feel more comfortable. You

have to do these things to be good at your job. You have to be good at your job because

people are depending on you, so suck it up."

Cary C56 said, "I mean, right now, I think I have no idea." When probed a bit

further, he said this:

> I think I need to be more active and put more thought into how I lead and
> communicate. I think it's the same with everything, right? I think that's the part
> I'm probably missing, is the you know, reminding myself of the right form and
> the right things to do before I go into these leadership communication situations.

Renee C57 described her post-Module 1 communication story this way: "I feel like I can have more of an impact, that I can actually—instead of sit back and be more in a passive position, that I can actually take more initiative on my career." Finally, Sharon C58 said, "I am still building the story about myself after that, so I don't have such a story yet." When probed for why she felt that way, she said "After that exercise [BA], I just realized that even I speak rarely, then still my…impact is very poor. It's not as I was thinking I have impact in those kind[s] of meetings. So that was very, very good, it opened for me."

Code #10: Current view on BA. Many of the participants (14 of 16 or 87.5%) specifically referenced a positive current view of BA. There was only one indicator for this code.

How they see BA now. Six of them (37.5%) wanted to do BA again and see what changes had occurred, and possibly to expand the audience and conduct BA with their teams. A cheat sheet of the BA behaviors to be used as a job aid or refresher was also requested; the researcher plans to put one of these together following the doctoral process. Five of them (31.25%) talked about it as a "powerful experience." Three others (18.75%) said they "think about it often," or "it is always in the back of my mind," or it was a "very useful tool." The remaining 2 (12.5%) did not indicate a current view of their experiences with Module 1 and BA that specifically identified BA.

Code #11: Hindsight advice. The purpose of asking the question "If the you of today, knowing what you know now, could go back in time and talk with the you who was about to start Module 1, what would you say to you?" was to gain a sense of where participants were in their meaning making. By giving the current self an opportunity to

interact with a prior time-period self, the researcher hoped to determine if participants somehow saw their current selves as different from their pre-Module 1 selves. There was only one indicator for this code.

Advice to pre-Module 1 self. Across cohorts, 9 of the 16 (56.25% said) they would tell their pre-Module 1 self to "be open." The distribution of this was 6 of the 8 (75%) from Cohorts 2, 3, and 4, and 3 of the 8 (37%) from Cohort 5.

From the earlier cohorts, Debbie C22 said she would "pay attention more." In addition to suggesting staying open, Kami C31 said, "This is not about how great a leader you are. This is about thinking deeply about what you want to be and how you get there." AnneMarie C32 said something similar: "Be open and take everything I possibly can from it…. I am never going to get that kind of opportunity again to really delve in that deep on me."

Other suggestions included saying nothing, which both Monique C54 and Micah C41 reported. Micah C41 said this: "Oh geez (laughs), I probably wouldn't tell myself anything. You know, I'm not sure there's a whole lot of value in shortcuts." Monique C54 said, "I don't know if I have anything to say to that person. I don't know. It's a very deep question. I don't know." Some of the other Cohort 5 participants offered "trust the process" (Renee C57), "be yourself" (Sharon C58), "bring my new A-game" (Matthew C52, and "listen a bit more…bring fewer preconceived notions about the leadership program into it" (Jonathan C53).

Code #12: Insights into what changed. The insights into what had changed for participants and how they saw things post-Module 1 were consistent with the findings outlined throughout this chapter—in a word, "varied." Some participants were still

processing what it all meant, particularly those in Cohort 5. Some, like Steven C21, had

more time to reflect. He said:

> We talk about servant leadership, and it's almost like servant communication, right? I mean it's more about the needs and understanding and seeing the needs of folks, right? And, connecting at that level, at their needs level to have that communication…. I thought I did well, and then you kind of understand, hmmm, maybe not so much. And, that there's a whole different level that you could take this to make yourself just that much more effective, and it was a great experience.

There were two indicators for this code: (a) what changed and (b) key takeaways.

To facilitate seeing the insights from participants into what had changed for them as well

as key takeaways, the researcher combined the two indicators into Table 22.

Table 22 outlined the researcher's summary of what each person had to say about

what he or she thought had changed for him or her, and key takeaways, if mentioned.

Items in quotations come directly from participant quotes. The information in this table is

revisited in Chapter V, as it forms the basis for the post-Module 1 stories participants

provided.

Feedback Report Findings: Post-Module 1

In Chapter III, the structure of the feedback forms and what information they

captured were discussed. The feedback report template can be found in Appendix C.

Questions #1 through #4 focused on participants' perceptions of the quality of the venue,

the facilitators, and their overall satisfaction with the Module. Questions #8 through #10

focused on improvements to the program suggested by participants, and how likely they

were to recommend the Module to others. The researcher determined that questions #1

through #4 and #8 through #10 on the survey were not relevant to BA and excluded the

responses to those questions from the scope of this qualitative case study.

Table 22

Researcher's Summary of Interview Participants Post-Module 1 Insights

Cohorts 2 and 3			
Steven C21 • Does more reflecting now • Sees connection between relationship and communication; tries to get at the needs of others and not just their words • Influences more	Debbie C22 • Asks more genuine questions and uses full range of behaviors • Is learning how to move flow of communication with that range (building influence)	Kami C31 • Learned not to take things personally • "No one was watching" • Has changed definition of communication; plays a different role now in communication	AnneMarie C32 • Has included herself in the conversation; no longer just jumping in and out • Less frustrated • Better able to "influence others"
Cohort 4			
Micah C41 • More comfortable as a leader • More aware of self in relation to others	Harold C42 • More self-awareness • Gained more confidence • Balance of inner critic and evidence	Aamir C43 • Validation of existing approach • Self-reflection and versatility increase	Joseph C44 • Matches intentions and outcomes more consistently • Uses words more carefully
Cohort 5			
Linda C51 • Staying open and receptive • Mindset and stress impact openness	Matthew C52 • Can join a group more quickly to manage self-stress • More self-awareness	Jonathan C53 • More mature and patient, less reactionary • Checks assumptions more often	Monique C54 • Validating experience • Built confidence • Learned cultural impact of behavior
Lisa C55 • "have an open mind and get out of your own head" • Skills learned improve job achievement	Cary C56 • Asking more and better questions • Focusing on building rapport in groups	Renee C57 • Validating experience • Confidence increased • Added in more questions asked	Sharon C58 • Mindset affects how self perceives things • Increased self-awareness • Still processing BA application

In this section, three specific questions, #5, #6 and #7 on the survey, are examined more closely. Question #5 was "In what ways do you think your learning on this Module will make you a better leader and manager?" Question #6 was "What will you do differently as a result of this Module?" Question #7 was "What was the most valuable aspect of the Module and why?" The survey results for each of these questions across all five cohorts, including Cohort 1 from which there were no interview participants, are shown in turn.

Question #5 Survey Results

Question #5 asked participants how what they learned would affect them as leaders and managers. Responses were tallied and grouped by the researcher into six categories that emerged organically from all responses: (a) increased self-awareness, (b) focus on communication, (c) applying feedback they received in Module 1, (d) reflection on their own behavior, (e) using BA specific tools and techniques, and (f) developing other people. As can be seen in Table 23, the highest rated response was an increase in self-awareness (35%), followed by an increased focus on communication (22%). Using BA specific tools and techniques was reported by 11% of the 83 program participants as learning they felt would impact their leadership and management post-Module 1.

Table 23

Statistics on Question #5

Module 1 Learning Aspect for Leadership	Cohort 1	Cohort 2	Cohort 3	Cohort 4	Cohort 5	Total Responses by Aspect	Total % Responses
Self-Awareness	6	8	7	4	4	**29**	35%
Focus on Communication	5	3	5	3	2	**18**	22%
Feedback Received in Module 1	2	3	2	3	2	**12**	14%
Reflection on Own Behavior	2	3	2	1	2	**10**	12%
BA Techniques and Tools	2	2	1	3	1	**9**	11%
Focus on Developing People	1	2	1	0	1	**5**	6%
Total Responses by Cohort	**18**	**21**	**18**	**14**	**12**	**83**	

Question #6 Survey Results

Question #6 looked at participant intentions post-Module 1. The question asked

for a response about what participants would do differently as a result of the Module, and

by default that included all of the Module 1 content. The researcher chose to select only

the responses from the pool of available responses that specifically mentioned something

related to BA. Criteria for selection into this category included mention of: (a) push

versus pull; (b) building on the ideas of others; (c) range of behaviors; (d) shutting out,

interrupting others, or airtime management; and/or (e) implementing changes to

communication skills based on data received during BA. Using these criteria, a total of 45

participants (67%) across Cohorts 2 through 5 indicated they would apply BA-related

items post-Module 1. The other 33% of respondents indicated they would: (a) listen more

(7%); (b) be more aware of their style and its impact on others (12%); and (c) apply the

learning from Module 1 to their team (14%). Table 24 shows this clearly.

Table 24

Responses to Question #6 by Category

What Would Participants Do Differently?	Percentage of Responses
Something related to BA, including: • Push versus pull • Building on the ideas of others • Range of behaviors • Shutting out/interrupting others; managing airtime • Implementing changes to communication skills based upon feedback received during	67%
Apply learning from Module 1	14%
Be more aware of their style and its impact on others	12%
Listen more	7%

Question #7 Survey Results

The most valuable aspect across cohorts cited by feedback report responders was

the participant-led role-play exercise on Day 2. In the structure of Catalyst, this element

was designed to provide in-program practice for BA skills as well as for building peer

feedback skills. This element included a full-day series of six role-plays where

participants alternated learning about themselves and assessing the learning of others in

real-time and business-related scenarios. Using the language of BA for feedback and

assessment, participants were encouraged to practice taking an inquiry stance versus an

advocacy one as they proceeded through the activity. Another interesting finding of the

feedback report analysis was the role that the group played in facilitating the learning of participants (25%). This finding is further explored in Chapters V and VI, as it has relevance to recommendations for BA practice.

Table 25 shows a comparison across Cohorts 2 through 5 (the pool from which the interviewees were drawn) of responses to Questions #6 and #7, against the number of participants in each cohort and how many actually filled out Questions #6 and #7. As a counterpoint, it also shows the data for Cohort 1 and a total across all five cohorts. Statistics for Cohort 1 are similar in terms of number of participants in each cohort and how many filled out Questions #6 and #7. This table also provides some details on participant turnover within the organization post-program as well as substantiation for the 86 total participants in the sample pool from which interview participants were invited and the 83 survey responses that were analyzed.

Table 25

Statistics on Questions #6 and #7

Statistics for Catalyst	Participants	Left the Company	Net Participants Remaining at Palmetto	How Many Completed Questions #6 & #7		Q#6: How many identified BA-related items to do differently post-Module		Q#7: How many said BA was most valuable aspect of Module 1	
Cohort 1	18	3	15	16	89%	10	63%	3	19%
Cohort 2	21	4	17	21	100%	16	76%	6	29%
Cohort 3	19	3	16	18	95%	12	67%	3	17%
Cohort 4	18	0	18	16	89%	8	50%	3	19%
Cohort 5	20	0	20	12	60%	9	75%	2	17%
Cohorts 2-5 data only	78	7	**71**	**67**	86%	**45**	67%	**14**	21%
C1-5 data	96	10	86	83	86%	55	66%	17	20%

Overall Catalyst Feedback Report Statistics

Tables 23, 24, and 25, shown previously, provided data for Cohorts 1 through 5 and a total across all five cohorts. Statistical consistency was noted across all cohorts and across all three questions, #5, #6, and #7. Of the 83 who answered the question #5, 9 (11%) noted BA tools and techniques would impact their leadership and management post-Module 1. For question #6, a total of 55 of the 83 (66%) participants who filled out the survey indicated they intended to do BA-related items differently post-Module 1. Moreover, as related to question #7, 17 of the 83 (20%) indicated BA specifically was the most valuable aspect of the Module 1 training.

It is also important to note that these statistics were not shared with participants after they completed the survey or at any point during the interviews. The interview participants had no way of knowing that 20% of Catalyst participants felt BA was the most valuable aspect after Module 1, or that 66% of them indicated an intention to apply BA-related items post-Module 1. The statistics per cohort were culled from the individual cohort feedback summary reports provided to ImpactUSA and also sent to the researcher as part of the facilitation team. The researcher compiled the statistics in Tables 23, 24, and 25 from the various individual cohort Module 1 feedback reports specifically for this qualitative case study and used the results to inform development of the interview protocol.

Summary of Findings—Interviews and Feedback Reports

In this chapter, the final coding scheme was reviewed and utilized as an organizing structure for examining the findings. The interview findings data were

clustered by timeline, with points in time of (a) pre-Module 1, (b) during Module 1, and (c) post-Module 1 after some time had passed. These timeline sections allowed for a viewing of subtle changes in the participants' stories. Additionally, as the timeline sections progressed, the researcher began to report findings data by cohort to show the similarities and differences between participants' stories in the cohorts and as they were affected by time.

The interview participants in Cohorts 2 and 3 reported having synthesized and integrated their learning. Their words and descriptions of insights shifted from "doing" things differently to "being" different: taking on different roles, recognizing needs of others, and using their skills to build influence and relationships with other people. Those in Cohort 4 had made some shifts as well. They described increased "confidence" and the ability to "consciously" do things differently than they had prior to Module 1. Cohort 5 was clearly still processing the experience. They were able to articulate what they learned and how they had applied BA post-Module 1. However, they were less articulate about how they had changed in the process.

The feedback reports, which represented the point in time immediately after Module 1 and before time had passed, reflected responses from the broader Catalyst alumni pool of 83 program participants. The data from the feedback reports were helpful for grounding and triangulating the response data from the interview participants. Moreover, the researcher used the data from the feedback reports to inform the structure and content of the interview protocol for the 16 interviews conducted.

The feedback reports showed consistency across all five cohorts regarding the immediate impact of BA on participants as well as their intentions to apply BA post-

program. Returning to Table 25, the reports illustrated a range of 17% to 29% across cohorts saying BA was the most valuable aspect of Module 1 (question #6). Moreover, an average of 66% of feedback report respondents said they would apply BA-related concepts post-Module 1 (question #7). Finally, another important finding in the feedback reports (from question #5) was that a combined 68% of respondents noted that increased self-awareness (35%) and/or focusing on communication (22%) and/or applying BA tools and techniques (11%) would have an impact on their leadership and management post-Module 1 (see Table 23). These statistical findings aligned with the intentions of BA—to increase self-awareness and provide tools in service of building communication skills. Chapter V dives more deeply into the findings, via analysis and interpretation, to answer the research questions for this qualitative case study.

Chapter V

ANALYSIS, INTERPRETATION, AND SYNTHESIS

In this qualitative case study, the researcher was interested in exploring

perceptions, applications, and meaning making for a group of mid-level corporate leaders

who experienced an observational feedback method called Behaviour Analysis (BA,

Rackham & Morgan, 1977) in service of building communication skills. In this chapter,

an analysis of the findings data and an interpretation of the emergent data insights for this

study are conducted to respond to the research questions. The chapter is broken into three

distinct parts: (a) analysis of the study's core findings; (b) interpretation of insights that

emerged from the analysis of findings, using two theoretical frames; and (c) and early

synthesis of the data.

The analysis section focuses on summarizing key insights that emerged from the

findings and applying them in response to the study's three research questions. In the

interpretation section that follows, two theoretical frames are utilized for a deeper dive

into how the findings are viewed through the literature. For the first theoretical frame, the

researcher chose Mezirow's (1978, 2003) work on perspective transformation. The

second theoretical frame chosen was the conceptual framework for this study (outlined in

Chapter II). In particular, the researcher focused on movement between single- and

double-loop learning (Argyris & Schön, 1974, 1996) in participants and the effect of time on this movement. How this study contributes to the literature and a synthesis of the researcher's work follow the interpretation section at the end of this chapter to prepare the reader for the following conclusions and recommendations for practice and further research offered in Chapter VI.

For ease of reference, the research questions undertaken for this qualitative case study were these:

1. How, and in what ways, did mid-level leaders perceive the interplay between thinking about how to communicate effectively and behaving in an interpersonally effective way? (perception)

2. How did mid-level leaders apply BA post-program? (application)

3. What were the reported perceptions of mid-level leaders about a relationship between BA and PT? (meaning)

As was noted in previous chapters, the use of the word "perceptions" in RQ3 refers to the reported recollections and interpretations of interview participants about what they had learned from experiencing BA. Participants were not expected to be able to perceive or discern a relationship between BA and perspective transformation on their own.

Analysis of Findings

Catalyst participants experienced BA as both a disorienting dilemma and a menu card of action strategies and tools that could be utilized in pursuit of building effective communication skills. This was noted across all cohorts of Catalyst program participants, including feedback report respondents. The similarities across interviews and survey

results for the analysis section of this qualitative case study fell into five main categories,

labeled "Data Insights" by the researcher. These Data Insights included: (a) building

skills for balancing advocacy and inquiry; (b) increases in self- and other-awareness;

(c) the role BA played in creating heightened self-awareness and providing alternative

strategies or tools for communicating; (d) how taking an inquiry stance impacted others

in a conversation; and (e) receptivity to and integration of feedback. How these insights

emerged from the data is outlined in this section.

Initial Filters Applied to Interview Data

In considering the findings in Chapter IV, the researcher applied several filters to

the data to determine what, if any, factors could explain the similarities and differences in

the experiences between cohorts and individual participants. The filters applied were: (a)

cohort number, which represented time since attending Module 1; (b) gender; (c) early-

life schooling inside or outside of the United States, which could include English learned

as a second language; and (d) level of interaction with the researcher in Module 1. Of

these, only (a) cohort number, or the role of time, seemed to represent a major difference

in the findings. This critical component is discussed throughout the analysis section of

this chapter.

Five Data Insights Emerged From the Findings

The feedback reports and the interviews both provided the researcher with rich

data to code and analyze. As noted in Chapter IV, 83 program participants across five

cohorts completed the feedback reports. They did so immediately following their

completion of Module 1. As such, these feedback reports represent a critical point-in-time

snapshot about the feedback on Module 1 and BA. From these data, a significant (67%)

number of participants indicated that BA had a disorienting effect on participants

(Data Insight #3). In addition, the feedback reports provided a view of how program

participants intended to apply BA post-program to build more balanced skills in advocacy

and inquiry (Data Insight #1).

The interviews provided a storyline from participants about how they saw

themselves as communicators, and their experiences with BA, in time periods grouped as

before, during, and after Module 1. These data generated findings that seemed to suggest

that BA had an impact on self- and other-awareness (Data Insight #2), via the group

feedback process and shared experience. When the researcher looked at the post-Module

1 stories about self as a communicator provided by interview participants, the impact of

taking an inquiry stance with others (Data Insight #4), rather than operating more often

from an historically preferred and mastered advocacy stance, emerged from those in the

earlier cohorts (Cohorts 2 and 3, and to some extent Cohort 4). Interview participants

reported an orientation towards feedback receptivity, an acknowledgment of being high

potential and belonging to an elite development group (Data Insight #5). Whether and

how this factored into the results was beyond the scope of the study, but it was a

noteworthy finding about the self-perceptions of the program participants who were

interviewed.

Research Questions Aligned With Data Insights

The analysis section of this chapter is presented in three parts, by Research

Question (RQ), with related Data Insights embedded within the narrative. A response to

RQ1 contains a summary of Data Insight #1 at the conclusion of the narrative in that

section. Similarly, in responding to RQ2, Data Insights #2 and #3 are discussed. Finally, in responding to RQ3, Data Insights #4 and #5 are presented. Table 26 shows how the Data Insights map to the Research Questions for the analysis section.

Table 26

Data Insights and Research Questions

Research Question	Data Insights
RQ1: Participant Perceptions	#1: Building Skills for Balancing Advocacy and Inquiry
RQ 2: Participant Applications of BA	#2: Increases in Self- and Other-awareness
	#3: The Role BA Played as Disorienting Dilemma and Menu Card of Action Strategies
RQ 3: Participant Meaning-making	#4: Impact on Others of Taking an Inquiry Stance
	#5: Feedback Reception and Integration

Research Question 1: Participant Perceptions

The first research question (RQ1) sought to explore what participants thought about effective communication and how they behaved. It aligned with the first section of interview questions and aimed to get at the story participants told themselves about themselves as communicators—their espoused theories (e.g., Argyris, 1976; Argyris & Schön, 1974, 1996). The intent was to have participants examine those stories in light of evidence they got back from the world, and to gain a sense of participants' perceptions of themselves. It also looked at the case for being a good communicator, how it mattered in

participants' various contexts, and whether and how it was a component of their leadership effectiveness in their estimation.

In short, the participants' responses in the interviews indicated they did not give any of the above much thought. That they were good communicators was uncritically accepted—in essence, an assumption they each and all held. They could see effective leadership and good communication skills linked together in other people, and could recognize when someone else demonstrated it. However, for validation, they relied on confidence, derived from years of praise and positive reviews of their work performance, that by default they were good communicators. They provided no actual evidence that they were good communicators, and therefore interpersonally effective, prior to Module 1. This was consistent across all 16 interviews.

What stories did participants tell themselves about themselves as communicators prior to Module 1? Essentially, communication was about effective transmission of message. The use of questions was to ensure the audience (or the counterparty in the conversation) understood what was said. Generally, participants felt they should always try to be as articulate, confident, and concise as possible.

Why was communicating effectively important? Participants recognized that they worked largely in teams and with others, so it was important to use communication to get things done with other people: for alignment around goals; for managing and leading others. Communication definitions had somewhat of a directional (speaker towards recipient) feel to them, yet some noted an undercurrent of there being more to it than just that—that is, the other party had a role to play, even if undefined or specified.

When participants talked about other people's abilities to lead effectively, there was an element of empathy that participants could see and describe. However, they could not quite point to evidence of that in themselves or articulate exactly how to achieve it. In addition, participants described the purpose of empathy as largely used for affecting how conversation counterparties got on board with a speaker's message. This reinforced the idea that communication was primarily about effective transmission of message; effective communication was about efficient advocacy prior to Module 1.

Data Insight #1: Building skills for balancing advocacy and inquiry.

Participants' pre-Module 1 stories about themselves as communicators aligned more with intentions for advocacy rather than inquiry. Table 27 shows a summary by participants of their pre-Module 1 stories of self as a communicator, and the criteria they used (wherever specific criteria were indicated in the interview) for substantiating their self-assessment. A good or effective communicator could transmit his/her message to others and involved others in seeking clarity where needed for any part that was not initially obvious or needed more detail. In fact, for many, this deliberate use of questioning was a source of pride (e.g., Kami C31, Debbie C32, Harold C42, Monique C54).

Push style. The BA training method focused participants on the difference between push style and pull style. In push style, the speaker uses his/her own logic, reasoning, ideas, experiences, thought processes, and so forth, to persuade, convince, or otherwise inform his/her counterparty of an idea of interest to the speaker. Typical BA behaviors used in push style include proposing ideas or procedures, giving information, and agreeing or disagreeing with the other person.

Table 27

Summary of Participants' Pre-Module 1 Communication Stories

Cohorts 2 and 3			
Steven C21 • "Thought I was better than I actually was" • Was more direct; less understanding	**Debbie C22** • "I was the questioner" • Used Socratic method to get audience to answer	**Kami C31** • "Good" • Able to change message to suit audience	**AnneMarie C32** • "Great" • Good listener, relationship builder
Cohort 4			
Micah C41 • "Greatest strength technical communication" • Able to make the complex simple	**Harold C42** • "Good" • Able to gauge when to hang back and when to engage others	**Aamir C43** • "Getting stronger by the year" • Becoming more comfortable in front of groups	**Joseph C44** • "Good" • Matched communication to need at hand
Cohort 5			
Linda C51 • "Good" • Collaborating, bringing others on board with her ideas	**Matthew C52** • "I try to give the best account of myself" • Thoughtful, precise	**Jonathan C53** • "Okay" • Can be a bit long-winded, but gets point across	**Monique C54** • "Strong" • Good presenter, asks questions of audience
Lisa C55 • "Good on paper, challenged real time"	**Cary C56** • "Effective" • Better in a group than presenting in public	**Renee C57** • "Good" • Talks a lot, likes stories, has a lot of ideas	**Sharon C58** • "I have a lot to do in this area"

Questions are typically used to seek information from others or to ensure understanding. Airtime is often managed via interrupting or "shutting out," which is how BA labels the category for interruptions. Push style aligns with taking an advocacy stance and having intentions for advocacy—for "pushing" one's own views across to the

counterparty as the direction of the argument. Push style does not mean pushy, aggressive, dominating, or assertive, nor does it intend to convey anything negative; it just indicates direction of the logic—from speaker outward.

Pull style. In pull style, the speaker uses the counterparty's logic, reasoning, experiences, and so forth, to explore his/her viewpoint in service of co-creating or collaborating on an idea of interest to the speaker and, potentially, also to the counterparty. Typical BA behaviors used in pull style include building on the ideas of the other person, testing understanding, asking questions more often, using more varied types of questions (in particular, seeking reasons to understand what is behind the counterparty's view), summarizing, labeling behaviors to modulate process and airtime, and bringing in (versus shutting out). The behavior "bringing in" attends to the speaker recognizing if the counterparty or another person in the discussion has not contributed in a while, and the speaker deliberately asking that person to join.

In pull style, the speaker is not focused solely on his/her own logic, but rather on exploring the ideas of the counterparty. A genuine curiosity is present, as is an interest in seeing how to build new ideas from the components of both the speaker's and the counterparty's respective views. Pull style aligns with an intention for inquiry or taking an inquiry stance—"pulling" or drawing out the views of the counterparty and pulling towards the speaker the direction of the argument.

Participant context and advocacy intentions. Context matters, and as was illustrated in Chapter III, the context for this group of participants was leadership. They were considered by Palmetto Pharma to be high-potential, successful, mid-senior-level corporate managers. They were selected for Catalyst, in part, to help develop their

communication skills and enhance their ability to "develop executive presence, authenticity, and more effective communication impact" (see Table 7, Catalyst Learning Objectives).

If we return to the discussion about leadership in Chapter II, these participants were at the point in their careers where a shift from advocacy to inquiry was needed to further develop their individual leadership profiles. In Chapter II, Figure 1, interpersonal effectiveness across a corporate career, illustrated how leading through advocacy, via technical skills and focused on execution, gave way over time to leading through inquiry via emotional/social skills and focused on influencing others. These Catalyst leaders came to the program with a preference for advocacy as their dominant style. They had years of reinforcement that showed them that honing push style brought tangible career, financial, and professional recognition and results for them.

The Catalyst training program, and the BA training method in particular, intended to disrupt ingrained and historically successful patterns of advocacy behavior in participants. This was done to: (a) create a new (or heightened) awareness of the leadership impact that Catalyst program participants had on other people, (b) provide tools for deliberately practicing inquiry behaviors in a conscious way, and (c) learn to re-balance overall communication behavior patterns in service of growing leadership effectiveness over time. The program was called "Catalyst" to drive individual change that would resonate throughout their subsequent teamwork and, more broadly, into the organization's leadership ranks.

As stated earlier, neither push nor pull in itself is bad or negative; the behavior categories are considered descriptive, not evaluative. However, the skilled communicator

knows when to use each style and uses each with skill. In other words, the skilled

communicator operates with intention, and the behaviors chosen reflect the stance from

which he or she intends to operate. There is consistency between intention, action

strategies or behavioral choices, and the outcome. A match or mismatch of outcome

against intention allows the skilled communicator to either choose a different behavior or

strategy, or go back to his or her own intentions and re-examine the assumptions that

underlie his or her own behavior (Argyris & Schön, 1974, 1996). This is the flow of the

underlying conceptual framework for this study (see Figure 5 in Chapter II).

Advocacy and inquiry skill building. Study participants (both interview

participants and feedback report respondents) reported an intention post-Module 1 to put

into practice elements of BA in service of building skills for advocacy and inquiry. The

majority of interview participants said they wanted to get better at communicating.

Jonathan C53 called his experience with BA a "skill build." BA showed participants

they were "doing it wrong" (Kami C31), "not as good as I thought" (Linda C51),

"embarrassed by the scores on the screen" (Matthew C52), "it was very different from

my own beliefs" (Lisa C55), "I am doing some things right here" (Renee C57), and "I

don't do a good job of listening" (Monique C54). These responses came mostly from

Cohort 5, who maintained (all except for Cary C56) the same preference for advocacy

throughout the interviews.

Of note in the interviews, and extrapolated from the feedback report survey data,

was the idea that there was a right or wrong way to communicate. Five interview

participants (31.25%) indicated they thought they were "doing things wrong" or that

there was a "right way to communicate." As noted earlier, 67% of survey respondents

indicated an intention to do something different post-Module 1 and something different was related to BA. The researcher interpreted that as participants saw something in BA worth applying—and it was something they perceived they were not currently doing, or not doing enough.

Research Question 2: Participant Applications of BA

To respond to the research question "How did mid-level leaders apply BA post-program?", this study showed that program participants came into the Catalyst training program with common definitions of effective communication, and they left Catalyst in varying states of re-examining their definitions. They came into Catalyst with intentions for advocacy, and some developed additional capacity and skills for operating with an intention for inquiry over time. This was particularly true for those in early cohorts (2, 3, and 4). BA provided both disruption and description for making that shift more explicit.

Data Insight #2: Increases in self- and other-awareness. One of the surprises in this study for the researcher was the role the group played in the experiences participants conveyed about BA—in particular, how the group created a "safe environment" (Lisa C55), "how quickly we got to joking with each other" (Cary C56), and how "such a feedback session" (Joseph C44) was possible to achieve with people who only knew each other for a few hours. One of the later developments in BA's own evolution as a training method included the structure for how the data collected were reviewed and feedback exchanged in the group—a key development by Hipgrave (2016) to blend BA's relatively objective data with peer-obtained subjective data. The experiences of interview participants across cohorts, and even of feedback report respondents, supported the idea that the group feedback session played a key role in their experience of BA.

Self-awareness. By reviewing the BA data in the same group that experienced the gathering of the data, the individual participant was able to compare his or her own view of the other participants with what the BA data said about themselves. This proved critical for participants to accept the validity of the BA data, and also allowed them to look safely at their own behavior in a new light. Debbie C22, Kami C31, Micah C41, and Matthew C52 all commented on how their own view of others in light of the BA data encouraged them to trust both the BA process and the resulting data. In other words, from the participants' vantage point, *BA could not possibly be right about all of them (and I agree with what it says about them from my first-person witnessing of it), and at the same time be wrong about me.* This almost mathematical breakdown in logic contributed to the impact BA had on individual participants who might otherwise have discounted the data on themselves; moreover, it seemed to open the door for greater self-awareness.

The group played another role as well. In looking at Mezirow's (1978, 2003) 10-step process for perspective transformation (PT), step 2, "Self-examination with feelings of fear, anger, guilt or shame," took place within the group (see Table 3). When the data were shared, it was done in a group setting. Each person received a sheet of paper with his or her individual behavioral distribution on it. Those data were also displayed for the group to see and discuss, set in various configurations and ratios between and among behaviors to show a contrast of push and pull styles and components. Participants were invited to provide their witnessed accounts and give feedback to each other to help round out the picture the data presented. A deeper discussion of this point takes place in the interpretation section of this chapter.

Other-awareness. Similarly, the group feedback process provided an opportunity for participants to see how their behavior impacted others and how others impacted them. Micah C41 provided a very poignant example of this (illustrated in Chapter IV) when he recounted how another person in the group called him out on his "checking out" and being distracted. He was also able to see what behaviors in other people "triggered him." Monique C54 realized how much she "cut people off" via the group process. Renee C57 was able to see how much she "talks a lot, but much of it is good," and that group members in the feedback session provided qualitative input to the otherwise quantitative statistics of BA, which helped her to see the impact she had on others. The blend of qualitative, first-person witnessing and ability to use their existing advocacy skills to provide feedback to each other using the new language of BA was considered an enhancement to the process, rather than just viewing the number of times someone behaved in a particular way.

Shared experience. The sharing of the data, and the grounding of the data in the experience of having completed the task together in the first place from which the BA data were recorded, worked in service of step 4 in Mezirow's 10-step process for PT (see Table 3)—specifically, "Recognition that one's discontent and the process of transformation are shared" (Mezirow, 1978, 2003). There were additional opportunities to practice and then reflect as an intact development group in later elements of Module 1, using the language of BA as it was experienced on Day 1. Later in Catalyst, beyond Module 1, there were still more opportunities to network as peers, to challenge and support, and to use the foundation of BA in working together and to give and receive feedback. However, these experiences, and how they impacted the post-Module 1 stories

of participants in Cohorts 2, 3, and 4, were beyond the scope of this qualitative case study and were not specifically examined here.

Data Insight #3: The role BA played as disorienting dilemma and menu card of action strategies. BA provided two key contributions to Module 1: (a) it disrupted unconscious patterns of communication, much like how a disorienting dilemma would (e.g., Mezirow, 1978, 2003; Nohl, 2015); and (b) it provided a menu card of alternative strategies and behaviors that could be consciously chosen in service of communication intentions (regardless of whether those intentions were for advocacy or inquiry). The conceptual framework for this qualitative case study reflects the role BA played in the communication processes of participants, regardless of whether they were subconscious or (as was the case post-Module 1) becoming more conscious. In the interpretation section of this chapter, participants' stories are put through the conceptual framework to see what changed for them (see Table 28, in the interpretation section of this chapter). How BA served as both a disorienting dilemma and a menu card is outlined below.

Behaviour Analysis as a disorienting dilemma. What about BA resembled a disorienting dilemma? Structurally, the receipt of the data and the feedback session within the group are the points in the BA process where the disorienting dilemma occurs (see Table 4, in Chapter II). For most people who experience BA, this is the first time their verbal behaviors are counted by another person and then played back to them.

The descriptions provided by interview participants about their experience when they saw the data—for example "brutal" (AnneMarie C32), "shocking" (Joseph C44), "embarrassing" (Matthew C52), "destroyed" (Sharon C58), "validated" (Monique C54 and Renee C57), "eye-opening" (Aamir C43), and so forth—demonstrated the power the

BA method has to create a pause in the subconscious exchange between espoused theory and theory-in-use (Argyris & Schön, 1974) regarding communication. The definition of a disorienting dilemma includes an event or a trigger that causes an individual to begin to question underlying assumptions (Mezirow, 1978); in this case, the assumptions were about how Catalyst program participants communicated to and/or with others.

Behaviour Analysis as a menu card for action strategies. One of the key strengths of BA as a training method is that it does not just act as a disorienting dilemma when experienced. It also provides, by its very structure and simplicity, a menu card of behavior categories that become available action strategies and alternative choices for communicating with others. There are no good or bad behaviors per se; all are useful, and both context and intention matter.

As seen in the pre-Module 1 timeline section data, participants did not necessarily get the underlying intention part automatically or immediately. In fact, only those who had gone through all of Catalyst and had other experiences to build off of, or who were already questioning their underlying assumptions, showed a shift in communication intention over time. The pre-Module 1 stories participants told themselves were very similar across all 16 interviews (e.g., "I am a good communicator"). Their post-Module 1 stories were varied and clustered somewhat by cohort and time horizon. Figure 11, later in this chapter, shows this more clearly. In both cases, depending on how the participants defined "good communicator," their use of the BA behaviors varied.

Research Question 3: Participant Meaning Making

What were the reported perceptions of mid-level leaders about a relationship between BA and perspective transformation? Figure 11 later in the chapter indicates that

interview participants were at varying stages of reflection and application. From the feedback reports, the researcher interpreted that BA had a disorienting dilemma effect on participants, as roughly two-thirds of all 83 respondents indicated they intended to apply it somehow, and the survey was completed by them within days of finishing Module 1. The interview participants, particularly those in Cohorts 2, 3, and 4 who had the benefit of time to enact change, reported they had implemented the BA tools and techniques and, in some cases, had reflected more deeply than that. Many explicitly said BA was the spark that got them thinking about how they communicated and looking at ways to do it differently.

Not enough data, and not the right kind of data, were collected in this study to determine the degree of a causal relationship between BA and changed meaning perspectives for interview participants. However, BA acting as a disorienting dilemma was established via the feedback report data and verified in the interviews with participants.

Data Insight #4: Impact on others of taking an inquiry stance. Pre-Module 1 stories (summarized in Table 27) focused on "gaining buy-in" and "getting people on board with my ideas" as benefits for taking an inquiry stance. Post-Module 1 stories (summarized in Table 22) focused on increased influence and an increased perception by others of participants' leadership effectiveness. Some mentioned greater relationship building and heightened empathy. It was by deliberately choosing inquiry behaviors more often that differences between Cohort 5 and earlier cohorts started to be noticed. Early cohorts (especially Cohorts 2 and 3) had the most time since Module 1, and they seemed

to have the most nuanced perspectives of taking an inquiry stance and the benefits they were seeing.

According to Hipgrave (2016), when we verbalize, we are in fact verbally behaving—we are creating action by language; moving our ideas from our own heads into the open to be taken up, reacted to, clarified, and built upon by others. The recognition that this is a "with" process and not an "at" process is the beginning of shifting from "talking to" people to "talking with" people. Talking "with" can infer curiosity about what the other has to say. Curiosity about what another has to say can be interpreted by that other as empathy, as care, as presence, and as investment in the underlying relationship between the communicating parties. Trust can grow from this as well as good will, for when latitude is needed, folks revert to advocacy positions—under stress, excitement to get a point across, frustration, or other reasons. Participants in the early Cohorts 2, 3, and 4 indicated recognition of this over time. Those in Cohort 5 were mostly still processing the experience when the interviews occurred.

Data Insight #5: Feedback reception and integration. Noteworthy in this study was a high number of intentions to apply BA post-program, as evidenced by the feedback report statistics. This may correlate with a high-potential pool of participants. Interview participants noted that the BA exercise, their own first-person witnessing of the events that generated BA data and the feedback received from their peers, facilitated the integration of that feedback. There may have been an underlying predisposition to integrate and apply feedback received, and certainly an enthusiasm for learning in this group, that may not be representative of the general corporate employee population.

Receptivity to feedback and integration of the feedback by this group may have been skewed because the participants were identified as high-potential. They were geared and primed to be receptive; some even noted that (e.g., Debbie C22) and were open-minded to BA as a training method. Their historical track records of promotion and high achievement professionally could not be isolated as a variable or solved for in this study, which is why it factored as a limitation of the study. This is further explored in suggestions for future research in Chapter VI.

Interpretation

Two theoretical lenses were applied to the findings data in this qualitative case study: (a) Mezirow's (1978, 2003) work with perspective transformation, specifically about making new meaning as it applies to shifting from advocacy to inquiry in communication; and (b) Argyris and Schön's (1974, 1996) work with single- and double-loop learning and their Action Science model. In particular, the researcher was curious about how single- and double-loop learning dovetails with Mezirow's differentiation between changes in meaning schemes and changes in meaning perspectives. In addition, James Carey's (1992) work on communication as transmission and/or ritual, from the field of Journalism, Communication and Mass Media, provides some cross-disciplinary theoretical scaffolding and useful context for the experiences reported by interview participants.

Finally, and consistent with the rationale and significance for this study stated in Chapter I, the researcher looked at whether and how participants experienced BA as a disorienting dilemma. A comparison was made of Catalyst participants' experiences

against Mezirow's (1978, 2003) and Nohl's (2015) views of the placement of the

disorienting dilemma in the process of perspective transformation. Distinctions were

drawn between (a) lived experiences (Nohl's view) and (b) formal/cognitive experiences

(Mezirow's view), with BA as a training method belonging to the latter category. The

researcher hopes to cast a light on the potential difference between organic/lived

experiences and planned ones (like training programs) regarding what comes first in the

disorienting dilemma chain: belief or behavior change.

Perspective Transformation

As outlined in Chapter II, Mezirow's (1978, 2003) work with perspective

transformation was mapped to BA from a structural perspective. To refresh from Table 4

in Chapter II, Figure 8 also illustrates the 10 steps of perspective transformation.
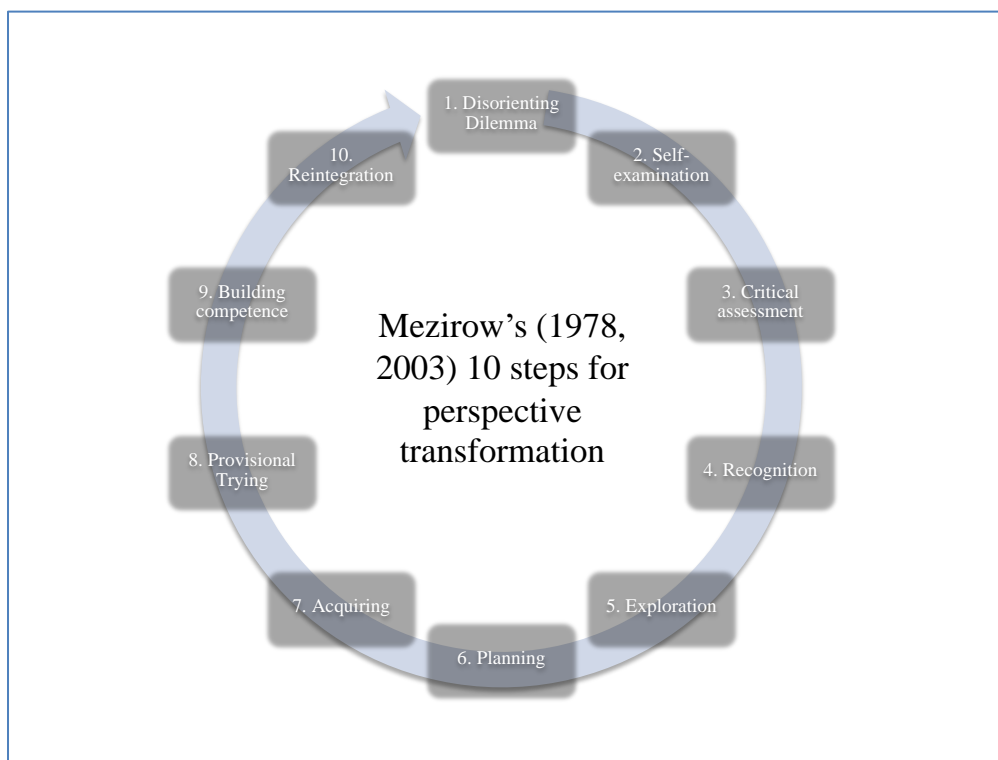
Figure 8. Mezirow's 10 steps of perspective transformation

Content, process, premise reflection. If Mezirow's (1978, 2003) definitions of content, process, and premise reflection were applied to communication skills training, and particularly to BA and how it supports building communication skills, it might look like this: (a) when I think about *what* I want to talk about (content), (b) when I think about *how* I want to talk about it (process), and (c) when I think about *why* I want to talk (premise). Content and process reflection pertain to the individual's review of what just happened and how it happened. The researcher believes that changes to either content or process would be consistent with a change in meaning scheme. Premise reflection goes deeper than that. It gets at the assumptions that underlie our behavior and encourages individuals to look at why they made the choices they made, what they were intending, and whether and how what just happened and how it happened were consistent with their intentions. Premise reflection is key to perspective transformation; it goes to the more permanent, and often uncritically accepted, meaning structures held by an individual.

Participant example of content, process, and premise reflection. Using Kami C31's experiences, an example of content reflection would include how she was able to clearly articulate a message to her audience, and then adjust what she said next based on the questions she got back. An example of process reflection included her ability to "debate…kind of big points" and engage her audience in multiple ways (speaking, asking questions if they understood her, debating big points) to get her view across. However, it was only after premise reflection that she became aware that how she engaged with others (advocacy), and what she was trying to convey (being smart and articulate), did not account for how that left the other person feeling. Upon premise reflection and with time, Kami C31's definition of effective communication changed to include both

advocating her own view and building off of and including the views of others. She made

a shift from using advocacy predominantly, to using both advocacy and inquiry as

needed, and with about "50% success" (Kami C31).

BA and Conceptual Framework

The conceptual framework was also used as a lens for interpreting the experiences

of interview participants. As outlined in Chapter III (see Figure 7), the conceptual

framework evolved over the course of the study. An early emphasis on Festinger's (1957)

theory of cognitive dissonance, Argyris and Schön's (1974) Model II behavior as applied

to communication, and the structural alignment of BA and Mezirow's 10 steps of

perspective transformation formed the basis of the conceptual framework. It was then

expanded to include Argyris and Schön's (1974, 1996) action science model at the core,

and more recent thinking (Nohl, 2015) about the placement and function of the

disorienting dilemma. The final conceptual framework (see Figure 5), illustrating how

BA works with these theoretical inputs, is discussed in the remainder of this chapter

section using a participant example.

When all 16 interviews were put through the conceptual framework model (see

Appendix I), two main data variants emerged: (a) examples of single- and double-loop

learning, particularly for those in earlier cohorts; and (b) the role that time played in how

participants internalized and applied BA post-program. In the next two sections, shifting

from an advocacy to an inquiry intention is viewed through the conceptual framework.

Specific BA behaviors typically utilized are identified for each of these intentions. For

ease of understanding the conceptual framework and how the data from this study were

mapped to it, Kami C31's story is used as an example.

It is important to note that in this example, the researcher focused on the mechanics of how the conceptual framework supports understanding the behavioral choices that influence a shift from advocacy to inquiry, rather than the more fluid mastery of balancing both advocacy and inquiry as a situation requires. This was done to exaggerate the point of focus on specific behavioral change, and for doing so using the language of BA. As is explained later in this chapter, participants often initially over-corrected this shift to learn the mechanics and to build the fluency noted more naturally over time in participants from earlier cohorts.

Conceptual framework and advocacy intentions. Figure 9 shows the conceptual framework for this qualitative case study and highlights to the bottom left side of it: What would an advocacy intention look like through the model? If someone had an intention for advocacy, what types of behaviors would he or she use? If someone got a match or a mismatch, what would he or she do next? How would he or she use questions with an advocacy intention? What would be the role of empathy in an advocacy stance?

Kami C31 was very explicit in her interview about both her pre-Module 1 communication story and her post-Catalyst communication story. She said, "My definition of communication changed," thus demonstrating double-loop learning and a change of communication intention over time. Kami C31's pre-Module 1 story through the conceptual framework would follow an advocacy intention. She described why she felt she was a good communicator "when I see that my audience is able to understand what I'm presenting and ask the correct questions." The ideas that there are (a) correct or incorrect questions and (b) the speaker is looking for audience understanding of what was said are both consistent with an advocacy intention. Kami C31 had something to

articulate (intention) and she was able to determine if her audience was tracking her based on them asking what she determined were correct (or incorrect) questions.

Further on in the interview, and still on the subject of how she knew she was a good communicator, Kami C31 offered the following: "I could engage people in discussions and conversations, and also debate effectively about kind of big points." Debate, at its essence, is about opposing positions being advocated by two or more parties. That Kami C31 considered her skills in debating "kind of big points" as criteria for being a good communicator also hinted at an underlying intention for advocacy.
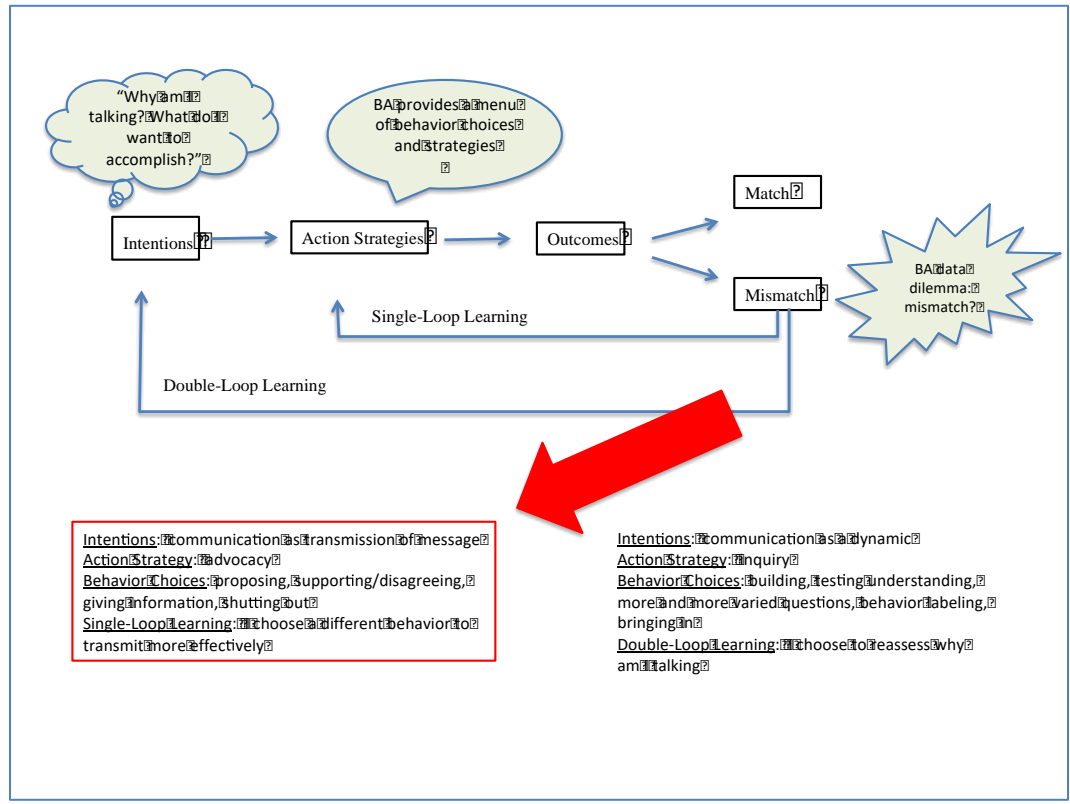
Figure 9. Conceptual framework for advocacy intentions

Conceptual framework and inquiry intentions. Figure 10 reviews the conceptual framework bottom right side, as if the speaker had an intention for inquiry. It

is important to note that an inquiry intention recognizes the counterparty plays a different role in the conversation. In an advocacy stance, the counterparty is (for the most part) the recipient of the speaker's advocacy. In an inquiry stance, the counterparty is actively involved in the conversation because his or her reasoning, perspective, and logic are being accessed by the speaker. It may be possible for empathy to be more easily recognized by the counterparty in a conversation via an inquiry stance because it comes across by the speaker from a place of genuine curiosity and mutual investment in the dialogue (and relationship) that exists, or is building, between the parties (e.g., Hipgrave, 2016).

Kami C31 shifted over time to operate more fluently from a position of inquiry in addition to advocacy. The key phrase here is "in addition." Nothing is inherently wrong with taking an advocacy stance, and as Figure 1 in Chapter II indicated, most early career professionals learn to master advocacy. However, corporate senior leadership roles require fluency in both advocacy and inquiry and knowing when to use each (e.g., Hipgrave, 2016; Tompkins, 2001; Yates, 2017).

Kami C31 spoke about what changed in her definition of communication this way: "I realized that while I was focusing on presenting ideas and coming across as useful and smart and whatever, I was not paying too much attention to how this might leave other people in the room feeling." The first part of her statement about being focused on presenting ideas and coming across as smart indicates an advocacy stance.
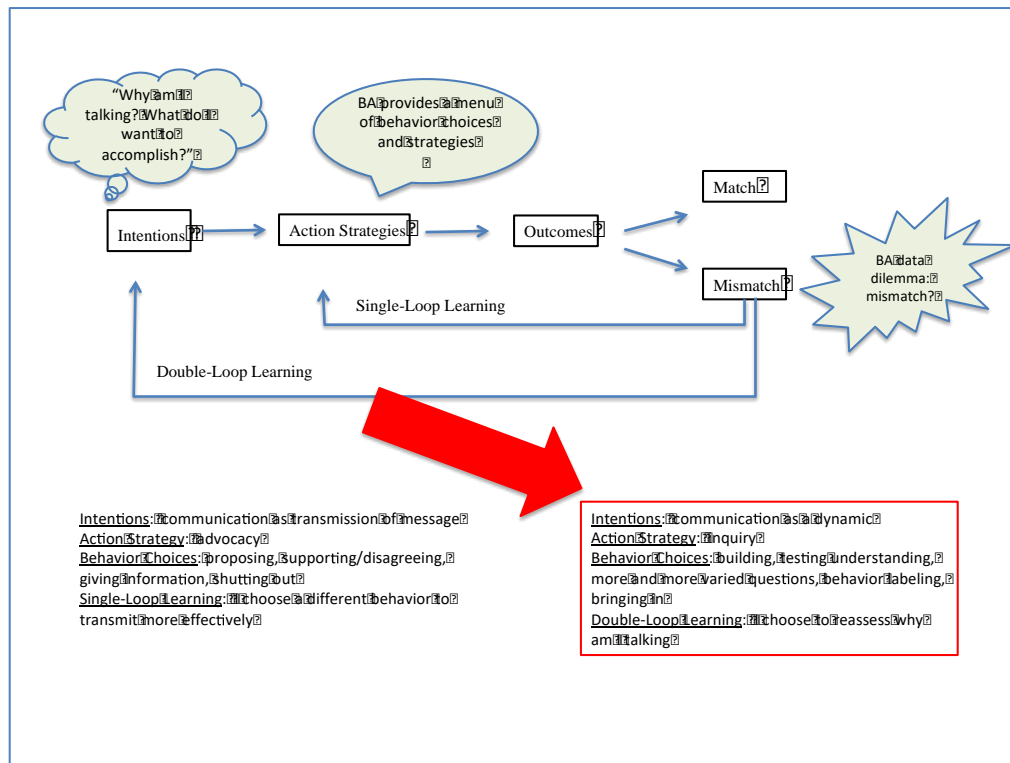
Figure 10. Conceptual framework for inquiry intentions

The second part of Kami C31's statement, about not realizing how that might be affecting people, indicates the reassessment of intention—asking herself, *Wait, why am I talking?* Kami C31 continued to explain how with a new intention for inquiry, she began to utilize different BA behaviors, like building, asking more questions to understand other people's perspectives, and becoming more conscious of how she used her own airtime.

Participant examples through conceptual framework. Table 28 shows a summary of the pre-, during- and post-Module 1 stories for four individual participants, one from each cohort. It also looks at elements of the conceptual framework for this qualitative case study, in preparation for a deeper discussion of participant meaning making—specifically, advocacy, inquiry, and single- and double-loop learning. Highlighted across the columns of Table 28 are: (a) the pseudonyms for the interviewees

Table 28

Cross-Interview Analysis of Espoused Theory and Theory-in-Use: One Participant Per Cohort Comparison

Interviewee and Time Since Mod 1	Pre-Module 1 Story (Intentions)	BA as Disorienting Dilemma (Match/Mismatch)	How Applied BA (Action Strategies)	Outcomes	Single-Loop Learning	Double-Loop Learning	Post-Module 1 Story (What Changed)
Comparison of One Participant Each From Cohorts 2, 3, 4, and 5							
Steven C21 (3 years)	"Thought I was better than I was"	Good experience; used it indirectly, got C21 thinking about things differently.	Preparing for conversations ahead of time. Being more mindful. Connecting empathetically with other person.	More self-reflection; separates task and relationship.	Using more of the BA tools.	Able to separate different types of communication and what they are for; uses communication differently now.	More in tune with others. Tailoring communication. More empathetic. "Servant communication."
Kami C31 (2 years)	"Good. Able to change message to suit audience." Clear, technical communicator.	"I didn't pay attention during the process, but the analysis afterwards did bring out some things that sounded very right, very correct."	Pauses and listens more. Builds on others' contributions.	Learned how not to take things personally; has developed broader strategies for communicating; redefined good communication.	Changes messages based on new knowledge; uses BA behavior "building" rather than disagreeing with ideas she does not support.	Created a different definition of communication, and learned not to personalize others' statements.	Definition of good communication has changed. "Communication of the idea and the material is one step. Communicating my personality and creating the right perception is a second layer."
Micah C41 (1 year)	"Greatest strength technical communication." Able to make the complex simple.	Felt it was interesting. Learned there were triggers for him about other people's behavior.	Removes distractions in meetings and focuses more. Aware of own triggers and is less reactive.	More self-awareness and impact on others through technical and other types of communication.	More self-awareness.	Invests more in the relationship with the other party, not just getting his point across.	How you relate to people is as important as the task being accomplished.
Cary C56 (3 months)	"Effective." Better in a group than presenting in public.	"Yeah, it was interesting…. I think we all inherently found ourselves deliberately using some of the method, but even with that, I think you still default to your own behavior."	Asking more questions, especially in one-on-one settings.	Needs to continue to refer to new tools while trying to think differently.	Using new tools.	Is curious about using BA to build rapport.	"Right now, I have no idea." Thinks just needs to remember to think of new skills before going into leadership communication situations.

and how long it had been since Module 1; (b) their pre-Module 1 story; (c) how BA acted

as a disorienting dilemma for them or not; (d) how they applied BA during and post-

program; (e) outcomes of applying BA; (f) evidence of single-loop learning noted;

(h) evidence of double-loop learning noted; and (i) their post-Module 1 story, or what had

changed for them as a result of BA and Module 1. All 16 interview participants appear in

a similar chart in Appendix I.

Participants' single- and double-loop learning. Underpinning participants'

experiences with BA and both pre- and post-Module 1 stories were the differences

between single- and double-loop learning and between espoused theory and theory-in-use

(Argyris & Schön, 1974, 1996). The pre-Module 1 stories they told themselves

represented assumptions about communication intentions that were uncritically accepted

by participants—essentially, their espoused theories. BA provided a disorienting

dilemma, a *Wait, why am I talking?* moment that jarred participants into seeing that

perhaps (a) they held assumptions, (b) their intentions were not generating desired

outcomes, and (c) their espoused theories (what they thought they did) and their theories-

in-use (what they actually did) were not aligned.

How participants applied BA post-Module 1 represented the action strategies they

selected. The post-Module 1 stories participants told themselves represented examples of

single- and/or double-loop learning. In single-loop, participants would have enacted some

of the BA strategies as they were looking to get "better at communicating" via a skill

build. They used the BA behaviors as a menu card, picked different ones to try, and

tested out whether and how the impact on others improved, but their intention in

communicating had not necessarily shifted—yet.

In double-loop learning, participants fundamentally revisited their intentions in communicating, which resulted in reaching for the same group of BA behaviors (building, asking more/different questions, behavior labeling, bringing in) as in single-loop, but with a different intention—these participants actually led with them, they did not only self-correct with them. Double-loop was more likely to occur in the earlier cohorts because they had more time for reflection and more of the Catalyst program content (ensuing Modules 2, 3, and 4) on which to build.

Comparison of Single-/Double-Loop Learning and Time Horizon

Figure 11 shows both key data variants that emerged from the findings (single-/double-loop learning and the role of time) in an X-Y chart. In this chart, time is on the X-axis and intention shift from advocacy to inquiry is on the Y-axis. All 16 interview participants were plotted on this chart against the conceptual framework (see Appendix I). Generally speaking, for Cohorts 2 and 3, participants experienced a new communication definition that was mutual, dynamic, and relationship-centered. Cohort 4 was mixed, with some movement seen towards and examples given of double-loop learning. Cohort 5 was still largely looking at alternative strategies to become more effective transmitters, with some acknowledgment that there were at least two parties in a conversation. Some, like Cary C56, began to experiment with how to utilize different behaviors to build rapport; this was interpreted as the beginnings of a shift in intentions and movement from single-loop towards double-loop learning.
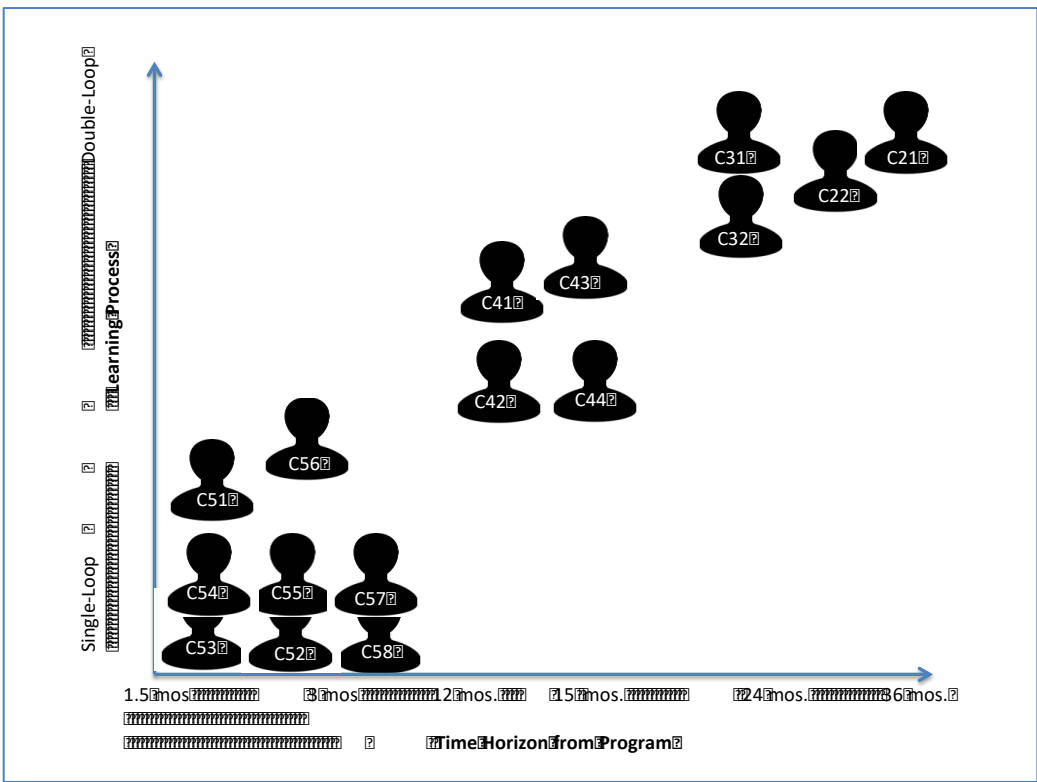
Figure 11. Variations of time horizon and learning process (Source for Figure 11 formatting: Fichter, 2017)

Towards balancing advocacy and inquiry. Learning to balance advocacy and inquiry over time seemed to follow a process of over-correction, trial and error, and persistence for interview participants that was awkward at first. Most evident in Cohort 5 interviews, participants took their BA data as indicative of them doing something "wrong" and initially attempted to over-correct their ingrained advocacy skills by focusing on asking more questions in meetings and conversations with other people post-Module 1. Many reported about 50% success with this approach: pause, listen to what the other person is saying, try to build off of it somehow, and ask more "Why do you say that?" questions. The awkwardness of trying to remember to do something different in

the moment was consistent with Noel Burch's (in Yates, 2017, p. 37) work on moving

from "consciously unskilled" to "consciously skilled" in learning new skills.

Those in earlier cohorts (Cohorts 2 and 3) reported greater fluency in utilizing

both advocacy and inquiry as the situation dictated; the researcher attributed this to time,

reflection, more opportunity to practice, and shifts in meaning making for those

participants. Gaining fluency over time in using new skills is consistent with Burch's

final stage, "unconsciously skilled" (p. 39), where much like how a pendulum swings,

people over time find a rhythm and balance in using new skills. Those in Cohort 5 were

still working through this process, so their experiences seemed more binary, as if they

were moving *from* advocacy *to* inquiry, and could only do one or the other at a time.

Those in earlier cohorts showed greater ability to balance advocacy and inquiry in service

of building rapport, seeking to understand the counterparty's view and influencing.

Communication as Transmission and Communication as Ritual

James Carey (1992), considered a seminal theorist in the field of Journalism,

Communication, and Mass Media, provided a definitional framework for thinking about

communication skills that was relevant in this study. He said:

> If the archetypal case of communication under a transmission view is the
> extension of messages across geography for the purpose of control, the archetypal
> case under a ritual view is the sacred ceremony that draws persons together in
> fellowship and commonality. (p. 15)

He went on to define communication as transmission as having a focus on emitting a

message for the purpose of controlling the outcome. This definition aligned with the pre-

Module 1 stories that participants told themselves about themselves as communicators.

They were practiced at advocacy and that advocacy was integral to their corporate

success prior to Module 1. Communication as ritual, according to Carey, focused more on the underlying cultural process of communicating with others, and not with a purpose to control, but a purpose to understand the other person; the ritual of exchange, the culture of connectivity between people (pp. 15-17). This different intention was noted by a number of participants (e.g., Kami C31, Steven C21, Micah C41) in earlier cohorts, all of whom developed skills in inquiry over time, and eventually demonstrated ability to balance both advocacy and inquiry in service of interpersonal effectiveness.

Carey's (1992) definition and Argyris and Schön's (1974) definition. Though perhaps coincidental (as they were contemporaries in the 1970s and 1980s), and certainly beyond the scope of this qualitative case study, Carey's work dovetailed with Argyris and Schön's Model I and Model II communication frameworks. They each described an advocacy metaphor/model and an inquiry one. Carey (1992) called his advocacy stance "transmission" and his inquiry one "ritual" (p. 15), Argyris and Schön's (1974) Model I behavior focused more on advocacy, and Model II focused on a balanced and inquiry-based interchange between people (p. 135).

Less clear in the literature consulted for either of these frameworks was the balanced usage of both advocacy and inquiry in developing working definitions for effective communication in a corporate setting. To take literally either of these models (Carey's, or Argyris and Schön's) could risk taking a binary view of effective communication, where this researcher believes the intention of the respective and collective authors was to depict the extremes for definitional purposes only. One cannot hit what one cannot see, and a clear definitional target allows practitioners and scholars

alike to operate between the poles and gather lived experiences that support, refute, expand, and further refine relevant theories and existing frameworks.

Mindset and Receptivity to BA

Carol Dweck's (2012) work with mindsets, and specifically growth and fixed mindsets, provided another helpful perspective for looking at the receptivity of Catalyst participants to BA. In the age-old nature versus nurture debate, Dweck posited there was a difference between fixed and growth mindsets. She said there are people who believe their mindsets are "built in and fixed by nature (an *entity theory*, or *fixed mindset*)" and others who believe that "their qualities can be developed through nurture and their own persistent efforts (an *incremental theory* or *growth mindset*)" (p. 614). Research has shown a correlation between growth mindsets and higher achievement, persistence, and resilience in the face of challenge, as well as a link between growth mindsets and those who "seek challenging learning opportunities" (p. 615).

While not studied as part of this qualitative case study, it remains curious (and a possibility for future research) to look at those who reacted very strongly to BA (negatively and/or positively) through this mindset lens. Additionally, one could speculate that those in a high-potential training program like Catalyst might be more likely to have growth mindsets, which could also be researched further. Finally, understanding the link between having a growth mindset and its impact on moving from advocacy towards inquiry, and ultimately balancing both well, could be an interesting research topic for future Catalyst leaders.

BA and the Literature on Transformative Learning

Consistent with the rationale and significance for this study stated in Chapter I, the researcher used Research Question 3 to look at whether and how participants experienced BA as a disorienting dilemma. Participants' experiences were compared against Mezirow's (1978, 2003) and Nohl's (2015) view of the placement of the disorienting dilemma in the process of perspective transformation (Mezirow, 1978, 2003). Distinctions were drawn between (a) lived experiences (Nohl), and (b) formal/ cognitive experiences (Mezirow), with BA as a training method belonging to the latter category.

Mezirow, Nohl, Festinger, BA, and the disorienting dilemma. Festinger's (1957) concept of cognitive dissonance was critical to this present discussion. He said human beings cannot exist for long in a state of conflict between their beliefs (what they tell themselves they do, their espoused theories) and their behavior (what they actually do, their theories-in-use). Once a mismatch between belief and behavior exists, one or the other (belief or behavior) must change to return the psyche to a state of balance. Mezirow (1978) called this moment where the realization occurs that one is in a state of cognitive dissonance a "disorienting dilemma." In the years since Mezirow and Festinger theorized the above, scholars and practitioners have debated where the disorienting dilemma is placed in the process of behavior and belief change.

Disorienting dilemma placement in the perspective transformation process. As discussed in Chapter II, Mezirow (1978, 2003) and Nohl (2015) saw the placement of the disorienting dilemma differently in the process of perspective transformation. Mezirow put the disorienting dilemma at the beginning of the perspective transformation process,

as a driver of belief change, and scholars and practitioners have interpreted that ever since as the disorienting dilemma kicking off the perspective transformation process. Placing the disorienting dilemma at the beginning of a *cognitive* process (focused on thought process) for change would make sense for how Mezirow (1978) studied women returning to work or school after a prolonged absence. If one affects belief, then behavior would logically follow. However, as Mälkki and Green (2014) pointed out, it is only possible to know what transformed a person after the fact, and only from the new belief vantage point, which suggests a series of behavior changes prior to the recognition of belief change. Festinger's (1957) original theory of cognitive dissonance did not favor one over the other; he put either belief or behavior as the driver of the psyche's search for balance and consistency. This researcher suggests all of these prior scholars were correct.

BA resembles perspective transformation from a structural perspective, so it also makes sense that the disorienting dilemma would be at the beginning of the process—specifically, when participants get their data in the group and they begin to see they may have a mismatch, or they may hold assumptions about how they communicate. However, and consistent with Nohl's (2015) work with lived experiences, the participants did not report the effects of the disorienting dilemma in this way. Yes, BA was a disorienting dilemma for them, but what it actually disoriented or disrupted came about later, via a series of reflections, trials and errors, some changed behaviors, small successes, and so forth. At first, when they saw their BA data, they mostly just thought they had done something wrong.

Planned learning and lived experience. This suggests there may be a difference between planned situations (like training programs) and lived experiences (what Nohl

studied) and how that may affect a disorienting dilemma and its placement in the process of internalized change. Mezirow's cognitive depiction of the 10 steps of perspective transformation aligns with how one would plan a training course to encourage perspective transformation, and the data from this qualitative case study suggested that BA, when used as a training method, does that. Yet participants in this qualitative case study reported changes to their intentions (beliefs) about communication only over time and in a lived experience way, much as Nohl explained it. They experimented with the BA behaviors; saw some successes, and only over time did their beliefs shift.

This has led to an unintended finding of this qualitative study, but one that has potential significance for L&D program designers. The placement of the disorienting dilemma can be either at the beginning or somewhere during the process of behavioral change. It seems that when belief shifts, then behavioral change accelerates, but either belief change or behavior change can happen first, as Festinger suggested. Some examples include Steven C21: "now I'm looking for cues, right?" and Aamir C43: "I am reading the room," in which both actively shifted to looking for communication counterparty cues of involvement in a discussion; Joseph C44: "it is about the relationship," which refers to why he communicated to build a relationship with another person via language; and AnneMarie C32: "it includes me, too," which refers to the realization that she was part of her team and their discussions, not just a spectator.

There were many examples in the data of how definitions shifted over time, with a combination of some behavior changes (single-loop) and then some belief changes (double-loop) resulting in more behavior changes (single-loop), in a self-reinforcing process. Fichter (2017) presented similar findings in her dissertation study about ethical

decision making in financial services, where single- and double-loop learning processes often worked together and cycled multiple times before bigger shifts occurred in either belief or behavior consistent with the definition of perspective transformation (pp. 156-164).

Perhaps a disorienting dilemma can be planned? The impact this idea may have for L&D program designers is that it suggests disorienting dilemmas can be planned—that is, purposefully structured into learning, with proper scaffolding and support. Coupled with an earlier finding of this study, that the group plays a role, the mechanics may be in place for building corporate training programs that support, challenge, and accelerate both belief and behavior changes that ultimately become sustainable over time.

Continuity and intersubjectivity in perspective transformation. Hoggan, Mälkki, and Finnegan (2017), in their continuous efforts to refine Mezirow's theory of transformative learning and perspective transformation, focused on two aspects— "continuity" (p. 50) and "intersubjectivity" (p. 54)—that also have relevance for better understanding the findings in this qualitative case study.

Continuity. Hoggan et al. (2017) defined continuity as consistent with John Dewey's (1938, in Hoggan et al., 2017) interpretation that "there is a connection and interaction between one's past, present and future interactions" (p. 50). This sense of continuity is important for looking at how perspective transformation occurs in individuals. The literature focused on how perspectives can change and shift over time, yet often ignored the primary purpose of meaning perspectives, which is to provide an anchoring sense of "coherence and continuity" (p. 50) for how people live in and experience the world.

The authors suggested that "scholars should explicitly address the role and interactions of existing meaning perspectives as they continue throughout and beyond the transformative learning process" (p. 51). This suggestion could support the sometimes awkward, cyclical, and finally fluid experience reported by interview participants across cohorts in regard to how their meaning perspectives changed over time. The authors suggested that scholars should consider the "depth, breadth and relative stability" (p. 51) of perspective transformation, rather than to describe it as having happened or not. "The outcomes of transformative learning are inseparable from the learner's previous experiences, existing meaning structures, and processes of learning" (p. 52).

In sum, continuity suggests that perspective transformation: (a) does not affect all meaning perspectives simultaneously; (b) presents a challenge to separate the learner's experiences from existing meaning perspectives, in order to pinpoint what changed what; and (c) does not mean that all meaning perspectives need to change (p. 54). This supports the somewhat murky process of determining the exact changes (or order of change) that occurred for participants, and what role BA played, in the present study.

Intersubjectivity. Intersubjectivity focuses on the integrated nature of "cognition and emotion" (p. 54). This critical insight—"it is impossible to separate cognition from emotion, just as it is to completely separate the individual from the social" (p. 54)— supports the role that emotions and the group played in the process of perspective transformation for this study's interview participants. Hoggan et al. (2017) put forth that emotions play an important role in keeping people safe in the world, and that "edge-emotions, such as hurt, shame, frustration, depression, anger or fear" (p. 55), when felt, encourage people to return to the unquestioned assumptions and safety of resistance to

whatever disturbed the underlying assumption in the first place. It is by overcoming those edge-emotions that transformation can occur.

This process is buffered, supported, encouraged, and facilitated by the social nature of learning and the safety created by like individuals in similarly situated circumstances. In intersubjectivity, the authors described the shared meaning perspectives that grow from shared experiences. "The shared nature of meaning perspectives creates social bonds between people and through this bond they can experience feeling accepted by others" (p. 56). This was reflected in the interview participants' many comments about the rapport that grew within the group, and how important the group was to the individual learning, reflection, and skill growth of the participants.

The authors quoted Mezirow this way: "the social context can be an aid for reflection by creating space for sketching alternative interpretations and challenging the givens, if there is a safe and accepting atmosphere that supports this critical questioning process" (Mezirow, 1991a, in Hoggan et al., 2017, p. 56). This has bearing for the design and delivery of training programs that seek to disorient, and then support learners, through perspective transformation. This point is revisited in Chapter VI, in the discussion of implications for future practice.

How this study fits into the ongoing discussion. The researcher suggests that this qualitative case study has made four specific contributions to the literature. First, the researcher endeavored from the outset to link BA to the literature on transformative learning and observational feedback methods. Second, the findings of the study supported existing literature on the importance of group work, peer learning, and opportunities to practice with real-time feedback in a safe setting for successful corporate L&D programs.

Third, from a combination of the findings and the conceptual framework for this study, the researcher was able to link existing adult learning and psychological theories in service of understanding how communication shifts from advocacy to inquiry can occur for mid-level leaders in a corporate training setting. Finally, this qualitative case study contributes to the body of research studies situated in corporate settings, particularly those with an emphasis on building communication and leadership skills.

Synthesis

Interview participants confirmed that BA provided both: (a) a perturbation to participants' assumptions about their espoused communication theories, much like a disorienting dilemma; and (b) alternative strategies for more effective communication that could be utilized in the short term and the longer term, as participants' intentions matured and evolved over time. This finding was evidenced in both the interviews and the feedback reports.

BA was the spark at the beginning of Module 1 that provided both disruption and a new language for participants to practice making ingrained communication patterns conscious. BA was not conducted as a standalone training method, as it was originally designed, and which is a recommendation for practice discussed in Chapter VI. In this study, BA was coupled with carefully thought-out design elements that provided participants with an opportunity to practice in real time and get actionable feedback. It was also introduced in a safe learning environment of peers. Time to reflect and integrate change was also a factor in the evolution of participant communication stories. Taken

together, Behaviour Analysis and Module 1 had a memorable impact on Catalyst participants.

Using BA for Advocacy and Inquiry Training

Figure 12 illustrates how BA works in a corporate training setting. Its perspective transformation underpinnings are noted, as well as the role that time plays in bringing about shifts in meaning making that allow new communication definitions to evolve.
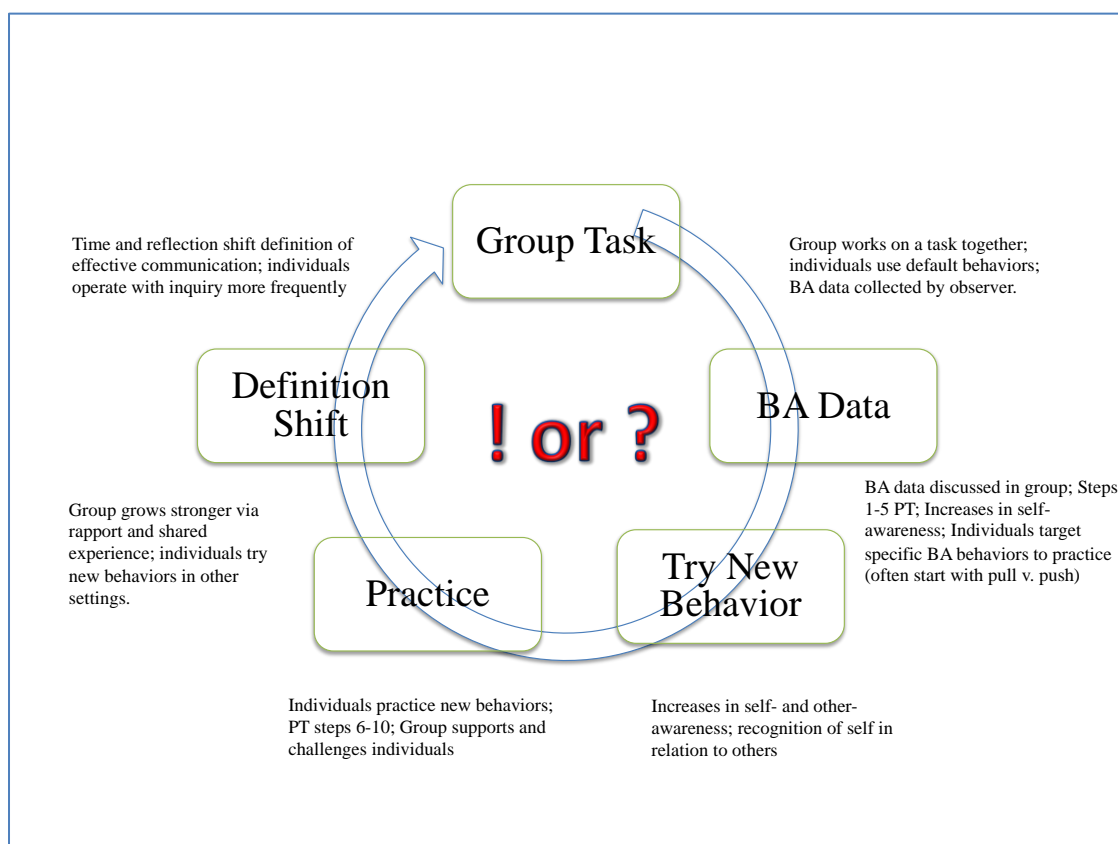
Figure 12. Using BA for advocacy and inquiry training

Group task. BA data collection begins when a group of six to eight people work together on a task; ideally, the task is one that requires collaboration, an exchange of ideas, and discussion. During the time period when the group is working on the task, the

BA facilitator is collecting verbal data on each individual in the group for the feedback section.

BA data. This is the feedback session in which participants see their data and experience the first elements of disorientation via the advocacy statistics that are revealed—high percentages of giving information, shutting out, proposing ideas, agreeing and disagreeing with others, and generally using questions to seek information only. Participants see aggregate data for all participants in the group in various categories that demonstrate push versus pull. They match up their own experiences of each other with their own data. Self-awareness and other-awareness begin to increase.

Try a new behavior. The feedback session concludes with some simple planning: What will you do differently? What will you try? What one or two behaviors make sense for you to practice? Rapport created within the group provides safe conditions for trying new behaviors and just-in-time feedback loops from peers who are sharing the same training experience.

Practice. When BA is conducted in a condensed timeframe, such as it was in Catalyst, support via structured practice is needed. In Catalyst, the practice rounds were experienced as six real-time scenarios in varying configurations where participants alternated between playing learner and assessor roles for their peers. The language of BA was used for feedback, and participants were encouraged to practice what they identified in the previous stage: "Try a new behavior." Participants typically begin by asking more questions and more different types of questions. They practice managing their own airtime, looking to build rather than disagree, and focus on seeking reasons to understand other perspectives.

Definition shift. Liminal space is critical for reflection and meaning making; the space between activities, the time between Modules, and the re-entry period from training class to workplace all contribute to create the space needed to reflect. Over time, participants begin to practice new behaviors in different settings. They gain confidence, grow competent, and eventually integrate both advocacy and inquiry into an effective repertoire of leadership skills for working with and through other people.

Chapter VI

CONCLUSIONS AND RECOMMENDATIONS

The final chapter of this qualitative case study focuses on conclusions and recommendations that emerged from the data, findings, and analysis. Conclusions are discussed, with embedded recommendations for practitioners and future research. The chapter concludes with the researcher's final thoughts on the rewarding journey that was this qualitative case study.

Conclusions and Embedded Recommendations

The researcher drew four conclusions from the findings and analysis of this qualitative case study. They were: (a) making a shift in communication skills to balance advocacy and inquiry is both additive and transformative; (b) group and/or peer learning is an important component for increasing self-awareness in corporate L&D programs; (c) disorienting dilemmas can be engineered, and they serve a valuable purpose in bringing unconscious behavior patterns to consciousness for skill building in a training setting; and (d) time and reflection both play a critical role in making conscious connections between espoused theories and theories-in-use for building communication skills.

Conclusion #1: Balancing Advocacy and Inquiry Is Additive and Transformative

Participants did not abandon advocacy in favor of inquiry; it was additive—they had more to choose from in tools and mindsets when engaging in communication. What was transformative was the way in which they viewed communication—as a shared experience between people rather than an emitting experience, going from speaker to recipient.

Recommendation #1a: Implications for L&D practitioners. Designing effective communication skills training includes looking more closely at the shift from advocacy to inquiry. It occurs at a critical point in the careers of leaders, where their technical skills alone have brought them as far as possible, and a new way of engaging, influencing, and motivating others is required (Goldsmith, 2007). How can L&D program designers develop training programs that jolt underlying assumptions, yet create enough support, challenge, and scaffolding to allow the vulnerable ego to experiment with new ways of communicating? Making the shift from problem solving to problem finding (e.g., Kegan, 2009, in Taylor & Marienau, 2016, p. 278) is critical to ascending into senior corporate ranks. How can we proactively train people for that?

BA is one method that works, but it does not work alone. It is most effective when it is paired with another methodology that allows for practice—in this case, the rest of Module 1 and the multi-rounds of real plays (development center) participants went through on Day 2 of Module 1. Developing training programs that bring subconscious intentions for communication to conscious levels within individuals has relevance for considering how mid-level leaders shift from advocacy to inquiry and expand their abilities to lead effectively. As discussed in Chapter V, there is a place here for mindset

work as well—in particular, Dweck's (2012) conceptualization of fixed and growth mindsets. Accessing, and developing, a growth mindset with participants in conjunction with the relatively objective data and feedback process that BA provides could result in impactful training with greater likelihood for sustained communication skills and behavioral change post-program.

Recommendation #1b: Implications for BA practitioners. Missing in this study design, and even in the Catalyst program design, but perhaps critical is the reinforcement of BA post-program. Scaffolding of training methods, particularly those that disorient, can drive application and contribute to sustained learning. Participants in this study requested additional job aids and "cheat sheets" that could help them in the moment. Revisiting the content again in Modules 2 and 3 could also be helpful, to keep the language participants learned current throughout Catalyst.

In addition, this researcher believes there is merit to labeling the learning after the fact a bit more explicitly than is currently done. ImpactUSA prides itself on being experiential in its approach and leaving enough room for participants to extract their own meaning from their experiences. That said, there is room to be explicit about the intentions of BA after it has been experienced, to help participants understand the why behind it. This is not currently part of the delivery of the BA training method.

Finally, as BA adapts to the technology age, and is updated from a manual entry format to a technologically adapted application, it is important to look at evaluation typologies. How do we know BA works? How can the learning be measured? Engaging in a study of this size, with in-depth interviews and time for reflection, is unrealistic for most organizations to take on. Yet, proof of concept and some type of evaluation

typology or methodology for BA would be helpful to develop and to validate the data it collects and the learning process it facilitates.

      Recommendation #1c: Implications for future research. Additional pre- and post-Module 1 questioning and benchmarking could have made this study more robust. In addition, the shift from advocacy to inquiry can be an inflection point in a corporate career, yet the research consulted for this study was insufficient to provide resources for how it is currently being fostered, facilitated, practiced, and trained. Investing more in researching how people move through this inflection point and gain (not trade off for) capacity, skill set, influence, and confidence could bring tangible and meaningful results across industries to those who look to manage corporate employee development.

Conclusion #2: Peer Learning Increases Self-awareness

      One of the key strengths of BA was the group feedback session. Participants noted: (a) that BA could not possibly be "right about all of them, and wrong about me"; (b) they recognized the shared experience with their colleagues; (c) they capitalized on the opportunities to practice as set up by the program content (development center on Day 2, project work in Module 2); and (d) they demonstrated support and challenge provided by peers towards learning and growing new skills (improving versatility) at first, and then new intentions over time (expanding leadership effectiveness).

      Recommendation #2a: Implications for L&D practitioners. A group with psychological safety and rapport may provide a synergistic effect on learning (Hoggan et al., 2017). This would need to be further tested, but this qualitative case study suggests that the group experience played a significant role in "support, challenge and scaffolding" (Taylor & Marienau, 2016, p. 108) participants through Steps 6 to 10 of perspective

transformation. In addition, the findings suggest to L&D program designers that group learning can potentially be leveraged deliberately in service of attending to the affective domain of learning. By keying into emotions, connectivity, shared experiences, rapport, and the social learning aspects that fuel motivation, L&D program designers have a valuable asset for designing programs that facilitate sustained behavioral change (e.g., Dirkx, 2001; Hodge, 2011, 2014; Hoggan et al., 2017).

Additionally, what role can groups, peer learning, peer coaching, and training methods that disorient (like BA) play in accelerating the learning process? While not answered in this qualitative case study, this remains a recommendation for practice: to look at alternative support and challenge vehicles that can concurrently run with the fast pace of contemporary corporate L&D design mandates: leverage peer learning and quality feedback and build safe learning settings.

Recommendation #2b: Implications for future research. As Noe et al. (2014) illustrated in Chapter I, formal learning programs and settings are giving way to more informal learning and just-in-time training opportunities. The structure and design of Catalyst allowed for only a half-day with BA where its original developers used it across a 3- to 5-day span. Additional research on alternative ways that group learning, peer coaching, networks, and technology can fill in, augment, replace, and offset the span of time that is no longer available for immersive training experiences would be helpful to counter the loss of time. Younger generations entering the workforce learn, network, and communicate with each other very differently; lessons from this body of research can also be applied and further studied for corporate settings.

The impact of technology on communication skills, including the way people communicate with each other (texting versus verbally talking), creates opportunities to further explore how the group impacts individual learning. Additionally, how emotions are shared and experienced in a technology-driven interaction has bearing for verbally-based training methods like BA. Further research is required to examine how technology is changing the way humans interact, communicate, and learn to connect with each other meaningfully.

Conclusion #3: Disorienting Dilemmas Can Be Engineered in Training Programs

Both Nohl (2015) and Mezirow (1978, 2003) were correct: Perspective transformation change is a fluid process and lived experience differs from planned experience (as in a training program). How/when the disorienting dilemma occurs is somehow related to cognitive dissonance (Festinger, 1957). The dissonance delta between belief and behavior has to be great enough to register to the person that his or her espoused theory and theory-in-use are not aligned. This can happen up front (in a planned experience), naturally and organically (via lived experience that is self-directed), or any time in between. In the former (Mezirow's view), the disorienting dilemma drives the behavior change because the disorienting dilemma occurs at the belief level and before behavior change has been realized. In the lived/organic way (Nohl's work), the disorienting dilemma serves as a connector between past behavior/beliefs (where alignment or uncritical acceptance occurred) and current ones (presumably in dissonance). Kami C31 was a good example of this. BA served to reinforce an earlier message from her manager about the impact of her behavior on other people. If not for the earlier incident, her BA learning may not have been as profound.

Recommendation #3a: Implications for L&D practitioners. For L&D program designers, this is important information as it suggests that transformative learning training experiences can be structured and planned at the cognitive level. BA is a training method that aligns structurally with perspective transformation and behaves like perspective transformation in a training (engineered) context. Interview participants reported changes in communication definition and skills over time in much the same way as Nohl (2015) explained them happening as lived experience. Both occurred—disorienting at the front (addressing beliefs) and gradual cyclical belief/behavior changes over time—which eventually led to belief change, even with behavior change about 50% of the time. This study showed that it is possible to engineer a disorienting dilemma into a training program, and this can be very powerful. To be successful, a number of other elements should be present: support, challenge, peer feedback, opportunity to practice, time to reflect, and a learning laboratory setting or mode.

Recommendation #3b: Implications for future research. This study involved a group of high potentials. A number of additional scenarios, if researched, would expand what is known and could be applied across broader industry settings. Some examples include: (a) a study that looks at those who reacted most strongly to BA, to see if they made the greatest strides in changing intentions, thereby supporting the role emotions play in facilitating behavior change (e.g., Dirkx, 2001; Hoggan et al., 2017); (b) a similar longitudinal study without high performers to see if feedback receptivity and integration were affected; and (c) a repeat of this study with participants from other organizations, not homogeneous to one company like Palmetto, or including participants who had left

Palmetto, to determine what impact (if any) being in the Palmetto environment had on the experience.

Conclusion #4: Time and Reflection Facilitate Single-/Double-Loop Learning

As new meaning making takes place, people attach subsequent experiences and trips through the conceptual framework to different meanings as their new perspective is forming. No participants reported a shift between single- and double-loop learning after their initial experience with BA and Module 1; time was noted in all cases where intention shifts occurred. Mälkki and Green (2014) highlighted the limbo space between perspectives (old and new) and how there is not yet a definitive view. This study's findings supported that research. For example, Jonathan C53 said, "Is it wrong to say I don't think anything different?"; Sharon C58 said, "I don't have a story yet"; and Renee C57 added, "It was all just validating, but maybe I talk too much, so maybe if I ask more questions, it will create an opportunity for me to listen more." These examples illustrated how participants were still mid-process in meaning making at the time of the interviews.

Recommendation #4a: Implications for L&D practitioners. Time plays a role in the reflection, synthesis, and integration of learning that is a critical component in the L&D program planning equation. As organizations pressure L&D departments to create learning experiences in more virtual, less face-to-face, more truncated episodes, and closer to when the learning needs to be applied, time for reflection gets sacrificed. Yet time is critical to the maturation of perspective and the building of new knowledge and skills. In the absence of time, or with shorter time horizons allowed, how can learning be properly supported and scaffolded? Maximizing liminal time periods—those before, during, and after face-to-face training times as well as idle times in other contexts (e.g.,

commute time)—may be an avenue for providing the germinating time needed to make shifts in meaning that result in growth and development.

Hoggan et al. (2017) pointed out the tricky nature of perspective transformation and the need to support the process appropriately. Underlying meaning perspectives do not only consist of untested assumptions that need to be cleaned out and updated; many provide the necessary anchors that allow people to function in the world. Identifying what underlying assumptions are being targeted in the learning setting, and then understanding how the change process takes place (including the role of resistance and emotions), creates opportunities for L&D practitioners to support and encourage the learning process carefully. Working with both participant learning style and underlying psychological structures is important for L&D practitioners who wish to create transformative learning experiences in corporate settings.

Recommendation #4b: Implications for BA practitioners. BA, as it has been developed and implemented, puts the BA observer in the role of data collector and facilitator of the feedback process. This qualitative case study placed BA into the literature on transformative learning and perspective transformation. It suggested an alignment of content reflection (What do I want to communicate?), process reflection (How do I want to communicate?), and premise reflection (Why am I talking?) (Mezirow, 1978, 2003) with Argyris and Schön's (1974, 1996) single-loop (content and process reflection) and double-loop (premise reflection) learning processes. For BA practitioners, it is important to understand more about how adults learn, grow, and develop and the underlying theories from academic literature. This would allow BA practitioners to be more deliberate and targeted in their one-on-one discussions and

general framing of how and why BA works when working with BA in condensed timeframes, such as was the case in Catalyst.

Recommendation #4c: Implications for future research. This researcher suggests a study that looks at the relativity of the adult development level on the ability to shift from advocacy to inquiry, and to a more balanced use of both over time (e.g., Erickson, 2007; Helsing & Howell, 2013). This researcher believes that people bring their whole selves into the corporate learning setting, including their adult development level (more psychology-influenced) as well as their learning styles (more education-influenced). The decades of separation between these two concepts no longer serve corporate learning and/or training program participants. It is time for L&D practitioners to understand more about the internal individual processes of change. Further research is needed about how corporate learning processes affect and reflect psychologically and interpersonally—regardless of what professional and leadership skills are being taught.

Researcher's Closing Thoughts

Rarely have I had the professional privilege that I enjoyed on this project working with ImpactUSA, my fellow BA practitioners, and an amazing client like Palmetto Pharma for such a prolonged period of time. This research opportunity was unique, consistently challenging, and of sustained high quality; 5 years is a long time and a lot of data. To have met each and every direct and indirect participant in this study, to have worked closely with some, and to have been welcomed into the Catalyst community so warmly have left an indelible mark on my heart for the gift that it all represents. The experience was humbling and transformative in so many ways; I became a researcher

through this passage of time and people. I learned that I hold assumptions, need to test them frequently, and now have gained the tools and confidence to do that well.

Concurrently, the partnership with my academic advisors, my classmates in AEGIS XXV (our cohort-based doctoral program), and the developer of BA (Neil Rackham, with incredible support for this project from his lovely wife Ava Abramowitz) taught me how to weave passion for learning with academic rigor, and then work thoughtfully within the tenets of constructivist research. From Tony Hipgrave in particular I have learned that people show up as whole selves, and the artificial parsing of educative aims from psychological underpinnings rarely serves the human. Holding the human with dignity, kindness, and wholeness while he or she experiments with new learning is at the essence of good practice. Thanks, Tony, for introducing me to BA all those years ago, and for the shaping influence you have been on this human throughout the years.

What is old is new again. BA was a training method from the 1970s that still has relevance in 2019. It is a mirror. It provides a relatively objective view about behavior that encourages program participants to test assumptions. When properly supported, it is very effective at accelerating the kinds of changes organizations are looking for in their L&D initiatives. Updating the delivery of BA and creating an application for electronic capture of the data, and a shortened cycle of time between data collection and data review, would increase the utilization of this wonderful training method.

Moreover, experimentation with its categories and customization for the contextual setting *du jour* is encouraged. BA can be applied beyond the classic training application. It has value for developing coaching skills and improving meeting quality

(Yates, 2017); it can target specific behaviors in individuals for skill building outside of a training program; and it can function effectively wherever relatively objective data on how someone behaved verbally (versus how they thought they behaved or thought they should behave) would be useful. BA was developed with no license on its intellectual property; it is not owned by anyone and can therefore be customized, modified, and expanded as needed. Some practitioners have already done that (e.g., Hipgrave, 2016; Yates, 2017); this researcher will continue to do so.

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Appendix A

Origins of Behaviour Analysis Method

Theoretical and Practical Influences on the Development of BA, as Noted by Neil Rackham
(all Influences listed below are cited from Rackham's 2012 unpublished manuscript)

Influence	Key Insight Gained	Impact on BA Development
Stufflebeam, 1969	"purpose of evaluation is to improve, not to prove"	BA constructed to capture factual, actual data as objectively as possible
Knowles, 1970, Stufflebeam, 1969	Participative training is more sustainable than non-participative	Interpretation of the data and meaning-making belongs to the participant(s) and his/her colleagues in situ
Kirkpatrick, 1956 and later, 1975	Kirkpatrick's levels of evaluation only focused on outcome, not methods, tools or impact	BA as a tool "stops the action" and provides opportunity for participants to get and interact with feedback, which becomes the focus, rather than outcome
Bloom's Taxonomy, 1956	Too narrow in focus, more suited to academics than participatory training (Rackham, 2012, p. 13)	BA designed to create safe environment for feedback with confidentiality and solidarity of participants
CIRO	Importance of current context in determining future training needs; "An instrument could only lead to increased job performance effectiveness if it measured something the learner needed to improve" (Rackham, 2012, p. 28)	BA incorporates roles of reflection and self-awareness, tied to context of the event to make meaning and then apply it towards individual development objectives
Long-cycle and Short-cycle evaluation	Long-cycle benefited future learners and instructors, short-cycle benefitted current learners and more suited to participative training	BA provides feedback within the training context to give participant(s) an opportunity to apply learning before leaving program and experience improvement
Cybernetics	Idea of using feedback loops in training programs	Multiple iterations of BA conducted and feedback provided to participants in situ
Quality improvement movement in manufacturing	Idea of using short-cycle evaluation in qualitative participatory training environments	BA as a method structured similarly to statistical process control methodologies (*Note: This will not be explored in this review)
Failed early short-cycle experiments	Needed small group behavior instrument that captured the behavior of each individual within the group	BA captures relatively objective individualized data in small groups of 4 to 8 participants

Influence	Key Insight Gained	Impact on BA Development
Bales Interaction Process Analysis ("IPA"), 1950	Distinct behavior categories for short-cycle evaluation of group setting individual work and importance of inter-rater reliability	11 category system for verbal behavior in a group setting: 1) proposing 2) building 3) supporting 4) disagreeing 5) defend/attacking 6) giving information 7) seeking information 8) testing understanding 9) summarizing 10) bringing in 11) shutting out
Carl Rogers	Neutrality of "therapist" (or facilitator) and importance of providing actual, factual data with reduced positive/negative bias.	Method must only provide factual, actual data, it is up to the participant(s), colleagues in the interaction and the facilitator to interpret the findings and make meaning from them
William Allen project, and subsequent research on negotiation	Research conducted on successful negotiators led to formation of distinct categories and differentiators for use in behavioral observation and efficacy evaluation	Four main buckets of behaviors, for organizing 11 distinct behaviors in BA: 1) initiating ideas, 2) reacting to ideas of others, 3) clarifying ideas and 4) attending to process

Appendix B

Sample BA Data Sheet

Behaviour Analysis Form   Times:

Group:
Activity:

Name → Behaviour ↓								
Proposing Procedure								Pr Procedure
Proposing Content								Pr Content
Building								Build
Supporting								Support
Disagreeing								Disagree
Def/Attacking								D/Attack
Testing Understanding								Test U
Summarizing								Summarise
Seeking Proposals								S Proposals
Seeking Reasons								S Reasons
Seeking Reactions								S Reactions
Seeking Information								S Info
Giving Information								Give Info
Giving Feelings								Give Feelings
Shutting Out								Shut Out
Bringing In								Bring In
Label Other								Label Other
Label Disagree								Label Disagree

Appendix C

Sample Post-Program Feedback Form

The following survey questions are provided to all program participants immediately following their participation in Module 1. They are instructed to provide answers to the following questions, with comments:

1. How would you rate Module 1 in terms of overall satisfaction?   a) poor b) needs improvement c) average d) good e) excellent
Comments:
2. The facilitator(s) added significant value.   a) strongly disagree b) disagree c) neither agree nor disagree d) agree e) strongly agree
Comments:
3. Please add the name of your facilitator and provide some specific feedback around   their expertise, communication skills and ability to engage you and the group.
Comments:
1. The venue was suitable for the event.   a) strongly disagree b) disagree c) neither agree nor disagree d) agree e) strongly agree
Comments:
5. In what ways do you think your learnings on this Module will make you a better leader and manager?
Comments:
6. What will you do differently as a result of this Module?
Comments:
7. What was the most valuable aspect of the Module and why?
Comments:

8. What was the least valuable aspect of the Module and why?
Comments:
9. What is one thing you would do to improve the Module and the program overall?
Comments:
10. On a scale of 1 to 10, where 1 is not at all likely and 10 is very likely, how likely are you to recommend this Module to a colleague?
Scale provided: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10

Source: Palmetto L&D (2018)

Appendix D

Letter of Invitation

Dear [NAME],

This letter is an invitation for you to participate in a proposed research study about the Catalyst Leadership Development program that you attended. In particular, the proposed study seeks to explore your experiences in Module 1, with Behaviour Analysis and the development of interpersonal communication skills.

The proposed research study is looking at the perceptions of corporate leaders, who have experienced Behaviour Analysis in a training program. It seeks to explore insights and understand what impact, if any, BA had on those corporate leaders. In addition, the study seeks to understand what role effective interpersonal communication plays in the current demands of corporate leadership, and whether and how BA can be a tool for improving that. As a Catalyst Alum, you have been identified as a key global leader who has successfully completed the training program and who may have valuable perspectives to share about the proposed study's aims.

It would be beneficial to interview you to help determine if BA may be a valid adult learning methodology for future leaders and executives.

If you chose to be a participant in the study as an interview participant, you will be asked to complete two documents. These are: 1) the Demographic Questionnaire, and 2) the Informed Consent Form. In addition, you will be asked to complete a face-to-face 60-minute interview with the researcher, Pamela Katherine Booth Rosati. This interview will be recorded for the purposes of ensuring data accuracy and integrity.

Any information collected, including recordings, will be held in the strictest confidence and no individual identifiers, nor company identifiers will be disclosed in the dissertation discussion, narrative or in academic or professional circles. All information will be kept in a password protected file, to which only the researcher will have access.

Attached you will find the following documents:
- Participant's Rights Form
- Informed Consent Form

Please take the time to review these documents. If you wish to participate in the study, please respond to this email, and then I will contact you to schedule next steps.

Many thanks for your time, and support of this proposed study.

Kind regards,
Pamela Katherine Booth Rosati

Appendix E

Subject Consent Form

Researcher: Pamela Katherine Booth Rosati
Research Title: Behaviour Analysis: Catalyst for Perspective Transformation and
Perceptions of Interpersonal Effectiveness
IRB Protocol Number: 18-303

Description of the Research:
You are invited to contribute to a research study conducted by Pamela Katherine Booth
Rosati, a doctoral candidate in the field of Adult Learning and Leadership at Teacher's
College, Columbia University.

The proposed research study is a qualitative case study that will incorporate two research
methodologies: review of archival data (existing post-program feedback forms from
Catalyst Module 1 and semi-structured interviews). The purpose of this study is to
explore what is known about transformative learning training methodologies by seeking
to understand the perspectives and narratives of 12-15 global leaders who have
experienced a particular training method called Behaviour Analysis. The research will
explore how the leaders (participants) perceive effective interpersonal communication in
relation to the demands of leadership. It will also examine these leaders' experiences
with Behaviour Analysis (BA), and any impact exposure to this particular training
method had on their own development as leaders. The three main research questions will
seek to learn more about the leaders' experiences, perceptions and narratives, and to use
the insights gained to contribute to the ongoing academic discussion about transformative
learning methodologies in corporate settings. Investing in studying transformative
learning training methodologies has the potential to increase the ability to quantify a
return on investment for training dollars spent, as well as to increase the likelihood that
concepts explored and experienced will be applied post-program.

Interview Participation:
You are being asked to participate, if possible, through a 60-minute face-to-face
interview with the researcher at a time and location that provides privacy and is agreeable
to you and the researcher. In case of any scheduling or travel constraints, the researcher
can also conduct the interview via Skype or Webex, at your convenience.

With your permission, the interview will be audio recorded, which will enable the
researcher to analyze the data accurately. During the analysis phase of the dissertation,
the audio recording will be stored, password protected in a secure place that this only
accessible to the researcher. Once the analysis of the data is finalized, the researcher will
delete all audio recordings.

Risks and Benefits:
Your participation in the study is strictly voluntary. The research anticipates that there will be no greater risk or discomfort associated with participating in this study than in any other typical interview situation. What you are willing to share is entirely up to you, and you may withdraw from your participation at any point of the process without any penalty or questions asked.

There is no direct benefit from participation in this proposed research study, other than the experience of reflecting upon the Catalyst learning experience in a semi-structured way, and any insights you might gain yourself from that exercise. If you are interested, you will receive a summary of the findings once the research study has been fully completed.

Data Storage to Protect Confidentiality:
The protection of your privacy is of highest priority to the researcher, as part of this research study. Therefore, in order to ensure your confidentiality, the researcher will code your identity and eliminate any personal identifiers from the data. The researcher will also password protect the folder kept on her personal computer, in which all data from the research study will be secured. The paper copies of all data will be kept in a locked file within the researcher's personal office space.

Time Involvement:
Your participation will take approximately 90 minutes, which consists of the following activities:

Interview and follow-up
   1. Complete the Informed Consent Form (5 minutes)
   2. Complete the face-to-face interview (60-80 minutes)
   3. Complete the Demographic Questionnaire (5 minutes)

In some cases, the researcher might reach out after the interview and ask clarifying questions. This would be done by email, with the option for a brief phone call.

How the Results Will Be Used:
The researcher will use the findings in partial completion for her dissertation as part of the doctoral program in the field of Adult Learning and Leadership at Teacher's College, Columbia University. The results might also be used for publication in journals or articles or other educational purposes, under the strictest of confidentiality standards to ensure the anonymity of the study participants.

<div align="center">

AGREEMENT

</div>

NAME (IN BLOCK LETTERS): _____

SIGNATURE: _____

DATE: (DAY/MONTH/YEAR): _____

PARTICIPANT'S RIGHTS FORM

Researcher: Pamela Katherine Booth Rosati
Research Title: Behaviour Analysis: Catalyst for Perspective Transformation and
Perceptions of Interpersonal Effectiveness
IRB Protocol Number: 18-303

I have fully read and discussed the research description with the researcher. I have had
the opportunity to ask questions about the purposes and procedures regarding this study.

- My participation in research is strictly voluntary. I may refuse to participate or
  withdraw from participation at any time without jeopardy to future employment,
  access to medical care, student status or any other entitlements.

- The researcher may withdraw me from the research at her professional discretion.

- If during the course of the study, significant new information becomes available
  which may relate to my willingness to continue to participate, the researcher will
  provide this information to me.

- Any information derived from this study that personally identifies me will not be
  voluntarily released or disclosed without my separate consent, except as
  specifically required by law.

- If at any time I have questions regarding the research or my participation, I can
  contact the researcher, who will answer my questions. The researcher's phone
  number is +1 516 526 8909 and email address is pr2337@tc.columbia.edu.

- If at any time I have comments or concerns regarding the conduct of the
  researcher or questions about my rights as a research subject, I should contact
  Teacher's College, Columbia University Institutional Review Board (IRB). The
  phone number for the IRB is +1 (212) 678-4105. Or, I can choose to write to IRB
  at Teacher's College, Columbia University, 525 W. 120th Street, New York, NY,
  10027, Box 151.

- I should receive a copy of the research description and the Participant's Rights
  Form.

- Audio taping is part of this research. Only the researcher and the members of her
  research team (transcriptionist, peer coders, advisor) will see the transcription
  and/or recorded materials.

Appendix F

Participant Data Inventory

The Demographic Questionnaire will be given to the participants within the study. The information will be used within the study to understand the background of the participants, and it will be kept confidential. A pseudonym will be assigned to you by the researcher at the bottom of this form.

Item	Response
List your gender	_____Male _____Female
Identify your age bracket	_____20-29 years _____30-35 years _____36-40 years _____41-45 years _____46-50 years _____51-55 years _____56-60 years _____61+ years
List your nationality	_____
List the length of time working within the pharmaceutical industry	_____1-5 years _____6-10 years _____11-15 years _____16-20 years _____21-25 years _____26-30 years _____30+ years
List the length of time working within your current pharmaceutical company	_____1-5 years _____6-10 years _____11-15 years _____16-20 years _____21-25 years _____26-30 years _____30+ years
List your Degrees obtained and the names	_____Bachelor Degree Name: _____ _____Master Degree Name: _____ _____Doctorate Degree Name: _____
List the languages you speak fluently	Language #1 _____ Language #2 _____ Language #3 _____
List the title of your current position	_____
Identify if you indicated that BA was impactful on the Module 1 post-program feedback report	_____ Yes _____ No
Indicate the working relationship between you and the researcher during the program	____ Module 1 Small Group coach _____Project coach (Modules 2 & 3) _____Neither
The Researcher will add the confidential code name of the participant here	_____

Appendix G

Key Terms and Participant Interview Protocol

Key Terms to Share with Qualitative Research Case Study Participants

Interpersonal Effectiveness – The researcher has chosen to adopt a working definition of interpersonal effectiveness that aligns with John Thomas Kunnanatt's (2008, 2012) work on emotional intelligence and Michael Carroll's (2010) work on reflection. Kunnanatt (2012) suggested the following: "emotionally intelligent people often behave in rationally and emotionally balanced ways and produce win-win relationships and outcomes for themselves and others" (p. 54). Hallmarks of the interpersonally effective include social and emotional competence, the ability to read emotions in others and respond appropriately, emotional self-regulation, and a general sense of self-awareness (Kunnanatt, 2008, 2012). The researcher would add that interpersonally effective individuals also possess the ability to reflect, and they do so regularly and systematically. They are able to take an objective, non-personal view of their interactions with others, and apply those reflections towards behavioral change going forward (Carroll, 2010).

Behaviour Analysis – Behaviour Analysis (BA) is, according to its developer Neil Rackham (2012), a "short cycle interactive behavior measurement" (p. 2). What does this mean? Rackham defined BA thus: "the systematic collection of real-time data from the observation of dyadic or group interactions and the use of that data as a feedback mechanism to guide the future behavior of those observed" (p. 2). Essentially, BA is a relatively objective method of observational feedback and a coding mechanism for verbal behavior. Using BA, an observer watches people completing a task and categorizes everything that anyone says as a type of behavior or contribution. These data are then tallied and played back to those involved as a record of how they have used their available airtime, interpreted by those who did the talking, and then applied towards behaving differently in the future (Rosati, 2016). Behaviour Analysis is spelled in the British tradition, with a "u" between the "o" and "r" to distinguish it from other forms of behavior analysis more common to the field of psychology (Rackham, 2012).

Transformative Learning – Jack Mezirow developed a broad meta-theory (Hoggan, 2016; Mezirow, 1978, 2003) of TL in the 1970s after studying women returning to work who had taken time off to have children. Essentially, TL illustrates (cognitively and procedurally) how our brains/inner selves filter, categorize, and structure meaning—in other words, how our own individualized internal logic works. It is how we make sense of the world around us; what happens to us; where we place ourselves in an ongoing storyline; and what meanings, intentions, and representations we assign to the experiences and events we encounter (Rosati, 2016). For many scholars since Mezirow, TL has been suggested as a bridge between psychology AND education, even as it belongs to the field of Adult Learning (Erickson, 2007).

Perspective Transformation – Perspective Transformation (PT) is a subset element of Mezirow's broader theory of TL, and it also belongs to the field of Adult Learning. PT refers here to the 10-step process (explained in greater detail in Chapter II) for cognitive behavioral change that begins with a disorienting dilemma (a sudden, jarring event that cannot be denied, but also cannot be explained with our current internal logic) and ends with integrated behavioral change (Hodge, 2011; Mezirow, 1978, 2003). The researcher recognizes, acknowledges, and appreciates the various critiques of TL by scholars who have said it does not go far enough in only addressing the cognitive aspects of change (Cranton & Kasl, 2012; Hoggan, 2016; Newman, 2012). However, for the purposes of this review, it is precisely the cognitive aspects of PT that are relevant and being considered.

Adult Development – Adult development refers to the underlying meaning-making schemes, sense-making, and information-filtering processes of adults, and how the results of those processes manifest in behavior that can be visible to and/or experienced by self and others (Rosati, 2016). Adult development belongs to the field of Psychology. The researcher subscribes to and assumes a definition of adult development that is in the tradition of Piaget, Erikson, Kohlberg, and Loevinger (Bee & Bjorklund, 2000, pp. 33-41), and specifically consists of successive stages to adult development. Further, these stages increase in complexity, with each successive one representing an increased level of human growth and maturation, a more nuanced understanding of the impact of one's behavior on other people, and an expanded capacity to see oneself as separate from one's circumstances (p. 41).

Adult Learning – Adult learning is defined according to the characteristics mapped out in Malcolm Knowles' work with Andragogy, as being self-directed/ autonomous, based upon life experiences, and built upon existing knowledge; it is goal-oriented, relevant, practical, and collaborative. It concerns itself with the way in which adults attain new knowledge and skills (Knowles, Swanson & Holton, 2011). Adult learning is based in the field of Education. The researcher assumes an underlying definition of adult learning consistent with Knowles' definition wherever references to adult learning are made.

Research and Interview Protocol

Research Questions	Interview Protocol
RQ1: How and in what ways are mid-level leaders perceiving the interplay between thinking about how to communicate effectively and behaving in an interpersonally effective way? (perception)	1.1 Tell me about yourself/background, and what elements of your background might have enabled your professional progression. 1.2 How does interpersonal effectiveness factor into the demands of leadership, in your experience? 1.3 If we go back to Module 1, what is/was the story you tell/told yourself about you as a communicator? 1.4 What evidence have/had you gotten back from the world that supports or refutes that? How did you know? 1.5 What sense do you make of the discrepancies between the story and the evidence you got back?
RQ2: How are mid-level leaders applying BA post-program? (application)	2.1. Describe your experience(s) with Behaviour Analysis? 2.2. To what do you attribute your experience(s) with it? 2.3. What did you hear or see in your BA data that called some of that story (the one you told yourself about you as a communicator) into question? 2.4 How did you apply BA after Module 1? 2.5 What connections, if any, do you see between BA, building communication skills, and interpersonal effectiveness?
RQ3: What are the reported perceptions of mid-level leaders about a relationship between BA and perspective transformation? (meaning)	3.1. What are your perceptions of BA now? 3.2. What did you do post-Module 1 to bring those two (the story and the data) into alignment? 3.3. What story do you tell yourself now about you as a communicator? As a leader? 3.4. If the you of today, knowing what you now know, could go back in time and talk to the you who was about to embark on the development program, Module 1, what would you tell you? Final Question: What else do you think would be helpful for the researcher to know about your experiences, perceptions, or perspectives of this subject?

Appendix H

Final Coding Scheme and Definitions

TIME CLUSTER	CODES	INDICATORS	DEFINITIONS OF INDICATORS
Prior to Module 1	Background	Years of experience	How long participant has been working and/or working within the industry.
		Science/Business background	What formal training and/or educational background does participant have.
		Critical incidents, people, qualities that enabled them to succeed	Descriptions of professional progression influences on participant; what helped them get where they are in their view?
	Leadership Effectiveness	How does interpersonal skill factor into leadership (includes examples)	Role that interpersonal skill (emotional intelligence, empathy and ability to self-regulate) plays in leadership in participant's experiences.
	Story about self as communicator	Assessment of self as communicator	What is participant's estimation of own skills, confidence, abilities as a communicator.
		Criteria for assessment of self as communicator	Basis for that assessment; How does participant "know" story told to self is accurate.
	Evidence gotten back about story	Feedback from other people	What feedback others have given participant about his/her communication skills.
		360s or other tools/inputs	What other sources of data (evidence) have either corroborated or refuted story told to self.
During Module 1	Reaction to BA	Reaction to BA as an experience: positive, neutral, negative	How participant described his/her BA experience; what was it like to go through it; thoughts, observations, feelings, experiences described.
		Trusting the data/BA process	Accepting the data received and accompanying feedback as accurate or not; thought process and rationale of participant that resulted in either accepting the data or rejecting it.
	What BA told them	What did they see in their own data	What was surprising, validating, concerning, curious in participant's own data – what called their story into question.
		Their view on other people during BA or during data review	What did participants see or realize about others in the group as a result of BA experience.
		Their view on themselves in relation to other people (including what others helped them to realize about themselves)	What did participants see about themselves in relation to others, or how did others help them to see something about themselves.
	How they have applied BA	What have they done differently?	What aspects of BA have been applied post-Module 1; What have participants done differently.

		What was that like?	Examples, reactions, reflections, descriptions about what it has been like for them in applying BA since Mod 1.
	Emotions	Emotions noticed during Module 1 or flow of story	Emotions, descriptions of emotional state, changes in emotion of participant either noticed by participant or others.
Post-Module 1	Post-BA story about self as communicator	What stuck with them?	Highlights that have stayed with them.
		What story do they tell themselves now?	Changes in story about self as a communicator; What is the new story?
	Current view on BA	How do they see the experience now, post-Module 1 or post-Catalyst?	Current thoughts about BA now; what was helpful about it, what did it do, how has participant contextualized it and/or made meaning about it.
	Hindsight advice	What advice would they give themselves now looking back?	If participant could go back in time and speak with self before starting Module 1, what would they tell themselves.
	Insights into what changed	What do they think has changed for them? (participant's own view of self)	Examples of meaning making about what has changed for participant.
		What key takeaways or lessons learned?	What has been learned, shared, taught to others, applied, enacted or otherwise integrated into participant as a result of Module 1.

Appendix I

Cross-Interview Analysis of Conceptual Framework Elements

Interviewee and Time Since Mod 1	Pre-Module 1 Story (Intentions)	BA as Disorienting Dilemma (Match / Mismatch)	How Applied BA (Action Strategies)	Outcomes	Single-Loop Learning	Double-Loop Learning	Post-Module 1 Story (What Changed)
Cohorts 2 and 3							
Steven C21 (3 years)	"Thought I was better than I was"	Good experience; used it indirectly, got C21 thinking about things differently.	Preparing for conversations ahead of time. Being more mindful. Connecting empathetically with other person.	More self-reflection; separates task and relationship.	Using more of the BA tools.	Able to separate different types of communication and what they are for; uses communication differently now.	More in tune with others. Tailoring communication. More empathetic. "Servant communication."
Debbie C22 (3 years)	"I was the questioner." Used the Socratic method to get audience to answer.	Uncomfortable at first. Took a while to internalize. But appreciated objective evidence.	Tries not to rush in immediately or try to solve the problem. Pauses and asks why. Accesses broader range of behaviors.	How to move the flow of the communication by using full range of BA behaviors.	Using broader range of BA behaviors.	Able to pause and ask why; is more curious about views of others; questions come from curiosity now.	"Being aware of what people are saying vs. what I'm hoping they might say." Listening for cues when people are frustrated. "Paying attention to the silence as well as who is filling the air."
Kami C31 (2 years)	"Good. Able to change message to suit audience." Clear, technical communicator.	"I didn't pay attention during the process, but the analysis afterwards did bring out some things that sounded very right, very correct."	Pauses and listens more. Builds on others' contributions.	Learned how not to take things personally; has developed broader strategies for communicating; redefined good communication.	Changes messages based on new knowledge; uses BA behavior "building" rather than disagreeing with ideas she does not support.	Created a different definition of communication. And learned not to personalize others' statements.	Definition of good communication has changed. "Communication of the idea and the material is one step. Communicating my personality and creating the right perception is a second layer."

AnneMarie C32 (2 years)	"Great". Good listener, relationship builder.	Felt frustrated and had a bad feeling in pit of stomach. "It was brutal. Had to think long and hard not to discount it."	Thinks about building on others' contributions. Thinks about "how is the best way to engage in this dialogue."	Learned how to better participate in conversations and not jump in and out.	Learned how to use BA tools to enter conversations.	Realized C32 is part of the conversation, not a spectator; both C32 and other play a role in conversation.	Engaging people differently. Asking more questions. Following up on the communication. "Helping all of us get there together, and that includes me."
Cohort 4							
Micah C41 (1 year)	"Greatest strength technical communication."Able to make the complex simple.	Felt it was interesting. Learned there were triggers for him about other people's behavior.	Removes distractions in meetings and focuses more. Aware of own triggers and is less reactive.	More self-awareness and impact on others through technical and other types of communication.	More self-awareness.	Invests more in the relationship with the other party, not just getting his point across.	How you relate to people is as important as the task being accomplished.
Harold C42 (1 year)	"Good." Able to gauge when to hang back and when to engage in conversations.	"It was really very powerful and enlightening….I went in with one perception of how I actually behaved and interacted, and the evidence showed something different."	Interrupts conversations less. Slows down and pauses, and checks for understanding and summarizes others.	Has more self-awareness, has downgraded importance of own perception of self.	More self-awareness, uses more of the BA tools.	Has gained confidence and versatility with communication; takes input along with own self-view.	"Actually, at the moment, I'm a bit bullish on, on myself." Is in a new role that requires C42 to be out in front of large groups, doing town halls, working with different people, and which has provided opportunity to practice what he has learned.
Aamir C43 (15 months)	Getting stronger by the year. Becoming more comfortable in front of groups.	"It was eye-opening"; showed C43 the nuances of reading a room, how to empower others; things he knows can do already, but can do more often and more deliberately; "I now have the ability to get us where we need to go."	More self-awareness. Regular self-reflection practice. Trying for more building; getting more buy-in with others.	Validation of his approach.	Validation and deeper self-reflections.	Recognized communication involves more than just words, it is relationship, self-awareness, reflection, and some emotional component or connection with other person in the dialogue.	"I think I'm still a strong communicator and that I'm still growing, and that's it."

Joseph C44 (15 months)	"Good." Thought he matched communication to need at hand.	"It was completely different, the image, the sense of myself from other people's point of view... and so I loved that moment..." He fully checked into the program after BA.	Has begun some deeper reflection work. "It's more than a simple training, what happened to my mind."	Communicates differently; more conscious of words chosen, that they match what trying to convey; more in control of the way he talks.	Self awareness and use of new BA tools learned.	Began to reflect on behaviors more broadly and question the why behind the communication rather than just use new tools.	"So I feel that I avoid the risks to be what or who I don't want to be."
Cohort 5							
Linda C51 (6 weeks)	"Good." Collaborating, bringing others on board with her ideas.	"So, all of these things challenge you. I felt that I often requested people's involvement and participation and not led everything myself, and that wasn't the reality. I did, you know, it was very different."	Greater self awareness. Using greater array of tools and trying to pull more than just push. More aware of role she is playing in a group.	"You get to where you want to be in a much kinder, nicer way, and everybody is - it's less stressful for everybody."	Behaving differently based on feedback; trying to implement BA tools.	Greater self-awareness, but no distinctive evidence of double-loop learning as yet.	Has an additional skillset to attend to and to help her excel at communicating.
Matthew C52 (6 weeks)	"I try to give the best account of myself." Thoughtful, precise, clear communicator; economical with words.	Was uncomfortable with being in a group that didn't know him well. He shut down a bit. Was uncomfortable ("embarrassed") being at bottom of the list in terms of scoring, but was not surprised.	Learning to get his voice heard earlier. But still tends to take a back seat in new situations.	Importance of first impressions. and increase in self-awareness.	More self-awareness; using new skills.	N/A	Makes a conscious effort to communicate earlier in interactions to relieve self-pressure but still wishes to "please all the people most of the time."
Jonathan C53 (6 weeks)	"Okay. I can be a bit long-winded," but gets point across.	"Oh it was really good. I certainly allowed myself to relax."	Drawing people out more. Stepping back, testing understanding. Pulling a bit more than pushing.	More self-awareness and self-assessment of how he performed and what can do differently.	More self-awareness and reflection on doing something different next time.	N/A	Doesn't think consciously has changed much but is still building a skill.

Monique C54 (6 weeks)	Strong. Good presenter, asks questions of audience	Felt it was accurate. Validating. Great experience. It was great.	"I try to listen more. I try to shut up more." Building buy-in with others.	Listens more. Reflects before acting.	Tries to listen more. Reflects and hesitates before cutting people off.	N/A	Needs to continue working not cutting people off.
Lisa C55 (3 months)	"Good on paper, challenged real time."	"I mean, it was great because I learned some things about myself that was very surprising. Like I thought I was a pull and it turns out I'm a push, so that was very insightful."	Building relationships. Uses BA behavior "testing understanding" more.	Still questioning what happened, and if results are real. Questioning the introvert paradigm.	More self-awareness. Still reflecting on experience.	N/A	Increased awareness of relationships. "These skills of communication are ones you have to do to be good at your job and people are depending on you to do it well."
Cary C56 (3 months)	"Effective." Better in a group than presenting in public.	"Yeah, it was interesting….I think we all inherently found ourselves deliberately using some of the method, but even with that, I think you still default to your own behavior."	Asking more questions, especially in one-on-one settings.	Needs to continue to refer to new tools while trying to think differently.	Using new tools.	Is curious about using BA to build rapport.	"Right now,I have no idea." Thinks just needs to remember to think of new skills before going into leadership communication situations.
Renee C57 (3 months)	"Good." Talks a lot, likes stories, has a lot of ideas.	"It was a little bit unexpected. I had never been through it before, so it was a new thing…Yeah. I found it really good, actually, because first I was mortified…I was the one with the most behaviors."	Felt more empowered to use range of tools. Also gives more space for people to talk as well.	Felt validated. Asks more questions.	Using new tools. Developed greater self-awareness.	N/A	Feels can take more initiative in career.
Sharon C58 (3 months)	"I have a lot to do in this area."	Did not like it. Was out of comfort zone. Did not like being observed. Shut down. Told boss on Monday following Module 1 she felt "destroyed" by this experience in BA.	Still putting self together again.	Reflection on how she is seen by others and her impact.	Developed greater self-awareness. Shifts behaviors based on new knowledge, like a skill build.	N/A	"Still building the story about myself after that, so I don't have such a story yet."