Are there 12 steps to better management?
How the spiritual programme of Alcoholics Anonymous may influence management
performance evaluated through general management competencies.

A THESIS

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ABSTRACT

The 12 Step programme of Alcoholics Anonymous (AA, 2001) is a set of principles that provides a way of life for those that follow it and is based upon a 'spiritual awakening' (AA, 2001 pp59-60). The thesis is the first to examine how managers who follow this spiritual programme apply it in their organisational role through general management competencies (New, 1996). This mixed method, phenomenology-led research is placed within a social constructionist setting. A comprehensive and wide ranging literature review was conducted. The data was generated using Interpretative Phenomenological Analysis (Smith, 1996), the Integrated Spiritual Intelligence Scale (Amram and Dyer, 2007) and Workplace Observation (Lucia and Lepsinger, 1999). The findings explain psychological antecedents, mechanisms and pathways that inform the sample of AA managers in their work role. The discussion identifies relationships with existing efficacious management styles and concepts. Areas of heuristic value for future research are identified. These areas include exploring the 12 Steps specifically as antecedents to emotional intelligence (Payne, 1985) and strengthening the statistical validity of instruments to measure humility and honesty in context of spirituality. Limitations of this research are also identified and discussed and important reservations about the concept and constructs of spiritual intelligence (Zohar, 1997) are raised. In conclusion, the 12 Step spiritual programme was found to be the primary influence in how the sample conduct their organisational management function. The research calls for human resource processes to re-consider how those who have adopted successful recovery techniques to overcome personal crises such as dependency issues are viewed and argues that they should be more highly valued by organisations as such experiences help develop management competencies.

Key Words: Alcoholics Anonymous, management competencies, spiritual intelligence, business psychology, humble management, spirituality at work.

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I declare that the work in this thesis was carried out in accordance with the regulations of the University of Gloucestershire and is original except where indicated by specific reference in the text. No part of the thesis has been submitted as part of any other academic award. The thesis has not been presented to any other education institution in the United Kingdom or overseas. Any views expressed in the thesis are those of the author and in no way represent those of the University.

Signed……………………………………………..Date……………………………….

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Chapter 1

Introduction

1.1.   Introduction

My name is Bill W. (Petrie, 1989) is not the greatest film ever made - it won no awards in any case. In the film, James Woods plays Bill Wilson, the co-founder of Alcoholics Anonymous. The other co-founder, Bob Smith, is played by James Garner. In the opening scene of the film, Wilson is visiting Smith on his deathbed and the dying man offers his dearest friend some advice that has come to mind in the writing of this Ph.D. thesis: "keep it simple, none of that Jung stuff, one day at a time, put one foot in front of the other". This research project has broken each of these principles: it has not been simple owing to the breadth of the literature review spanning addiction studies, spirituality, psychology and management competencies; the text refers to Jung several times owing to his involvement in the development of the AA programme; taking the process one day at a time has been challenged by the difficulty of writing coherently over a period of several years and, finally, placing one foot in front of the other was disrupted by some of the data findings that pushed any *a priori* theories off balance.

1.1.1.   Overview of research. In trying to explore a marriage of the constructs of the 12 Step programme of Alcoholics Anonymous (AA, 2001 – see Table 1.1.) and New's (1996) general management competencies (GMCs - see Table 1.2.) framework, the process has introduced myriad components each of which cries out for explanation, hypothesis and primacy. As a result, the writing has proved challenging: "putting smoke in a box" is a phrase used on page 348 referring to a specific academic context; however, the phrase also summarises the academic difficulty of qualification and quantification within this doctoral process.

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The chosen title is meant to provide a simple provocation: "are there 12 Steps to better management?" Identifying if and how the spiritual programme of Alcoholics Anonymous may influence management performance is the academic destination. These apparently simple constructs conceal inherent complexities, not least of all because a review of the literature on the relationship between 12 Step facilitation (Ferri, Amato and Davoli, 2006) and the work of managers reveals a paucity of research to date. This thesis is the first to follow the spiritual programme into the workplace and view it through the lens of the organisational manager. Going first means that there is no pro forma. It brings the opportunity, however, to contribute to the literature and explore creative academic approaches.

Table 1.1   The 12 Steps of Alcoholics Anonymous (AA, 2001 pp59-60)

Step   Definition

1.	*We admitted we were powerless over alcohol — that our lives had become unmanageable.*
2.	*Came to believe that a Power greater than ourselves could restore us to sanity.*
3.	*Made a decision to turn our will and our lives over to the care of God as we understood Him.*
4.	*Made a searching and fearless moral inventory of ourselves.*
5.	*Admitted to God, to ourselves and to another human being the exact nature of our wrongs.*
6.	*Were entirely ready to have God remove all these defects of character.*
7.	*Humbly asked Him to remove our shortcomings.*
8.	*Made a list of all persons we had harmed and became willing to make amends to them all.*
9.	*Made direct amends to such people wherever possible, except when to do so would injure them or others.*
10.	*Continued to take personal inventory and when we were wrong promptly admitted it.*
11.	*Sought through prayer and meditation to improve our conscious contact with God, as we understood Him, praying only for knowledge of His will for us and the power to carry that out.*
12.	*Having had a spiritual awakening as the result of these Steps, we tried to carry this message to alcoholics and to practice these principles in all our affairs.*

Table 1.2	*New's (1996) General management competencies*
GMC	Definition
(1) Action management	*encompassing deciding on action and standards; monitoring progress; and the taking of corrective action in relation to results.*
(2) Change management	*willingness to take responsibility and accept change.*
(3) Co-ordination	*the integration of actions and people.*
(4) Creativity	*the ability to visualize and effect changes with appropriate insight and originality.*
(5) Leadership	*the effective influence on other people in relation to a purpose or goal.*
(6) Motivation	*the building of commitment, and the awareness and ability to stimulate and control others successfully.*
(7) Organisation	*determining resources, and how to organize and apply them in the light of the perception and evaluation of alternatives.*
(8) Planning	*analysing and deciding relevant goals and potentials as well as the sequence of sustained action necessary.*

1.1.2. Context of research. Alcoholics Anonymous is "a fellowship of men and women who come together to help each other to recover from alcoholism" (AA, 2013). The 12 Step programme of AA is a set of principles that provide a way of life for those that follow it and is based upon a "spiritual awakening" (AA, 2001 pp567-9). The twelfth step of the progamme states that adherents "should follow these principals in all our affairs" (AA, 2001 p. 60) and AA states explicitly that the programme applies to the workplace (AA, 1953 pp115-6).

Alcohol is associated traditionally with serious workplace related problems – the Institute of Alcohol Studies (2008 pp3-7) cited that chronic drinkers are at risk of higher unemployment, with up to 20,000,000 working days being lost annually due to alcohol-related reduced employment and at least 58,000 potential working years being lost annually due to premature

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alcohol related deaths; this thesis offers another view of the alcoholic in recovery who not only functions well at work but might perform better in a management role than others owing to AA's 12 Steps. The conclusion of this research suggests that the 12 Step programme is not just a design for living (AA, 2001 p. 24) but also a design for managing.

Wilson had some experience of management initially in the US Army; at the end of World War I, he became an officer and, during the biopic (Petrie, 1989), he says of leading others, "I loved it". It is doubtful, however, that Smith was a good manager prior to his recovery from alcoholism; in the early days of his army career he showed enough promise to earn promotion, but any leadership potential declined as his illness increased. In civilian life, whilst he was a top performer in the recruitment tests for Thomas Edison (Cheever, 2005) he was unable to hold down employment. In the film based on his autobiographic writings, he is portrayed as somebody who suffered from narcissism, machiavellianism, megalomania and immature ambition. During a particularly powerful monologue, Wilson attributes the source of such conditions to being "full of fear all my life" and "scared of everything" (Petrie, 1989). Such fear and efficacious management do not mix.

The literature on managerial competency frameworks frequently comments on overlap between leadership, management and supervision and suggests that the concept of management is common to each of these strata (Boyatzis, 2008; Burgoyne et al., 2004; Campion, Fink, Ruggeberg, Carr, Phillips and Odman, 2011; Robertson, 2006): managerial competencies are required at all levels of leadership and leadership –as its own individual competency - is required at all levels of management. The semantics of this pluralism are explored in the next chapter. Irrespective, the importance of effective managers is undeniable for organisational success (Barber, Hayday and Bevan, 1999; Cockerill, 1993; Rucci, Kirm and Quinn, 1998). In

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consideration of academic research into management, the business psychologist Robert Hogan (2012 p.106) raises a stark generalisation about research into the importance of management by observing that irrespective of where the study is done, when it was done and what sort of managers are studied: "the results are always the same: about 75% of the workforces surveyed will say that the worst single aspect of their job, the most stressful aspect of their job, is their immediate supervisor". This research asks whether the spiritually-led performance of the AA participant manager can ameliorate Hogan's damning finding by influencing the way they enact general management competencies. Gockel (2004 p. 4) posited that "examining the potential lessons that can be learned from applying spiritual principles to workplace practice has become an increasingly popular trend in business management circles over the last 10 years". This trend may be increasingly relevant owing to the global financial crises of 2007 (Shiller, 2008) as more people are searching for spiritual meaning in context of the work experience (BBC News, 2009; The Economist, 2011).

1.1.3. Research parameters. The aim of this research is to examine how managers who follow the spiritual 12 Step programme of AA apply it in their organisational role. To this end, the thesis sets out to establish the validity, conditions and practical implications of the 12 Steps (AA, 2001) on general managerial competencies (New, 1996). The specific objectives are to: examine the fundamental concepts of AA's (2001) 12 Steps and management competencies; explore the concept and definitions of spiritual intelligence (SI) (Zohar, 1997) at work and associated competencies; ascertain and establish any commonality in the definitions of spirituality in context of both the spiritual 12 Step programme of AA and the concept of SI and, finally, the objectives try to establish whether the 12 Step programme of AA applied at work is related to other concepts of management found in the field of business psychology – the overarching academic field of this thesis. The Association of Business Psychologists defines this

field as 'the use of psychology to achieve effective and sustainable performance for organisations and people at work' (ABP, 2013).

In order to unravel factors surrounding these driving objectives, the breadth of the literature review has necessarily been extensive. This literature review covers:

- the origin of, and influences on, the 12 steps

- the efficacy of the 12 steps

- the concept of SI

- spirituality at work including spiritual leadership

- management competencies.

In turn the literature has revealed outstanding research questions that have guided the research process: specifically, the interrogation has sought to identify the nature of the relationships between the 12 Steps of AA and general management competencies (New, 1996); qualify the relationship between the 12 Steps of AA and the concept of SI and how the 12 Steps can be applied usefully in the management role. To this end, the epistemology, ontology and methodology have created a qualitatively-led, mixed method framework that honours the research. The ensuing methods include:

- Interpretative Phenomenological Analysis (IPA) (Smith, 1996) to allow the participants to explain the relationship between the 12 Steps and their managerial function

- The Integrated Spiritual Intelligence Scale (ISIS) (Amram and Dryer, 2008) to contrast the sample of AA participant managers with 4 other existing relevant norms

- Workplace Observation (Lucia and Lepsinger, 1999) to consolidate the sample's approach to their daily managerial role.

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In order to explore the meaning of the different constructs considered in these questions and subsequent methodology, Interpretative Phenomenological Analysis (Smith, 1996) has been used as the main research method and subsequent language for discussion. Whenever possible, the research sample's idiosyncratic words are used for 2 reasons – firstly, to help generate new knowledge about spiritual issues that psychology currently struggles to do (Ecklund and Scheitle, 2007) and, secondly, if academia is to meet the Research Excellence Framework's (2013) demand for more accessible texts and wider application of academic research to society at large from 2014, idiographic human stories need to be used more to transcend the limitations of access generated by academic language.

To accommodate this academic position and in trying to locate a clear epistemological grounding for this research, the 12 Step programme has philosophical primacy and has been referred to in order to inform academic decisions: it is posited in the thesis that AA is a social construction and that Smith himself was a gatherer of ideas – a 'bricoleur' (Levi-Strauss, 1966). To this end, the self-defined terms of 'alcoholic' and 'alcoholism' are used in this dissertation as this terminology is interwoven with the construct of the 12 Step programme. However, it is noted that academic language relating to alcoholism is inconsistent owing to the variety of fields studying the subject: at times, alcohol, addiction and drug dependency vocabulary may be used in different academic context and, as a rule, in order to be clear and maintain integrity, the specific term used in each paragraph of this thesis will respect the source of any referencing in that paragraph or section (for example, if the term 'addiction' is used in the specific piece of literature being referred to from the Journal of Addiction Medicine, then the term 'addiction' may be used in context of that reference). Within this text, the term 'AA participant managers' refers to the research sample of 25 organisational managers who follow the 12 Steps. In working with this sample of managers, the use of pseudonyms is deployed to protect anonymity and yet

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allow exploration. In addition to Table 1.1. detailing the 12 Steps (AA, 2001 p. 56) and Table 1.2: New's (1996) general management competencies framework, the reader should note that from this point forward the abbreviations of AA (Alcoholics Anonymous) and GMCs (New's 1996 general management competencies) are used.

1.1.4. The findings. The findings of the research challenged some of the pre-thesis assumptions. Specifically, the sample performed differently in the spiritual intelligence test than was expected in comparison to existing norms. Meanwhile, the IPA provided strong testament to the primacy of spirituality in the organisational lives of the sample and identified the phenomena effecting their spirituality at work and the inherent psychological factors involved. Whilst corroborating the findings of the IPA, the Workplace Observations revealed also limitations of the 12 Step programme at work. The research also raises concerns about spiritual intelligence constructs as they stand - developed by the likes of King (2008) , Zohar and Marshall (2000) and Amran and Dryer (2008); the use of the latters' ISIS research method was found to have important limitations as a tool for the stated objectives. Even so, spirituality is demonstrably real to all of the AA participant managers who explain the positive impact of the programme on their management function. The AA programme promotes conscientious management and facilitates the GMCs as stated in the conclusion chapter.

1.1.5. Assumptions and limitations of the thesis. Before commencing the academic journey, it is important to state any pre-thesis assumptions associated with the sample, relevant academic fields, inherent concepts and the data collected for research. These assumptions are:

- the 12 step spiritual programme of AA brings about personal change in values, attitudes and behaviour for those that follow the Steps
- these changes can be qualified and, to an extent, measured by identifying key phenomena

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- GMC frameworks describe effectively key management attributes and can be generalised to all management roles

- the research methods used in this thesis using self reported measures are valid and reliable

- qualitative measures and complementary quantitative research in an overarching social constructionist epistemology will explore effectively the identified research questions

- the management positions held by the sample of AA participant managers are representative of management roles in organisations.

Accompanying these *a priori* assumptions, a range of limitations have been identified and considered in both the methodology and the findings. These include possible academic restrictions caused the nature of the sample such as anonymity at work, epistemological and ontological caveats relating to qualitative and quantitative perspectives, issues emerging from the methods deployed such as the use of self reported measures and the reflexive limitations of the researcher (such as their interpretation of phenomenological data). As with any competent doctoral process, it is hoped that the support of appropriate supervision has both helped to reveal these limitations and accommodate them appropriately.

1.1.6. The structure of the thesis. This thesis follows established doctoral protocols in its structure. Following this introduction of the academic playing field, the following chapter reviews relevant literature and research objectives and questions are then identified. Chapter 3 establishes choices regarding epistemology and ontology; these philosophies are used to launch the research design of this mixed method qualitatively-led study. The phenomenological primacy is established before stating the methods used for data generation. This data is then identified in chapter 4 stating the findings of the IPA, the ISIS results and goes on to describe the subsequent Workplace Observation outcomes. The definitions of the phenomena used for the

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ensuing academic discussion are explained and the findings also confirm the application of
New's (1996) GMC framework in context of the sample's idiosyncratic organisational roles.

From the findings stated in chapter 4, a comprehensive discussion follows a linear
narrative; the discussion chapter specifies the psychological mechanisms and outcomes that are
revealed in the interplay between the 12 Steps and the competencies in question. In turn, these
psychological factors are then considered in context of relevant business psychology concepts
and theories relating to management performance and other literature reviewed in earlier
chapters. Comment on the concept of spiritual intelligence is also made. Chapter 6 concludes
the thesis by discussing the results of the research in terms of its aims and objectives. This
section goes on to summarise the main findings and conclusions to demonstrate academic
contribution made through this research. Areas of heuristic value that may inform future
research are also stipulated.

At the outset, it is important to clarify that this research is neither a critical inquiry nor an
empirical positivist experiment into the efficacy of AA. Halfway through the film about Bill
Wilson's life sees a scene depicting his spiritual awakening (Petrie, 1989). The credibility of
such an experience and its relation to psychology has provided fuel for many academic opinions
explored in this thesis. Wilson explains his spiritual experience to William Silkworth, his
psychiatrist who went on to contribute significantly to AA's 12 Step programme (AA, 2001 p.
xxv - xxxii). However, in the scene, Silkworth responds to Wilson, "I am a man of science and
can't pretend to understand such stuff" – notably, he does not question the authenticity nor
efficacy of Wilson's spiritual experience. It is hoped that the reader will accommodate AA's
caution about learning reflecting Silkworth's attitude: nothing prevents learning more than
"contempt prior to investigation" (AA, 2001, p. 568). This thesis is offered in the same spirit.

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1.1.7. Reflexive statement. Finally, to support the call for reflexivity in good academic practice (Salmon, 2003; Fade, 2004), the author wishes to disclose a familial history of alcoholism, previous personal problems relating to dependency issues and professional experience as a business psychologist working in the field of leadership and management performance. These experiences have helped to motivate this research and inform its philosophical position - the reader is entitled to consider this in any assessment that they may make of this work.

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Chapter 2

Literature review

2.1 . Origins of AA's 12 Step programme

This literature review explores historical, hermeneutical and scientific research around the influences on AA and its 12 Step programme, the psychological concept of spiritual intelligence (SI) and the organisational competencies associated with the role of the manager. Each of these academic fields utilises unique definitions and systemic approaches and, where accountable, the language of each field used in research is adhered to.

In order to justify epistemological choices made in the next chapter, it is essential to lay the foundations of social constructionism by establishing the origin of AA's 12 Steps in the story of Bill Wilson. This foundation can be traced through the story of this co-founder (Kurtz, 1991) as explored in the biographies of Thomsen (1975), Hartigan (2000) and Cheever (2005) and in AA's own official publications, such as: Alcoholics Anonymous (2001), AA Comes of Age (1957), The Twelve Steps and The Twelve Traditions (1953) and Pass It On (1984). All of these AA publications were penned or edited by Wilson (Kurtz, 1991). Other associated literature, such as that published by the Hazleden Foundation, is also used to support this review when appropriate.

2.1.1   Bill Wilson's story (November 26, 1895 – January 24, 1971)**.** In 1934, Bill Wilson was visited by his friend Ebby, a known alcoholic who had suddenly stopped drinking; during the visit, the sober alcoholic declared to Wilson that the reason for his sobriety was "well I don't need it anymore: I've got religion" (Cheever, 2005 p. 264). Wilson's response was to question his friend's sanity and he recalled that "I was aghast" (AA, 1957 pp 58-59).

Earlier in 1931, another alcoholic, Rowland, who had attempted virtually every other cure available, went to Switzerland to visit Carl Jung (AA, 2001). Jung worked with Rowland for

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nearly a year to help him recover from his alcoholism and the patient subsequently returned to America. However, he relapsed into alcoholism and returned to the care of Jung. At this stage, Jung concluded 2 points: firstly, that the alcoholic was hopeless in terms of psychiatric treatment and, secondly, the acknowledgement that the only hope for the alcoholic would be "a spiritual or religious experience - in short a genuine conversion" (Jung, 1961). Jung's troubled patient went on to find sobriety as a result of such a spiritual experience (Kurtz, 1991 p. 9). Rowland found this by joining The Oxford Group, an evangelical movement that "placed a large emphasis upon the principles of self survey, confession, restitution, and the giving of oneself in service to others" (Wilson, 1961).

The 2 recovering alcoholics mentioned so far, Rowland and Ebby, were friends and the former introduced the latter to The Oxford Group. Ebby found friendship and fellowship there and, on the strength of his new faith and sobriety, he went to visit his old school friend and chronic alcoholic Bill Wilson. This is where the Wilson story of creating AA began (Kurtz, 1991 p.11).

Wilson was not brought up a religious boy (Thomsen, 1975 pp12-15, 340); the word religion apparently troubled Wilson deeply (Kurtz, 1991). Thomsen (1975) and Cheever (2005) both explored the origins of Wilson's own deep emotional and mental unrest and suggest this may have been connected to his subsequent alcoholism. The roots of Wilson's unrest can be linked with the abandonment of Wilson and his mother by his father; Wilson apparently found release from his turbulent emotional states through alcohol, which relieved Wilson from the uncomfortable feeling that "all his life he had been living in chains" (Thomsen, 1975 pp106, 162-3). It is this condition that Wilson believes fuelled his alcoholism.

Wilson's own treatment for alcoholism came are under Dr. William Duncan Silkworth

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(1873-1951), a neuropsychiatrist (AA, 1957 p. 52; AA 2001 p. xvi). Silkworth was progressive

in that he genuinely acknowledged alcoholism as an illness, not a criminal act; like Jung before,

Silkworth also found the treatment of alcoholism hopeless (Cheever, 2005 p. 131).

When Ebby made that key visit to Wilson, he was not evangelical about his newfound faith.

Wilson recalled that Ebby quietly explained some things about The Oxford Group - the fact that

it was non denominational, the importance of taking stock of one's behaviour, confessing one's

sins and the willingness to make restitution. Most importantly with regard to the subsequent 12

Steps, Ebby explained that one could choose one's own concept of God - Ebby's concept of

which was revealed in his use the terms "another power" and a "Higher Power" (AA, 2001 p.

12). Ebby described a new peace of mind and serenity resulting from this spiritual position.

Ultimately, Wilson was challenged by Ebby to address his alcoholism by attending a

forthcoming Oxford Group meeting at Calvary Church Bowery Mission (Kurtz, 1991 p.18).

Wilson agreed, not out of any religious epiphany, but out of his enquiring mind (Thomsen, 1975

p. 211). Wilson attended The Oxford Group meeting. Wilson had been drinking and concluded

that the people at the meeting were similar to him in the way that they drank and that they

"weren't bad fellows" (Thomsen,1975 p. 215). However, the most remarkable thing was that

Wilson, the next day at home, realised that he had not wanted a drink on his way back from the

meeting. On this realisation, he conceived a plan to save hopeless alcoholics and asked his friend

Ebby to confirm his formula – "realise you are licked, admit it, and get willing to turn your life

over to the care of God" (Kurtz, 1991 p. 19). This demand for surrender is expressed clearly in

Step 1 of AA's programme (See Table 1.1. on page 2 of this thesis).

After a subsequent relapse, however, Wilson was again admitted to the care of Silkworth

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and, in desperation, Wilson sought at a profound level the help of 'a God of his understanding' and he experienced an immediate spiritual event. It is at this stage that Wilson's compulsion to drink was removed and he began to experience "happiness, peace and usefulness" (AA, 2001 p. 8).

2.1.2   **William James - the father of modern psychology.**

2.1.2   **William James - the father of modern psychology.** Ebby also gave Wilson a copy of the William James' book, 'The Varieties of Religious Experiences' (1902). Wilson later claimed that it is from this book that he understood what is meant by spiritual experiences and the fact that they could transform people. The philosopher and psychologist William James (1902) observed that most people who had experienced spiritual experiences had done so from a common place of pain, suffering, calamity, hopelessness and deflation at depth – what became to be known in AA as 'hitting rock bottom'. He also observed that those experiencing these matters did so from a different understanding of the word God with all its connotations.

According to Kurtz, (1991 p. 24), Wilson also found in James a pluralist who could tolerate diversity in defining the term God, combining philosophy and religion with the social sciences and the field of medicine. This pragmatic pluralism became a foundation of AA, which states that it does not have a monopoly on God (AA, 2001 p. 95) nor the treatment of the alcoholic (AA, 1957 p. 188-192; AA, 2001 p. xxi).

James had an intellectual fascination with religion whilst remaining personally agnostic (Collicutt, 2011). He raised epistemological and ontological questions which still have a contemporary relevance as shall be explored in this thesis:

- what is the relationship between institutionalised religion and personal spirituality?
- what is the difference between functional religion and dysfunctional religion?
- how can empirical psychology avoid philosophical reductionism?

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- is religion an area of human behaviour just like any other that can be studied with the usual scientific methods and theories or does it require a special approach?

- is religion universal or local or both?

James' text (1902) helped Wilson identify common themes running through his associates and himself who were starting to succeed in recovering from alcoholism. Notably, James observed the spiritual experiences of those facing deflation at depth; this observation was also supported by Jung 's theory (Cheever, 2005 p. 243) about hopeless patients needing a spiritual experience or conversion to help overcome their conditions. The Oxford Group's religious protocols were congruent with these beliefs.

Wilson also identified the power of peer-to-peer support in aiding recovery. Ebby, Rowland and Wilson were all working with, and on, each other in a supportive manner, alcoholic to alcoholic. This 'carrying the message' element featured when Wilson travelled to Akron on business and he was asked by another member of The Oxford Group to help a certain Bob Smith - a prominent Akron surgeon and "hopeless alcoholic" (Cheever, 2005 p. 134). Wilson did indeed meet with Smith and, through telling Smith his own story of recovery, Wilson convinced the surgeon that he (i.e. Wilson) was a fellow alcoholic. Wilson went on to explain to Smith the basis of his recovery (AA, 2001 p. 179). Smith reciprocated and explained his own plight and it is through this mutual exchange that Smith also began his own journey to sobriety, which led to the establishment of AA's Akron group. This mutual exchange and support - alcoholic to alcoholic - was seen also as essential for credibility of what could have seemed a spurious religious programme (AA, 2001). The next day was June 10th, 1935 and Smith had his last drink on this day, the official foundation date of AA: a movement based on a "composite of many fundamental principles of medicine, psychiatry, religion" (Kurtz, 1991 p. 314).

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2.1.3. The Oxford Group - laying the foundations of the 12 Steps. The Oxford Group was a non denominational, theologically conservative, evangelical movement that attempted to recapture the impetus and spirit of what its members understood to be early christianity (Cheever, 2005 p. 129). Initially referred to as The First Century Christian Fellowship, its popularity peaked in the late twenties and early thirties and by 1938 it was known as Moral Re-Armament. It was founded by Frank Buchman in 1921 (Pittman, 1997 p. xii), a Pennsylvanian Lutheran minister who himself had been greatly influenced by the evangelist Dwight L. Moody (Clarke, 1951). The Oxford Group subscribed to 6 Basic Assumptions (Pittman, 1997) which can later be seen as paralleled through AA's 12 Steps:

   i.   men are sinners

  ii.   men can be changed

 iii.   confession is prerequisite to change

 iv.   the changed soul has direct access to God

  v.   the age of miracles has returned

 vi.   those who have been changed must change others.

The Oxford Group did not define itself as a religion (Layman with a Notebook, 1933 p. 19). It was a group of individuals from all walks of life who had surrendered their life to God. Their spiritual aim was to follow a life seeking God's guidance and to carry their message to others so that they could also subscribe to this way of life. This lack of official structure and organisation united social activities with religion with no defined leadership – a structure adopted by AA.

The movement's protocols are cited explicitly under the 6 Basic Assumptions and 2 further constructs: the 4 Absolutes and the 5 'Cs' (Pittman, 1997). The 4 Absolutes of Absolute Honesty, Absolute Purity, Absolute Unselfishness and Absolute Love were the moral foundations of The Oxford Group: Buchman adopted these standards through his own mentor Robert E. Speer

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and his book, "the Principles of Jesus" (1902). The 5 'Cs' consisted of Confidence, Confession, Conviction, Conversion, and Continuance: Confidence as required for the credibility of the individual follower as a role model, Confession required admission of sin, Conviction required a willingness to change, leading ultimately to Conversion to God's way of life. Continuance called for the attraction of other converts (Pittman, 1997).

2.1.4.   Spiritual practices and principles of the 12 Steps. The Oxford Group's spiritual practices included the following elements (Layman With A Notebook, 1933 p. 9): the *sharing* of sins with another follower; the act of *surrender* of life into God's care; *restitution* to all who had been harmed by previous behaviours in order to right any wrongs done (sometimes in public) and listening for *God's guidance*, and carrying it out. This seeking and following God's guidance required mediation, reflection and the recording of any guidance from God.

However, the principle of anonymity in AA was born out of the rejection of the additional requirement of The Oxford Group members to bear witness, publicly declaring directions from God, and the Group's desire to convert leading public figures (Kurtz, 1991 p. 44). This inferred requirement by The Oxford Group - to sacrifice personal identity for world conversion - led to key developments for the fledgling organisation of AA – firstly it stimulated the philosophy of anonymity in order to protect the 'sick' alcoholic from public shame and, secondly, it caused Wilson and his early associates to split from The Oxford Group and meet on their own terms in 1937 – basically as AA for the first time. This split was fuelled also by the requirement of the 4 Absolutes, the term alone appearing to challenge suffering alcoholics. Along with Wilson's and Smith's new understanding of the need for alcoholics to work with alcoholics, the split was eventually triggered by Wilson's perception that The Oxford Group was about to be criticised by the Pope, which would deter Catholic alcoholics whom Wilson wanted to include in his pluralist philosophy (Kurtz, 1991 pp50-55).

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The Oxford Group is universally regarded as the most influential organisation on the new AA (AA, 1957; Clark, 1951; Cheever, 2005; Hartigan, 2000; Pittman, 1997; Kurtz, 1991). Through the work of Smith in Akron, until the agreed split from The Oxford Group, his local meetings continued to meet under the name of the Alcoholic Squadron of The Oxford Group (Kurtz, 1991).

2.1.5.   Links to St Ignatius Loyola. Wilson was also influenced - both hermeneutically and directly - in his conceiving the 12 Step programme by the teachings of Saint Ignatius Loyola. Father Ed Dowling, a Jesuit priest from St. Louis who befriended Wilson, counselled him about spiritual matters. Dowling wrote about the parallels between the teachings of St Ignatius and AA's 12 Steps (See Kurtz, 1991 pp46-48). He also participated in Wilson's own recovery, acting as confessor and counsellor; he influenced Wilson's religious scepticism and pluralism when he explained "if you can name it, it's not God" (Kurtz, 1991 pp98-9). Dowling's influence on Wilson was established before the writing of AA's publication, The Twelve Steps and The Twelve Traditions (1953), which expanded upon the philosophies underpinning these principles and guidelines.

Saint Ignatius (1491 – 1556) founded the Society of Jesus – more commonly known as the Jesuit Order. The Book of Spiritual Exercises (The Catholic Encyclopaedia, 2011) originated through Ignatius' conversion experiences. The exercises are a very succinct form of instruction written for a priest to facilitate an exercitant. Undertaking the spiritual exercises, the exercitant is guided through meditations focusing on sin and its consequences and a certain number of instructions are added to teach the exercitant how to pray, how to avoid scruples and how to elect a vocation in life without being swayed by the love of self or of the world. The Catholic Encyclopaedia (2011) claims that the "experiences and exercises are practically impossible to understand without experiencing them". This experiential criterion is important to note for 2

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reasons – firstly, it is mirrored in the philosophical foundation of AA's fellowship which emphasises alcoholic to alcoholic support during recovery and, secondly, it has epistemological and ontological implications when researching spirituality. This is considered in the next chapter.

It is possible to see similarities in the protocols of The Oxford Group and the 12 Step progamme, as observed by Dowling (Kurtz, 1991 pp46-48); confession (as explored in AA's Steps 4, 5, 6, 7), abstinence (Step 1), the quest for peace (Step 11) and commitment to following a prescribed programme (Step 12). The historical timing of Dowling's involvement with AA – subsequent to the 12 Step formulation process - would suggest that the influence of St. Ignatius is most evident in The Oxford Group's own christian influences and in the book explaining the interpretation of AA's programme, The Twelve Steps and The Twelve Traditions (AA, 1953).

2.1.6.   Central philosophies of AA. Following the AA position that the alcoholic is hopeless, totally deflated, requiring conversion and needing others, Kurtz anti-plagiarises Wilson in his first meeting with Smith (Kurtz, 1991 pp35-36), summarizing the outcome of the AA programme:

> You, a drinking alcoholic are not God, as I, a drinking alcoholic was not God.
> And I am not God even now, as a sober alcoholic. I still need others, but now I
> need them because I have something to give. Precisely because I accept my
> alcoholism, my weakness, my limitation, I have found that I have something to
> give – something to give from that very limitation. Thus I am also not-God: I
> am someone. I am one who finds that the invitation to wholeness, the
> opportunity for it, arises from the very weakness of my limitation. And for the
> alcoholic, Bob, that is the meaning of sobriety and of life.

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In this creative passage, one may see the relationship to the concept of original sin, human fallibility and imperfection – Wilson embraced these as fundamental to the AA philosophy. Only by acknowledgement of personal human limitation can one be whole (by realising that one is not whole). The AA journey moves the alcoholic to recovery from self-centred narcissistic destruction that AA sees as the source of alcoholism, writing "…selfishness - self centredness! That, we think, is the root of our troubles…the alcoholic is an extreme example of self will run riot…" (AA, 2001 p. 62).

The spiritual experiences described in this thesis expose continuing confusion through association with the word 'religion', which may provoke many different responses from the reader depending on their own values. Where there is consensus, is that the spirituality promoted by AA, Jung, Silkworth, James and Wilson revolved around the perception that human life has ultimate meaning and that there is an omnipotent creative power beyond human beings. By surrendering to this 'Higher Power' and transcending oneself and one's illness, by focusing on serving others, the alcoholic would find health and wellbeing. This element of the programme is expressed in Steps 2 and 3 of AA's programme.

Anecdotally within the open meetings of the AA fellowship observed for this research, followers are keen to point out the difference between religion and spirituality from AA's own idiosyncratic perspective: 'religion is for those people who want to avoid hell; spirituality is for those that have been there'. Clearly The Oxford Group, with its first century Christian foundation and its use of Bible readings, was a religious organisation and was associated with early meetings of alcoholics seeking sobriety. However, it should be noted that the secular 12 Step programme of AA makes no mention of Christ and nor does it mention The Crucifixion in any of its literature.

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Specifically, The Oxford Universal Dictionary (1981) defines 'religion' as:

> A particular system of faith and worship. Recognition on the part of man (sic)
> of some higher unseen power as having control of his (sic) destiny, and as being
> entitled to obedience, reverence and worship; the general mental and moral
> attitude resulting from this belief, with reference to its effect upon the
> individual or the community; personal or general acceptance of this feeling as a
> standard of spiritual and practical life.

Spirituality, on the other hand, is defined within AA as understanding that one's life has meaning beyond the cognitive and emotional and physical planes of existence (AA, 2001 pp567-568). It has a pluralistic meaning that is almost agnostic in that, certainly within the fellowship of AA, a post modern approach to defining spirituality by the individual is not only tolerated but encouraged for the individual alcoholic to own their personal journey of recovery. The common use of the word God in the history of mankind to define the power that has created the universe (and human beings within that universe) is hugely problematic, contentious and even offensive to both the philosopher and the ardent follower of a specific religious faith. Indeed, this is why Wilson and Smith, in the development of the 12 Steps, accommodated these contentions and promoted pluralistic tolerance within the wording of Steps 3 and 11 by adding caveats after the word God, such as "as you understand Him" (see Table 1.1. on page 2 of this thesis). They further encourage this acknowledgement of "a power greater than ourselves" by suggesting that atheists could, for example, even elect AA itself as a temporary "Higher Power" (see AA, 2001 pp44-57) until their spirituality developed as the result of undertaking the 12 Steps.

Whether AA is a spiritual programme founded upon religious practice is not the focus of this thesis. However, through the biographical and hermeneutical approaches of the literature (Cheever, 2005; Jung, 1961; Kurtz, 1991; Thomsen, 1975) there are clear religious references to

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piety and despair in hitting 'rock bottom' and also *salvation* and hope in turning oneself over to the care of a Higher Power. There is also an *evangelical* element in Step 12 through taking the message to other alcoholics (AA, 1953 p. 109) - a missionary task. Sensitive to the negative associations with formal religious denominations, Wilson was fastidious in not allowing organised religions to put off potential members and this is demonstrated in the chapter "We Agnostics" (AA, 2001 pp44-57) and the inclusion of a considered definition of spirituality in the book, Alcoholics Anonymous (AA, 2001 pp567-568: see Appendix A p.II)

In spite of AA's insistence that it was a spiritual, not a religious programme, a significant number of journalists, sociologists, psychiatrists and psychologists amongst others criticised the programme for religiosity with headlines such as "Alcoholics and God" in Liberty Magazine (Oursler, 1939). This caused a sense of frustration within the fellowship; Wilson believed that traditional systems of theology – churches and denominations (that had defined alcoholism as sin) – did not work, whereby a spiritual emphasis did. AA deliberately clarified its process of recovery as "a spiritual programme" (AA, 2001 p. 85) so as to distance itself from religiosity. The fact that God or a Higher Power was central to this process is never denied within the literature; AA is indubitably theistic.

2.1.7.   The 12 Step programme of recovery. By November 1937 the AA programme of recovery was taking shape and an outline of the 12 Steps was emerging. The writing of the book 'Alcoholics Anonymous' included the chapter "How It Works" (AA, 2001 pp58-71) that sought to define the programme and its elements of surrender, salvation, discipline, support, sobriety and maintenance by helping others.

The fledgling AA group had agreed to write this book explaining the programme in order to reach more suffering alcoholics and generate income for the organisation. Quite simply, the first

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anonymous alcoholics were convinced from their own testament that the programme worked and,

as part of that programme, they needed to make it accessible to other suffering alcoholics.

According to the publication, AA Comes of Age (1957), Wilson set about writing out the

programme of recovery as it emerged through early successes with the initial 100 alcoholics. As

he drafted chapters, he would he would run drafts past those present at his weekly meetings at his

Brooklyn home and send them to Smith for his Akronites' consideration (Kurtz, 1991 p. 32).

Wilson and the early AA groups initially agreed 6 Steps as outlined in Table 2.1.

Table 2.1.   *The original 6 Steps*

  i.   We admitted that we were licked, that we were powerless over alcohol

  ii.   We made an inventory of our defects or sins

  iii.   We confessed or shared our shortcomings with another person in confidence

  iv.   We made restitution to all those we had harmed by our drinking

  v.   We try to help other alcoholics, with no thought of reward and money or prestige

  vi.   We pray to whatever God we thought there was for power to practice these precepts.

Wilson concluded that these draft Steps were too reminiscent of The Oxford Group

philosophy; he was concerned that they would be counterproductive to the recovery of alcoholics,

being seen as extreme and absolute. He was also concerned about the vagueness in his

description of the Steps which the rationalising alcoholic could evade (Kurtz, 1991 p. 69). He

therefore set out immediately to write a more detailed explanation of the Steps. He also

considered very carefully the use of the word God so as not to alienate other denominations,

atheists, agnostics or those still close to The Oxford Group in Akron. The 12 Steps were

published in the book Alcoholics Anonymous in 1939 (see Table 1.1. page 2 of this thesis).

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2.1.8.   **Historical context of AA.** It is worth noting the American social context at this time which sets AA's foundation in a post modern context (albeit with pre-modern connotations), as well as explaining its social constructionist origins. Modern American society was based on puritanical Christianity that had merged with evangelical traditions (Cheever, 2005 pp121-122). Multiculturalism was established. Prohibition had failed, the great economic crash of 1929 had occurred with the following depression of the 1930s, which Wilson's own story exemplifies (AA, 2001 pp1-16). Kurtz (1991) argued that this depression was anti Wall Street (capitalist) and logically opened up society to religious and spiritual group membership and the growth of such groups. (Interestingly, this situation may be being witnessed at the time of writing this thesis in context of the global financial crisis 2007 (Shiller, 2008) and the ensuing search for meaning at work by individuals (The Economist, 2011). This is explored shortly).

When the book "Alcoholics Anonymous" was published in 1939, there were predictably mixed comments on the medical, religious, psychological and societal implications of the programme. The medical profession gave a mixed response: the Journal of Nervous and Mental Diseases (1940) accused the book of being "big in the words" and a most scathing review appeared to in The Journal of the American Medical Association (1939) which concluded "the book has no scientific merit or interest". The renowned psychiatrist, James Howard , offered supportive suggestions of good practice in the treatment of alcoholics which aligned with Wilson's way of thinking (by changing language to be more inviting rather than dictatorial – see Kurtz, 1991 p. 75). The Catholic church, through the New York archdiocese, praised the programme. The popular press at the time were more divided; a series of articles in the Cleveland newspaper, "The Plain Dealer", approved of the programme and its offer of hope to the hopeless drunk (Thomsen, 1975 p. 291 and p.321), whilst Liberty Magazine's lead article focused on a strong religious narrative throughout their item (Oursler, 1939) much to the annoyance of Wilson. The New York Times (1939), however, favourably reviewed the book

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saying that it had more to do with psychology than religion. The Washington Post also reported

positively on the successes of the new programme (Kurtz, 1991 p. 91). As a result of the press

coverage and the early success of the programme, AA began to grow. The literature reviewed

provides many reasons for this expansion – both geographically and in terms of generalisability

to other related dependency issues. Specifically, the literature collectively credits the expansion

of the 12 Step programme to the following synchronistic reasons in Table 2.2.

Table 2.2.   Reasons for expansion of the 12 Step programme

a) It worked (McIntire, 2000)

b) It came after the failed temperance movement of the 1920s (Kurtz, 1991 pp228-230)

c) It was born during the depression of 1930s (Cheever, 2005 p. 106)

d) It was born in America – the first modern democracy (Thomsen, 1975 p. 37)

e) It reflected American contemporary religious development including the pietist influence of humility, a salvationist approach of overcoming alcoholism, the evangelical approach of Step 12 and a secular philosophy (Kurtz 1991 p. 179).

f) The programme was exported abroad through World War 2 (Alcoholics Anonymous, 1975 pp26-27; Kurtz, 1991 p. 162)

g) AA won the American Public Health Association Lasker Award (AA, 1957)

h) The Saturday Evening Post's (Alexander, 1941) favourable review of AA boosted membership

i) The Yale Plan for Alcohol Studies adopted AA's diagnosis of alcoholism as an 'illness' and the possibility of recovery (Kurtz, 1991 pp117-8)

j) The Lost Weekend film of 1945 depicted the plight of alcoholics (Cheever, 2005 p. 185)

k) The pill cultures of the 1950s and '60s led the organisation to offering its 12 Step programme to be adapted freely to help other addicts (Kurtz, 1991 p. 116).

2.1.9. The efficacy of the 12 Steps. AA has a current worldwide membership of nearly 2

million people, with over 100 thousand local groups and has sold 25 million copies of its

principal publication (AA, 2013). The efficacy of AA and its 12 Step programme has attracted

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much interdisciplinary research and debate in many academic fields (Slaymaker, 2009; Kelly et al., 2009). AA predicts that following the programme to the best of one's ability will result in a series of outcomes described poetically rather than scientifically in the AA Promises (AA, 2001 pp83-84 – see Appendix B p.III) and these outcomes include a sense of freedom, happiness, intuition, serenity, the removal of fear and a changed outlook.

2.1.9.1. How do the 12 Steps enable recovery? In 1953, Wilson expanded upon and consolidated the AA programme and fellowship in the book, "The Twelve Steps and Twelve Traditions". The 12 Traditions were created in order to advise the autonomous local AA groups on how to behave within the philosophy of AA in order to protect the efficacy of the programme (Cheever, 2005 p. 179).

Whilst AA does not give a definition of the term 'alcoholic', the 12 Step programme helped develop a new concept of the word 'sobriety'. This is best explained by exploring the difference between being merely 'dry' – whereby an individual does not drink but still suffers the emotional, mental, spiritual and physical malaise of alcoholism, and being truly 'sober', which entailed a new way of life by following the 12 Step programme. The programme enables recovery as it overcomes the characteristic alcoholic behaviours of "big-shot ism", "resentments", "arrogance" and "deceit" (AA, 1953 pp43-55).

The particular emphasis of the programme was on the alcoholic continually living from a point of rock bottom; that the alcoholic was always an alcoholic who had experienced total deflation. This continual state of being powerless encouraged the recovering alcoholic to focus on a daily reprieve from alcoholism, never assuming themselves to be recovered fully. The key to the alternative, 12 Step way of life, Wilson repeatedly explains, is humility; he specified: "the attainment of greater humility is the foundation principle of each of AA's 12 Steps" (See Step 7,

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AA 1953 pp71-78). Wilson used the phrase in context of the humility to surrender to

powerlessness over alcohol, to acknowledge human failings and original sin, and this concept is

explored thoroughly throughout the Steps.

In context of the entire programme, humility sits amongst a variety of key concepts which

are interpreted hermeneutically by Pittman (1997 p. xii) as listed in Table 2.3.

Table 2.3.   Meaning of 12 Steps of Alcoholics Anonymous (Pittman,1997 p.XII)

Step	Meaning	Step	Meaning	Step	Meaning
Step 1	*Honesty*	Step 5	*Integrity*	Step 9	*Justice*
Step 2	*Hope*	Step 6	*Willingness*	Step 10	*Perseverance*
Step 3	*Faith*	Step 7	*Humility*	Step 11	*Spirituality*
Step 4	*Courage*	Step 8	*Love*	Step 12	*Service*

These Steps are not practiced only in the linear fashion. Whilst it is acknowledged that

Steps 1, 2 and 3 are the foundation of recovery, from then on the process is less structured. For

example, anecdotally, anonymous alcoholics participating in this doctoral research report on

working on Step 4 (personal behaviour inventory) for many months and, at the same time, Step

10 (daily inventory) can be conducted as a way of reviewing one's daily life whereas Step 11

promotes a constant tuning into the spiritual programme. Step 12 explicitly suggests that

followers should practice these principles in all affairs, continuously.

It is also worth exploring the use of the pronoun "we" in the wording of the Steps. Having

admitted the need for a greater power in order to recover, the anonymous alcoholic now admits to

a need for others to help them recover. The first word of the Steps is "We" - all those that follow

this programme of recovery and its new way of living are automatically part of a peer support

group. They are part of a fellowship that supports their daily recovery and also encourages them

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to seek advice from a successfully recovering alcoholic (known as a sponsor). The programme

only works in context of this fellowship. Indeed, the programme relies on these other alcoholics

to participate in the Step processes. It is a programme for individuals in a group setting (Kurtz,

1991 p. 218).

By living this programme, AA claims that participants become spiritually aware, on a

metaphysical level, understanding their context and relationship with Creation (see AA, 2001 p.

68). This is also akin to experiencing transcendence – what is defined as "outside or beyond the

limits of ordinary self" (Kurtz, 1991 p. 137). On a practical note, Wilson ensured also that the

alcoholic does not fail too easily in recovery owing to the related symptom of perfectionism (AA,

1953, p. 156) - he repeatedly advises that "we are seeking progress not perfection… we are not

the saints. The point is that we are willing to grow along spiritual lines" (AA, 2001 p. 60). The

unofficial leaflet published by AA of Akron, "Spiritual Milestones", summarised the causal

mechanisms of recovery facilitated by the 12 Steps as (Kurtz, 1991 p. 235):

- eliminate sin from our lives

- develop humility

- constant prayer to God for guidance

- practice charity

- meditate frequently on new found blessings, giving thanks for them.

- take God into our confidence in all our acts

- seek the companionship of others who are seeking a spiritual life.

Harry Tiebout, Wilson's own psychiatrist who had become fascinated by the success of

Wilson in overcoming his alcoholism, went on to observe 4 elements as playing a vital role in the

recovery of the alcoholic using AA's programme: hitting bottom, surrender, ego reduction and

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maintenance of humility. He wrote about "the act of surrender in the therapeutic process", specifically referring to rejection of "the inflated ego… the carryover of infantile traits into adult life…a feeling of omnipotence", this definition is taken from Freud's observation of psychoanalytical processes originating from "His Majesty, the baby" (Tiebout, 1949). In addition to these psychological elements, AA explains the facilitative nature of 'honesty' in the 12 Step programme in Chapter 5, "How It Works" (AA, 2001 pp58-71); the opening paragraph explores the philosophical foundation of honesty – "rigorous honesty".

However, AA's claims about how the programme works seem to originate in the realms of amateur psychology and, owing to the infancy of the programme, are rarely supported by any empirical approaches to understanding the causal mechanisms and resultant outcomes of following the 12 Steps. In order to do this, research exploring the efficacy of the programme in facilitating recovery will now be examined.

It is important to clarify that the focii of this thesis are not concerned with proving the efficacy of AA nor its 12 Steps – its aim is the gathering and analysis of idiosyncratic data about how individuals following AA's programme use it in an organisational management position. However, in order to provide background, context and comparative data, academic research into the efficacy of the programme is therefore reviewed.

2.1.9.2. Research into the 12 Steps. Exactly how AA achieves beneficial outcomes is not fully understood (Kelly et al., 2009). Recovering members, treatment professionals and counsellors have commonly observed a transformative spiritual process produced by working the 12 Step programme (Galanter et al., 2007). Whilst there is a great deal of research into the efficacy of the 12 Step programme, further scientific research is still needed to understand the causal mechanisms by which change occurs and produces positive outcomes (Carrico, Gifford

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and Moos, 2007). AA's 12 Step programme has influenced other 12 Step models that are labelled under the banner of 12 Step facilitation (Ferri et al., 2006) and these approaches consider addiction and dependence as both spiritual and medical diseases.

"Determining exactly how AA is helpful to recovery has been a comparatively new line of enquiry" (Kelly et al., 2009 p.237). There is no consensus on the definition of 'effectiveness' in the research to date – the definitions are subject to the terms of each academic field studying the AA and its 12 Step programme (Ferri et al., 2006). The criteria for efficacy within the literature also differs and ranges from length of sobriety, attendance at AA meetings, changes in spiritual condition and the adaptiveness of the programme to help solve other dependency-related conditions. As will be explored in this study, AA itself uses multiple definitions of efficacy and these include the number of years sober (McIntire, 2000) and the quality of one's "spiritual condition" (AA, 2001 p. 85).

Recovering from addictions through the 12 Steps is prolific compared to other forms of treatments (Room and Greenfield, 1993) and this approach is at least effective as participation in other approaches such as pharmacological (for example, Antabuse), surgical (for example, deep brain stimulation), psychological (for example, cognitive behavioural therapy) or a multimodal approach (for example, rehabilitation centres). Several studies have demonstrated successful recovery from alcoholism through involvement in 12 Step approaches (Connors, Tonigan and Miller, 1996 and 2001; Humphreys and Moos, 2001; McKellar, Stewart and Humphreys, 2003; Tonigan, 2003). However, according to Ferri et al., (2006) and Emrich (1989), studies of 12 Step facilitation have not produced definitive results of efficacy when assessed in terms of the long-term prevention of drinking – i.e. sobriety - compared to other treatment programmes. One of the main challenges for academic research into the effectiveness of AA is the nature of Tradition 12 (AA, 1953 p. 118) which places anonymity at the centre of the programme; arguably, this

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undermines the validity of research because it is not possible to evidence the source of data in terms of identifying samples and norms, places and dates. Bebbington's (1976) research into the efficacy of the programme, noted that the elusiveness of empirical data limited research and undermined the use of techniques such as placebo groups. Further challenges of researching AA have been identified by Carrico et al, (2007), who observed that the examination of spirituality and religiosity is open to a multitude of personal definitions. Research appears to be hampered further by the inability to conduct research with samples that have left the programme and those that have resumed drinking. These research challenges pervade still and are considered in epistemological and ontological terms in the next chapter.

AA itself began to collect statistical data on efficacy via its membership in its triennial surveys commencing at the General Service Conference in 1968, the last published survey being 2011 (AA, 2011). Early estimates of the effectiveness of the programme cited that "50% recover at once and remained that way; 25% sobered up after some relapses and among the remainder, those who stayed with AA showed improvement" (AA, 1955 - Foreword). McIntire (2000) looked more closely at these self reported statistics and found that, in the triennial membership surveys of AA between 1974 to 1990, the effectiveness of the programme was evidenced as: about 40% of the membership being sober for less than a year will remain sober for another year; 80% of those sober less than 5 years will remain sober and active in the fellowship another year and 90% of those sober 5 years or more remain sober and active in the fellowship for another year. However, it is important to note that AA's definition of effectiveness in these estimates is length of sobriety.

Defining alcoholism also creates research challenges. Alcohol dependence demonstrates identifiable symptoms (Ferri et al., 2006 p. 2) and these include: craving, uncontrolled behaviour, physical dependence including withdrawal symptoms and tolerance of alcohol. The broad

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umbrella of substance abuse is defined as "a cluster of cognitive, behavioural, and psychological symptoms indicating that the individual continues using a substance despite significance substance-related problems" (American Psychiatric Association, 2000). There appears to be no singular cause of dependence on alcohol although several factors have been identified: familial and genetic factors, psychological attributes such as high anxiety, ongoing depression, conflict within relationships, low self esteem, and social factors such as availability of alcohol, social acceptance and promotion of the use of alcohol, peer pressure and demanding lifestyle (A.D.A.M., 2013). Specifically with regard to familial and genetic factors, Heath et al., (1997) identified that genetic influence on alcohol dependence is attributed in the ratio of 2:3 to genetic factors and 1:3 to environmental factors without gender differences. The American Psychiatric Association (2000) cited also that the illness is up to 4 times higher in relatives of people with alcohol dependency compared with the general populace.

McLellan, McKay, Forman, Cacciola, and Kemp (2005) argued that addiction needs to be understood as a chronic illness, with recovery monitored over time in an open-ended manner. The word recovery in itself creates its own definitional dilemmas for research. The Presidential Commission on Mental Health in the U.S. (2003 p. 1) defined recovery as "the process in which people are able to live, work, learn, and participate fully in their communities". Galanter (2007) suggests recovery is a subjective positive experience defined by observable behaviours. Gorski (1986 p. 8) defined recovery as "abstinence plus a full return to biopsychosocial functioning". Recovery in AA terms might embrace all these – but it only gives one definition: "recovery from alcoholism is life itself" (AA, 1953 p. 177).

Numerous studies have found that the 12 Steps programme of AA has a positive impact on abstinence from substances and on life functioning (Emrick, Tonigan, Montgomery and Little, 1993; Owen et al., 2003; Slaymaker, 2009). Such studies have shown that the approach works

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through increasing social networks, increasing self efficacy and enhancing spiritual development (Slaymaker, 2009; Kelly et al, 2009). Spirituality is a core component of 12 Step philosophy and includes the recognition of, willingness to trust, and commitment to maintain a "conscious contact with a power greater than ourselves" (AA, 2001 p. 59). Findings cited within the literature include:

- lower levels of spiritual well-being have been observed amongst those with higher alcohol use and levels of spirituality increase during participation in the 12 step programme (Bliss, 2009)

- relapse to drinking has been associated with a drop in Spiritual Index scores (Sterling, Weinstein and Losardo, 2007)

- practicing Step 11 has been associated with the positive outcomes of reduced stress and greater coping mechanisms (Carroll, 1993)

- daily spiritual experiences and having a sense of purpose in life correlate with the absence of heavy drinking at 6 months into recovery (Robinson, Cranford and Webb, 2007).

Ferri et al. (2006) conducted a review of AA and other 12 Step programme trials by conducting a meta analysis of main academic registers including Central and Medline, EMbass, CinAHL, PsychInfo. The study involved 3417 adults of both genders with alcohol dependence who received 12 Step treatment compared to those receiving no treatment or other non 12 Step psychological interventions. The aim of the review was to study the effectiveness of 12 Step related recovery models in reducing alcohol intake, achieving sobriety, staying sober, and - most importantly for this thesis - improving the quality of life (including working life) of people using the programme. Its specific objectives included comparing: 12 Step programmes versus i) no intervention, ii) versus other interventions such as cognitive behavioural therapy, relapse prevention therapy and motivational enhancement therapy and iii) versus 12 Step programme variance including those of a non spiritual nature and those led by professionals.

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The review concluded that AA's 12 Steps help people to accept treatment and to stay in treatment for longer periods than other approaches. Whilst overall AA was found to be no more effective than other treatment approaches, it was found to have better abstinence outcomes to a comparison treatment in small parts of the study. It should be noted, however, that Ferri at al., (2006) confirmed limitations in their research such as too many hypotheses being reviewed to determine which factors predicted successful treatment. The study also does not seem to comment on a stated aims to explore 'improved quality of life' offered through the 12 Steps - which it recommended for further research and there were no revealing data about employment and work. A further criticism is that Ferri et al.'s (2006) meta analysis of research into AA and related programmes is flawed because, in its third objective stated above, the authors studied different variations of the 12 Steps some of which presume that spirituality can be removed from a 12 Step programme along with the community support network - arguably these variants are not actually based on AA's 12 Step programme, which is explicitly "a spiritual programme" for "a group of men and women who come together to help each other to recover from alcoholism" (AA, 2001 p. 85).

Other independent studies have provided evidence for the effectiveness of the 12 Step programme: a meta analysis of outcome studies (Emrich et al., 1993) showed that attendance of AA meetings is a predictor of improvement and that the number of AA meetings maintained is also a significant predictor of successful recovery (Humphreys, Moos and Cohen, 1997). Galanter (2007) posited that promotion of long-term engagement in AA and its spiritually grounded orientation serve as an important vehicle for sustaining recovery.

There have been several other independent reviews of studies which also failed to specify causal factors for recovery and produced weak empirical evidence (Emrich, 1993; Kownacki and Shadish, 1999; Tonigan, Toscova and Miller, 1995). Ferri et al., (2006 p. 11) concluded, "the

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available research seems to be concentrated on prognostic factors associated with assumed

successful treatments rather than on the effectiveness of treatments themselves. Moreover,

further attention should be devoted to quality of life outcomes for patients and their families".

More specifically, the literature reveals that quality of life issues associated with successful

recovery, such as the ability to work, are an under-researched field.

2.1.9.3.   Spirituality and its relevance to recovery from alcoholism. Spirituality is not

generally assessed in studies related to engagement and progress in the treatment of alcoholism

and it is only those studies exploring the spiritual influences of the programme that begin to

explore causal factors associated with successful recovery through AA (Galanter, 2007). The

definition for spirituality chosen by each study impacts upon the subsequent findings and

conclusions (Ferri et al., 2006). For example, dictionary definitions of spirituality include

"relating to or affecting the human spirit or soul as opposed to material or physical things"

(Oxford University Press, 2011) or a more religious definition such as "the quality of involving

deep, often religious, feelings and beliefs, rather than the physical parts of life" (Cambridge

University Press, 2011). Galanter (2007 p. 266) stated that research is further complicated

because the AA model "originated outside the biomedical and academic psychology

communities"; he goes on to explain the programme as a spiritual recovery movement – "one that

affects compliance with its behavioural norms by engaging the recruit in a social system that

promotes new and transcendent meaning in their lives". If the 12 Steps did not originate from an

empirical model, it raises the argument that positivist research may always have limitations and

that qualitative approaches to generate new knowledge are appropriate. This is considered

further in the next chapter.

This research thesis, unlike other studies to date (for example Emrich et al. 1993; Ferri et

al., 2006) starts from the premise that the programme does work and not whether or how well it

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works. This enables the focus to explore how it impacts upon quality of life issues such as work and management from the idiosyncratic view of the follower – the AA participant manager. In this way, this process aims to uncover new knowledge via the research questions stated at the end of this chapter.

2.1.9.4. The quest for empirical research on the role of spirituality in recovery. "The desire for some people to self destruct can transcend rational thought and is evident in much addictive behaviour particularly in the patterns of behaviour grouped under the rubric of alcoholism" (Poage, Ketzenberger and Olson, 2004 p. 1857). This entering into a different cognitive dimension appears to challenge positivist academia with its justifiable quest to identify quantifiable causal mechanisms and variable outcomes. The constructs of spirituality and religiosity have been associated as key causal factors in the AA 12 Step programme and, in turn, promote further spiritual and religious experiences (Carrico et al., 2007); specific reasons for this pathway are unclear as the limited investigations to date have examined related psychosocial processes. This has meant that whilst spirituality has been of interest to research, mediation studies are rare (Kelly et al., 2009).

There has been some consensus that alcoholism can only be treated through a multimodal approach (Wallace, 1992 and Hester and Miller, 1995) and that spirituality is a predictor of a successful long-term recovery (Connors et al., 1996). Carroll (1991) found significant correlations between the spirituality of Step 11 (AA, 1953 p. 99) and length of sobriety. Encouraging recovery through the 12 Step programme, Corrington (1989) reported that those with higher levels of spirituality had better coping strategies for dealing with stress while Hudson (1982) earlier found a significant relationship between the levels of spirituality and life contentment.

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In trying to explore the relevant psychological processes associated with AA's spiritual

programme further, Poage et al. (2004) explored the relationships among length of sobriety,

spirituality, contentment and stress. They found that spirituality and contentment were positively

related. Length of sobriety was significantly associated with spirituality also. They also found

significant gender differences in these relationships with women experiencing a greater

correlation between spirituality and lower levels of stress – whereas men's contentment was

related to lower levels of stress (but not for women). Poage et al.'s (2004) study included 8 AA

home groups and used a range of instruments including the Spiritual Assessment Scale (SAS)

which they developed using questions from AA's literature. Items explored efficacy of attitudes

towards prayer and spiritual practice and approaches to life. Results from the SAS displayed

significant correlations between years sober and spirituality ($r = -.527$, $P<.001$). These results

corroborate the findings of Carroll (1991) linking spirituality with sobriety as well as with

Corrington's (1989) more general conclusions that the more a person was spiritually aware, the

more content they were with their life. Poage et al. (2004) concluded that developing one's

spirituality is a significant factor in building a better life for people recovering from alcoholism.

However, further inquiry is needed into causal loops within these factors whereby spirituality in

itself may produce contentment that, in turn, produces further spiritual development.

Galanter at al., (2007) explored the construct of spirituality and its relevance to recovery by

studying patients in a range of group treatment programmes and those working with them such as

students, medical staff, family members and religious advisers. They created and used a 6 item

Spirituality Self Rating Scale (SSRS) to explore these orientations. They also collected

biographical and demographic data. Notably amongst the results, t-test findings reported that

those recovering successfully from addiction (M= 22.63, SD = 5.8) were found to be more

spiritual than those who are not (M=17.49, SD = 6.2; $t =11.78$, $df =770$, $p<.0001$). They

concluded "further attention needs to be paid to the importance of spirituality and its value to

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patients' recovery" (Galanter et al., 2007 p. 263). The study's limitations included reservations about spirituality measures, the way that people in recovery experience spirituality in different ways and a lack of conclusive findings from previous studies to build upon. Furthermore, not all patients self reported high scores on the SSRS and answers may have been given under impression management. It is also noted that the second item of the SSRS adds to the complication of definitions and prejudice when it uses the term 'religious beliefs' when trying to assess a person's spirituality.

In other related studies, spirituality has proven to be a positive predictor of abstinence from heroin and cocaine (Avants, Warburton and Margolin, 2001). Flynn, Joe, Broome, Simpson and Brown (2003) concluded that those who indicated spirituality as a source of support in recovery were almost twice as likely to succeed as those who did not at 5 years: patients with a higher orientation toward spirituality who completed an 8 week spiritually orientated programme of recovery also scored higher on well-being indices and scored less on depression than those with low scores for spirituality. Zemore has also conducted studies researching the effect of spirituality as a predictor of successful recovery by studying samples drawn from AA meetings – these studies found that those who have longer periods of sobriety also had higher scores of spirituality (Polcin and Zemore 2004; Zemore and Kaskutas, 2004). Higher scores on the Spirituality Well-being Scale were associated also with broader health promoting behaviours (Magura, Knight, Vogel, Mahmood, Laudet, and Rosenblum, 2003). Galanter et al., (2007) concluded that spiritual orientation may play a unique role in promoting an attitude that facilitates some patients' openness to change - particularly in the context of programmes that draw heavily on 12 Step groups. Support and medical staff, it is argued therefore, need to recognise the importance of spirituality in recovery programmes because Galanter et al., (2007) found that medical staff saw spiritual orientation as less important to recovery than pragmatic issues, such as employment and outpatients' schedules.

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The literature gives the impression that research continues to struggle with identifying the actual causal mechanisms related to spirituality and its relationship with successful recovery programmes. Whilst there is a wide variety of mechanisms and outcomes offered within the literature, these lack consensus. For example, Galanter et al.'s (2007) study cited above explores the broad causal mechanisms of spiritual orientation, AA meetings attended, job status and attendance at outpatient programmes; whilst these are important factors related to recovery, this study does not identify the exact psychological processes underpinning the journey to wellbeing. The quest to identify effective recovery calls for the specific identification of cognitions leading to relevant behaviours. The research questions stated at the end of this chapter aim to address the need for such identification.

Figure 2.1.   Proposed model of the association among spirituality/religiosity, Acceptance- based responding and 12 step involvement (Carrico et al. 2007)
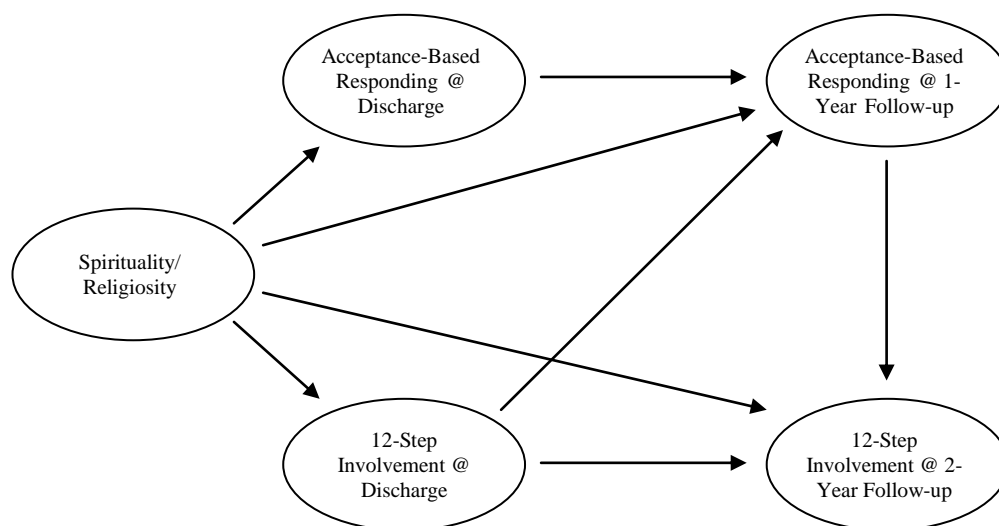
Of all the studies explored in this review, the research by Carrico et al. (2007) focused on psychological mechanisms leading to positive results from 12 Step involvement by identifying acceptance-based responding (ABR) as a key construct within the process. ABR produces

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cognitive adaptive responses leading to behavioural outcomes and central psychological processes that enable recovery. The research used structural equational modelling to explore the relationships amongst variables of ABR, 12 Step involvement, spirituality and religiosity (See Figure 2.1.)

The model places spirituality and/or religiosity as a catalyst for ABR. Specifically, ABR is associated with increased self efficacy, cognitive behavioural coping and the implementation of adaptive alternatives to destructive behaviours such as alcohol use. It increases the likelihood of maintaining a 12 Step programme that provides further development of positive psychological processes and subsequent positive outcomes. The researched revealed that ABR is bi-directional within a causal loop in that ABR will promote further ABR; Carrico et al. (2007) argued that ABR is associated with greater adherence to the 12 Step programme and concluded that spirituality and religiosity promote the use of self regulation skills that, in turn, promote on-going 12 Step involvement.

Carrico et al., (2007 p. 65) defined ABR as "an awareness or acknowledgement of internal experiences that allows one to consider and perform potentially adaptive responses and is a learned repertoire that serves as a constructive alternative to alcohol substance use in response to craving, negative affect, and other laden cues"; it consists of 3 constructs that promote self regulation – firstly, 'approach coping' that acknowledges distress; secondly, 'self efficacy' in being able to handle uncomfortable internal states (negative affect); finally, having a 'flexible coping' repertoire which includes a range of adaptive cognitive and behavioural approaches. Whilst this research applied these processes primarily to remaining abstinent from alcohol, they apply also to the wider psychological state of distress and of feeling uncomfortable, suggesting generalisability.

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ABR enables the individual to accept and respond to situations in an active positive manner rather than react reflexively. By not responding to primary emotional perceptions, the construct demonstrates that the 12 Step programme allows the individual to remain with negative emotional states, choose response behaviours and ultimately experience positive affect produced by coping successfully. Of note, the spiritual aspect of the programme is found to be associated with promoting ABR as a super ordinate factor (Carrico et al., 2007). In spite of the recurring problem of confusing spirituality and religion - at least in vocabulary - this more empirical approach to proving the link between spirituality and recovery adds a valuable voice to the literature. Morgenstern, Kahler, Frey and Labouvie (1996), Brown, Seraganian, Tremblay and Annis (2002) and Gifford, Ritsher, Kellar and Moos (2006) identified that processes related to ABR - notably enhanced self efficacy - aid recovery and states that the utilisation of AA is principal to recovery through the changing levels of self efficacy in patients during the process.

2.1.9.5. *Further analysis of causal mechanisms associated with spirituality and AA.*

Kelley (1967) posited that attribution theory suggests that individuals are more likely to adopt a new explanation for their situation when they have totally lost confidence in themselves and have reduced self efficacy, entering a dimension of crisis which takes them into a new social context which has its own perspective on meaning. This is reminiscent of AA's phenomenon of a "rock bottom" (AA, 1953 p. 66) - when a person suffering from alcoholism suffers enough desperation that leads them to AA. Upon entering, individuals may experience an environment similar to those in intensely cohesive movements such as religious cults and sects; Galanter (2007) studied this phenomenon over several years in the membership of the Unification Church, where he noticed that commitment to the group's ideology significantly predicted variance in members' affective state. Basically, the stronger an individual's association with the group's ideology, the higher their scores on the General Wellbeing Schedule (Dupuy, 1973). Systemically, the more an individual commits to an ideology, the more they would receive the outcome variables from that

philosophy. In AA's case, commitment to the 12 Steps would predict greater experience of the positive affect associated with the programme. In an earlier study into issues relating to cult adherence, Galanter (1983) observed that compliance to such ideology in itself caused distress but the distress was relieved by a greater commitment to the ideology, ultimately resulting in positive outcomes and life changes. He drew a parallel between these observations and belonging to AA, citing "AA can be considered as a highly successful example of a social phenomenon called a spiritual recovery movement" (Galanter, 1983 p. 269). Movements such as AA, Galanter (2007) continues, have a number of core characteristics:

a)   they claim to provide a means of recovering from a disease and illness

b)   they have been developed outside the fields of empirical science and academia

c)   they associate their effectiveness with the commitment to a Higher Power.

Galanter's second point notes again that AA originated in a post modern framework, from non empirical fields and this origin should be considered in creating research plans to uncover authentic meaning and knowledge about the 12 Step programme.

2.1.10. Summary of the literature about the origins of 12 Step programme and its efficacy.

Writers concur that the 12 Steps were formed out of the Oxford Group protocols. Other religious influences are also cited. These protocols were religious in nature. Bill Wilson is universally credited with being the chief architect of the AA programme. He deliberately disassociated the programme and the AA fellowship from organised religion. It is agreed in the literature that spirituality is a foundation of the 12 Steps. This model of recovery includes developing a relationship with a divine concept, self review, altruism and the use of simple attainable goals resulting in stress reduction.

The efficacy of the AA programme has not been established in an empirical manner. Researchers have attempted to identify key causal mechanisms affecting sobriety through AA.

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Some psychological factors have been identified that include self efficacy, ABR, social identity, self esteem and belief in a Higher Power. The literature reveals a recurring difficulty in trying to define, qualify and quantify what constitutes 'spirituality'. Several observers comment that this concept cannot and should not be measured in a positivist manner. In spite of its longevity, the literature available proves that research into these matters is a relatively new field of inquiry. The single most obstructive factor in limiting research is AA's Tradition 12 (1953) protecting anonymity as this directly affects sample selection, longitudinal studies and the ability to replicate findings. That individuals do find successful recovery through the 12 Steps is not doubted.

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2.2.   Spiritual intelligence

2.2.1.   The concept of intelligence.   If this thesis is to use the concept of spiritual intelligence (SI) to assist with its academic inquiry, it is important to identify different interpretations, qualifying criteria, models and theories of SI and common inherent academic problems. As a starting point, the broader theories of intelligence are established to provide a specific framework and terminology that will be referred to later when the concept of SI is explored in context of the findings.

Huitt (2002) suggested that many psychologists would at least accept a working definition of intelligence as the general ability to perform cognitive tasks. Others might favour a more behaviourist definition of intelligence related to learning from experience or the capacity to adapt to one's environment (Bandura, 1977). Sternberg (1988 pp395-396) combined theories to posit that "intelligence is the cognitive ability of an individual to learn from experience, to reason well, to remember important information, and to cope with the demands of daily living". Psychologists such as Gardner (1997) have gone on further to explore physical intelligences such as kinaesthetic intelligence and meta cognitive definitions associated with religiosity and spirituality (King, 2008). Common areas of debate around the definition of intelligence wrestle with recurring questions of measurability: single or multiple intelligences, verbal or non-verbal ability, permanent or situational intelligence and nature versus nurture influences. These areas of exploration have stimulated significant comment amongst a wide range of commentators including scientists, theologians and philosophers – with each field having its own focii, protocols and academic culture.

2.2.1.1. Broader theories of intelligence.   Following the development of Alfred Binet's first intelligence test (Maltby et al., 2013), the construct of intelligence quotient (IQ) was established by Terman in 1916 to quantify and compare intellectual functioning. Thorndike

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(1920) broadened the quest to define intelligence and investigated abstract, mechanical and social intelligences. This paved the way for a factor analysis and a layered approach to intelligence as an alternative to the theory of a general intelligence – Thorndike was concerned with the possibility of multiple intelligences.

Early approaches to defining and measuring intelligence had been very pragmatic. Tests were developed for particular needs such as military or educational categorisation. Spearman (1927) analysed relationships among experimental intelligence tests using factor analysis. He postulated that people who do well on some intelligence tests also do well on a variety of other intellectual tasks and vice versa (regarding poor performance): he observed correlations between different intellectual tasks. Spearman's analysis was that a general intellectual capacity ('g') existed and this proved to be highly influential. In short he proposed a 2 factor theory of intelligence: firstly, general ability ('g') required for performance of mental tests of all kinds and underlies specific abilities and, secondly, special abilities which were required for performance on specific types of mental test.

Wechsler, one of the most influential researchers in the area of intelligence (Weis and Sub, 2006 p. 3), defined intelligence as "the global capacity of a person to act purposefully, to think rationally, and to deal effectively with his/her environment". Wechsler felt that the Binet scales were too verbal for use with adults, so he designed an instrument with sub-tests to measure both verbal and nonverbal abilities, largely borrowing from many other tests, such as the US Army Alpha test. Wescheler's contemporary, Thurstone (1938), accepted the existence of 'g' but he disputed its importance. He argued that 'g' is a second order factor - identifying 7 primary mental abilities which he judged to be more important, as displayed in Table 2.4. Thurstone's was the first multi-factor approach to intelligence and established that intelligence is better described and measured by considering several distinct primary mental abilities, rather than a

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single factor 'g' which does not provide specific information about specific intelligences (Murphy and Davidshofer,1998).

Table 2.4.   Thurstone's (1938) primary mental abilities

i. Verbal comprehension: vocabulary, reading, comprehension, verbal analogies, etc.

ii. Word fluency: the ability to generate and manipulate a large number of words with specific characteristic quickly, as in anagrams or rhyming tests

iii. Number: the ability to carry out mathematical operations quickly and accurately

iv. Space: spatial visualizations as well as ability to transform spatial figures mentally

v. Associative memory: rote memory

vi. Perceptual speed: quickness in perceiving visual details, anomalies, similarities

vii. Reasoning: skill in a variety of inductive, deductive and arithmetic reasoning tasks.

Cattell (1963) also subscribed to multi factor theories and suggested that there are 2 components of 'g': fluid and crystallised intelligence. The theory of fluid and crystallized intelligence (Horn and Cattell, 1966) was later elaborated on by Cattell's student John Horn (Cianciolo and Sternberg, 2004). It suggested that general intelligence – such as 'g' - is not a single construct, but rather a composition of up to 100 different mental abilities. These different abilities are found to different extents in different people, resulting in different levels and types of intelligences. Horn and Cattell (1966) positioned these abilities into the 2 categories of fluid and crystallized abilities. Fluid abilities included problem-solving, flexibility, abstract reasoning and encoding of short-term memories and represented the biological potential of the individual (independent of environmental influence). Crystallized abilities were developed from educational and cultural influences and were measurable by tests of general knowledge, vocabulary or other acquired skills.

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Vernon's (1956) related approach accommodated the theories of both Spearman (single 'g' factor) and Thurstone (multiple primary mental abilities) and suggested that intelligence can comprise of abilities at various levels of generality (see Figure 2.2.).

Figure 2.2.   *Structure of intelligence (Vernon, 1956)*

TOP
'g'
*(at the highest level of generality
is 'g' as defined by Spearman)*
'major group'
*(at this next level are 'major group' factors, such as
verbal-educational ability and practical-mechanical ability)*
'minor group'
*(at this next level are 'minor group' factors, which can obtained by
subdividing the major group factors)*
'specific factors'
*(at the lowest level are 'specific factors'
again of the kind identified by Spearman)*
BOTTOM

Vernon (1956) supported this hierarchical approach to intelligence but inserted major and minor intelligence groups between Spearman's 'g' at the top of the hierarchy and specific factors relevant to singular tests at the lowest stratum. Carroll (1993) built on these strata-based intelligence theories and proposed a three-tiered model of cognitive ability (similar to Vernon's above) consisting of stratum I: 'narrow' abilities; stratum II: 'broad' abilities; and stratum III: a single 'general' ability.

2.2.1.2. Contemporary approaches to intelligence. Whether linear, hierarchic or independent, defining intelligence is a continuing scientific challenge. Through his triarchic theory of human intelligence, Sternberg (1988) argued that successful intelligence involved cognitive abilities relating to adaptiveness and problem solving with 3 distinct aspects:

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i) analytical abilities - solving familiar problems by using strategies that manipulate the elements of a problem or the relationship among the elements (e.g., comparing, analyzing)

ii) creative abilities - solving problems that require us to think about the problem and its elements in a new way (e.g., inventing, designing)

iii) practical abilities - solving problems that apply what we know to everyday contexts (e.g., applying, using).

Gardner (1983) and Goleman (1995), however, both argued that historic views of intelligence – including Sternberg's - were far too narrow and they demanded an expanded view of what intelligence is and what constitutes intelligence. Gardner (1983) developed these theories further when he created his theory of multiple intelligences (MI) and claimed that MI illuminates the fact that humans exist in a multitude of contexts and that these contexts require different intelligences. Before listing his MI constructs, Gardner (1983) explicitly qualified the following criteria for an independent intelligence within his theory:

- an identifiable core operation or set of operations

- an evolutionary history and evolutionary plausibility

- a characteristic pattern of development

- potential isolation by brain damage

- the existence of persons distinguished by the exceptional presence orabsence of specific ability

- susceptibility to encoding in a symbol system

- support from experimental psychological investigations

- support from psychometric findings.

Gardner expanded on his initial list of list of 7 independent intelligences within his

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MI theory, with an additional construct of naturalistic (1999) and a reluctant consideration of a

ninth construct - existential intelligence (2000). To date, Gardner's multiple intelligences include

the following independent intelligence constructs as displayed in Table 2.5.

Table 2.5.   *Gardner's (1983, 1999, 2000) Multiple Intelligences*

i.   Linguistic - ability to make a rapid conversion from a physical representation of
        stimuli (i.e., letters and/or other verbal symbols) to higher- level codes; ability to
        manipulate information in activated memory

ii.   Logical-mathematical - ability to generalize from specific experiences and form
        new, more abstract concepts and rules; ability to reason quickly and well; ability
        to reason quantitatively

iii.   Musical - translate written symbols into pitch, rhythm, timbre

iv.   Spatial - ability to visualize and mentally rotate a stimulus or stimulus array

v.   Bodily-kinaesthetic - control of one's bodily motions and capacity to handle
        objects skilfully

vi.   Naturalist - ability to discern differences in the living environment

vii.   Interpersonal - ability to notice and make distinctions among other individuals
        and, in particular, among their moods, temperaments, motivations and intentions

viii.   Intrapersonal - ability to distinguish and identify various thoughts and feelings
        and to use them to understand one's own behaviour

ix.   Existential/transpersonal - search for and connection with unknowns.

Building on the theory of MI, constructs have also been developed relating to other specific

types of intelligence such as that related to emotions. Emotional intelligence (EI) (Payne, 1985)

has generated substantial interest and heuristics and follows Thorndike's (1920) theory on social

intelligence that accounted for the ability to relate to other people. Research into Thorndike's

theory was developed further by Salovey and Mayer (1990). Sternberg (1985) acknowledged the

value of EI in practical situations and Gardner (1999) identified the related constructs of

intrapersonal and interpersonal intelligence. These social intelligences are now seen clearly as

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being distinct from academic intelligence (King, 2008) and underpin theories of emotional

intelligences such as emotional quotient (EQ) (Goleman, 1995).

Payne (1985) had earlier identified his main concept of EI as "one's ability to relate

creatively to fear, pain and desire, and explore many methods for developing emotional

intelligence in one's self and in others" (Title page). Salovey and Mayer (1990) developed this

concept further and created a model of EI relating to how people appraise, communicate and

utilise emotions. They went on to define EI as "the capacity to understand emotional information

and reason with emotions" (Salovey and Mayer, 1990 p. 185) and it has 4 primary capacities:

- to perceive emotions accurately

- to use emotions to facilitate thinking

- to understand emotional meanings

- to manage emotions.

Salovey and Mayer (1990) established that intellectual situations contain emotional

information alongside the cognitive process identified in traditional intelligence constructs. King

(2008) argued that Mayer, Caruso and Salovey (2000) produced evidence that EI meets

Gardner's criteria for an independent intelligence in its consistent set of abilities, its distinction

from other forms of intelligence and its developmental pattern over a lifespan. Goleman (1995)

expanded on Salovey and Mayer's (1990) model of EI; his hierarchical structure identified 5

competencies under his term of emotional quotient (EQ): (i) the ability to identify and name

one's emotional states and to understand the link between emotions, thought and action; (ii) the

capacity to manage one's emotional states; (iii) the ability to enter into emotional states (at will),

associated with a drive to achieve and be successful; (iv) the capacity to read, be sensitive to, and

influence other people's emotions and (v) the ability to enter and sustain satisfactory

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interpersonal relationships. Goleman (1995) suggested EQ has greater predictive value than IQ in matters such as high school completion. According to King (2008), this claim has yet to be proved empirically.

Although the linking of emotion and intelligence has proved controversial (Gardner, 2000 p.31), evidence from experimental psychology and psychometric research is abundant in the current literature (for example Bar-On, 1997; Freudenthaler, Fink and Neubauer, 2006; Mayer, Salovey, Caruso and Sitarenios, 2003). These social and emotional intelligences are of great importance to the workplace (Goleman, 1995) as they address: what motivates people, how they relate to work and how they collaborate and cooperate. It should therefore apply to any role involving the management of others.

2.2.1.3.   Known unknowns - questions about intelligence. The difficulty in defining intelligence was exemplified by the American Psychological Association Intelligence Taskforce (Neisser et al., 1996). This was created in response to the debate surrounding the publication of The Bell Curve (Herrnstein and Murray, 1994) which generated a tremendous amount of controversy regarding individual differences and intelligence. The purpose of the taskforce was to identify, examine and summarise relevant research on intelligence (Maltby et al. 2013). The ensuing consensual report reviewed research in specific areas: concepts of intelligence, intelligence tests and their correlates, the genetic aspects of intelligence, environmental effects on intelligence and group differences in intelligence. The report concluded with a significant list of outstanding issues regarding the field of intelligence including:

- the impact of both genetic differences and environmental factors is valid but not understood
- the role of nutrition in intelligence remains obscure
- there are significant correlations between measures of information-processing,
  speed and psychometric intelligence, but the overall pattern of these findings yields

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no easy theoretical interpretation

- mean scores on intelligence tests are rising steadily and no one is sure why these gains are happening or what they mean

- the differential between the mean intelligence test scores between people who are black or white exists but does not result from any obvious biases in test construction and administration, nor does it simply reflect differences in socio-economic status. At the time of the report, no one knew what caused this differential.

What is known from looking at the historical development is that defining intelligence concepts and constructs remains complex, important and dynamic. King (2008) goes on to claim that this historical struggle to define intelligence continues, with other new concepts being explored, promoted and questioned. These other concepts include moral intelligence - the ability to distinguish between right and wrong, representing the ability to make sound decisions that benefit not only the individual but others around them (Hass, 1998). Another contemporary concept is spiritual intelligence (SI) (Zohar, 1997), a term used to describe a set of propensities comprising perceptions, intuitions and cognitions related to spirituality and/or religiosity. This construct is used in this thesis and will now be explored further.

2.2.2.   Spiritual intelligence (SI). SI is a widely used phrase to describe perceptions, motivations, capabilities, abilities and cognitions (Emmons, 2000a). SI is a concept created by uniting the constructs of spirituality and intelligence. Spirituality on its own refers to the search for, and experience of, the sacred, ultimate meaning, higher-consciousness and transcendence; SI emphasises the abilities that draw on such themes to predict functioning and adaptation (Emmons, 2000a). Therefore, just as EI is different from emotionality, SI is different from spirituality, spiritual experiences and spiritual beliefs. In his research, Amram (2007 p.1) defined

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SI as "the ability to apply, manifest, and embody spiritual resources, values, and qualities to enhance daily functioning and wellbeing".

The subject has generated literature in a wide range of disciplines such as popular psychology, new age science, health psychology, transpersonal psychology, sociology, neurotheology and increasingly the field of work psychology (Gockel, 2004). In this body of research and postulation, there are different opinions and values placed on SI and in turn many definitions and models. The literature consistently reveals that SI is a subject that existing science appears to have difficulty quantifying and qualifying.

2.2.2.1. *Spirituality and religion: epistemological and ontological differences.*

Confusion about religion and spirituality is rife throughout the literature on SI and reasons for this appear to be twofold – firstly, as a group psychologists are famed for low levels of religious beliefs and affiliation (Ecklund and Scheitle, 2007) and, secondly, it has proved extremely difficult to explain the inexplicable (Munroe, 2010). This latter point was exemplified by Zohar and Marshall (2000) who posited that SI is an internal universal state not an external man made state. However, the construct of SI itself perpetuates these academic problems, if not augment them. As a theory, Zohar and Marshall's (2000 p.23) pioneering work on SI positioned it with elements found in Hinduism, Buddhism, Judaism and Christianity. This linking with religious denominations clouds academic argument and confuses the vitally important central definition of the term spirituality. Zohar and Marshall (2000) used these religious practices to explain elements of the concept and consecutively state that SI is not about 'being religious' (p. 8).

Emmons (2000a p.4) addressed the different concepts of religion and spirituality with regard to intelligence to support his definition:

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Spirituality is the personal expression of ultimate concern. Tillich (1957)

contended that the essence of religion, in the broadest and most inclusive sense,

is the state of being ultimately concerned - having a "passion for the infinite," a

passion that is unparalleled in human motivation. Religion "is the state of being

grasped by an ultimate concern, a concern which qualifies all other concerns as

preliminary and which itself contains the answer to the question of the meaning

of our life" (Tillich, 1963, p. 4). Similarly, Heschel (1955) depicted the search

for God as "the search for ultimacy" (p. 125), and Allport (1950) defined a

mature religious sentiment as "a disposition to respond favorably ... to objects

or principles that the individual regards as of ultimate importance in his own

life, and as having to do with what he regards as permanent or central in the

nature of things" (p. 56). Spirituality has been defined as that which "involves

ultimate and personal truths" (Wong, 1998, p. 364), and spirituality refers to

how an individual "lives meaningfully with ultimacy, his or her response to the

deepest truths of the universe" (Bregman and Thierman, 1995, p. 149).

Ironically, given the above argument, King (2008) claimed that Emmons' (2000a) own

model of SI had its foundation in religion rather than spirituality. Emmons' references to

concepts of "the sacred" and "sanctification" demonstrate this alleged confusion (Emmons,

2000a, p. 43). King (2008) continued that Emmons (2000a) was not the first to make this error,

citing that Bowling (1999) defined SI as knowledge of the sacred, based on select early Jewish

and Christian writings.

Gardner (2000) openly contended that religion is best described as a domain in which SI (if

it existed) is expressed. Gardner (1997) earlier argued that, for some people, spirituality is

indistinguishable from a belief in religion and God. The inherent problem is the lack of clear

distinction between the concepts and constructs of SI, spirituality, and religiosity and whether

one concept contains the other. King (2008 p. 40) observed that Gardner (1997) appeared also to

equate SI with spirituality and religiosity. King goes on to explain, "this is a considerable error,

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one that could be compared to equating music with musical intelligence or language with

linguistic intelligence. Rather than attempting to transform such diverse domains into an

intelligence, one must extract those aspects which are indicative of a core set of mental abilities"

(p 40). Whilst Gardner (1983 and 1999) successfully applied these criteria to other intelligences,

he failed to apply the same approach to SI. What adds to the difficulty of definition is that

spirituality can include religiosity as an expression, but religiosity does not preclude spirituality;

Zohar and Marshall (2000 p. 292) state also that SI has no necessary connection with religion

because "a very religious person may be spiritually dumb and a hard and fast atheist may be

spiritually intelligent".

Organised religion appears synonymous with group culture, group worship and group

attendance of religious services whereas personal beliefs associated with the concept of

spirituality include an individual's values, beliefs, attitudes, and individual meditation and,

possibly, prayer. Allport (1961) and Pargament (1997) also differentiated between intrinsic and

extrinsic religiosity: intrinsic religiosity refers to an internal process and altruistic motivation

with the aim of developing meaning and purpose; extrinsic religiosity refers to an external

process incorporating ego-serving motivation, based on guilt, fear and/or social pressures.

Whilst historically religiosity may have been used as a 'catch all' within related literature,

psychologists now make sharp distinctions between the religion and spirituality (King, 2008). In

teasing apart these distinctions, Koenig, McCullough and Larson (2000 p. 18) defined religion as:

"an organized system of beliefs, practices, rituals and symbols designed (a) to facilitate closeness

to the sacred or transcendent (God, Higher Power, or ultimate truth/reality), and (b) to foster an

understanding of one's relation and responsibility to others in living together in a community".

In contrast, they define spirituality as "the personal quest for understanding answers to ultimate

questions about life, about meaning, and about relationship to the sacred or transcendent, which

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may (or may not) lead to, or arise from, the development of religious rituals and the formation of community".

King, (2008) considered other definitions of spirituality in context of SI including those by Emmons (2000a), Wink and Dillon, (2002, p. 79), Love (2002) and Parks (2000), King, Speck and Thomas (2001); he concludes from a consensual perspective that:

> Religiosity is best summed up as a set of behaviours (social or private, including rituals), values, and attitudes that are based on previously established religious doctrine (including stories and symbols) and institutionalized organization [...]. Spirituality, on the other hand, is best defined as an unbounded set of personal drives, behaviours, experiences, values, and attitudes which are based on a quest for existential understanding, meaning, purpose, and transcendence. (King, 2008 p. 54).

Simplistically, the individual and personal nature of spirituality is identified, in contrast to the social construct of religion. At the same time, whilst formal religion may be an outward expression of SI, it is not a prerequisite. Allport (1961) found that more people had spiritual experiences external to religious denominations.

The religion versus spirituality dichotomy is confused further by adding the term intelligence – now there are 3 controversial terms. However, it is worth noting that this problem was also encountered by Mayer and Salovey (1993) when they began with the premise that emotions and intelligence were often viewed as incompatible because the former are perceived as an intrinsically irrational. Instead of splitting the worlds of spirituality and intelligence, as Gardner admitted of his own approach (2000), it may be wholly appropriate to view of the relationship as symbiotic and interdependent, as Goleman did with his approach to EI (1995).

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2.2.2.2. Models of spiritual intelligence. In attempting to further understand these academic debates about qualification, commentators have sought to identity and categorise the traits, abilities and cognitive processes that explain SI. The most celebrated definition of SI was posited by Zohar and Marshall (2000 p.4) following Zohar's conception of the term (1997 p.14) when they first defined the phrase spiritual quotient (SQ) as a concept of SI:

> The intelligence with which we address and solve problems of meaning and value the intelligence in which we can place our actions and our lives in a wider, richer, meaning-giving context, the intelligence with which we can assess that one course of action on life's path is more meaningful than another. SQ is the necessary foundation for the effective functioning of both IQ and EQ. It is our ultimate intelligence.

Zohar and Marshall (2000) have proposed also that SQ sits at the top of a triachic intelligence structure, based on the brain's tertiary processes. Below SQ is EQ (Goleman's 1995 EI quotient), representing associative or primary processes. At the bottom of the hierarchy is rational intelligence or that which is represented by IQ, resulting from the brain's secondary processes (see Figure 2.3.). This system positions that whilst IQ has become concerned with measuring general intelligence and its associated capabilities, Goleman's (1995) EQ encourages individuals to assess the situation that they find themselves to be in and to behave appropriately within it – suggesting that emotional awareness can lead to emotional management which, in turn, can then allow individuals to think coherently and thereby choose more satisfactory outcomes. Zohar and Marshall's (2000) definition of SQ, however, relates to whether an individual wants to be in this situation in the first place and what its significance is to one's life. It has a transcendental function in that it allows the individual to consider meta physical dimensions to any given situation.

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Figure 2.3.   *Triarchic system of intelligence (Zohar and Marshall, 2000)*

Intelligence	Function
Spiritual Intelligence **SQ**	What I am
Emotional Intelligence **EQ**	What I feel
Rational Intelligence **IQ**	What I think

Emmons (2000a) suggested evidence for SI as a set of interrelated abilities, basically trading with Gardner via his criteria for an independent intelligence (see Table 2.5 p. 50 this thesis). In relation to spirituality, he proposed that SI describes the mental abilities which underlie many components of spirituality. Emmons (2000a pp8-9) expanded on his theory by referencing motivation, cognitions and intelligence; he argued that spirituality may be conceptualised in adaptive cognitive-motivational terms and includes a variety of problem-solving skills useful to everyday life:

> "spirituality is an enormously rich and diverse construct that defies easy definition, simple measurement, or easy identification in the life of another person. My thesis is twofold: a) that there exists a set of skills and abilities associated with spirituality which are relevant to intelligence, and b) individual differences in these skills constitute core features of the person".

Emmons (2000a) developed his hypothesis by identifying the core operational components of SI as:

a) the capacity for transcendence

b) the ability to enter into heightened spiritual states of consciousness

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c) the ability to invest everyday activities, events, and relationships with a sense of the sacred

d) the ability to utilise spiritual resources to solve problems in living and

e) the capacity to engage in virtuous behaviour (to show forgiveness, to express gratitude, to be

   humble, to display compassion).

Emmons' (2000a) model of SI was developed further by Kathleen Noble (2000, 2001). Describing SI as "an innate human ability" (Noble, 2001 p.3), Noble (2001 p. 46) agreed with Emmons' model and added additional core abilities: firstly, the conscious recognition that physical reality is embedded within a larger, multidimensional reality with which people interact on a moment-to-moment basis; secondly, the conscious pursuit of psychological health, not only for ourselves but for the sake of the global community. Noble contested also that spiritual experiences are likely to contribute to the continuous development of a SI because spiritual abilities leave individuals more open to spiritual experiences, thereby creating a causal loop. Therefore spiritual behaviours are outcome variables of SI, whereas spiritual beliefs, values, and attitudes may arise from spiritual experiences, heightened SI, or a combination of both. Noble's (2000) research with a small interview sample ($n9$) concluded that spiritual experiences were vivid reminders of transcendent aspects of consciousness and were necessary for the development of SI, offering a potential explanation of the interrelationship between SI and phenomenological experiences. Noble (2000, 2001) however, like Zohar and Marshall (2000) and Emmons (2000a), struggled to cite objective empirical support for the additional core abilities that she added to Emmons' list of capabilities.

Vaughan (2002) agreed with Noble's (2000, 2001) theory that phenomenological spiritual experiences may contribute to the development of a SI. Vaughan (2002 p.19) went on to qualify SI as: the capacity for a deep understanding of existential questions (such as who am I?; why am I here?; what really matters?); the capacity to recognise multiple levels of consciousness; the

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awareness of spirit as 'the ground of being' and 'the awareness of one's relationship to the transcendent, to all people, and to the earth'. Once again, there is a lack of empirical external validation of these capacities. Vaughan (2002) claimed that all people have the potential to develop SI as it is innate and can be developed through various techniques, practices and training.

Wolman (2001), in a similar vein to Apter (1985) and Emmons (2000a), also equated ultimacy to the concept of spirituality and defined SI as the human capacity to ask ultimate questions about the meaning of life, and to simultaneously experience the common connections between human beings. His Psycho-Matrix Spirituality Inventory (PSI) is an 80-item self-report measure on a 4-point Likert-type scale that attempts to quantify SI. However, many items in the PSI lack face validity and Wolman (2001) does not provide any predictive or discriminant validity in support of the PSI (King, 2008).

Nasel (2004) suggested the application of SI for existential understanding about meaning and purpose. Like Zohar and Marshall (2000 pp128-135) before with their use of the Myers Briggs Type Indicator and Holland's work on the theory of careers to measure SQ, Nasel included confusing elements relating to experiences and personality type in addition to cognitive factors. Nasel's (2004 p. 48) work does not identify such a set of core abilities but identified the following broad capacities associated with SI:

- deliberation over existential questions;

- search for meaning in life;

- concern over how to pray or meditate effectively;

- development of a sense of purpose in life;

- development of a relationship with oneself;

- becoming attuned to a Higher Power and its role in one's life.

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More recently, a grounded theory approach was undertaken by Amram (2007) in order to investigate SI. Amram's (2007 p. 1) underlying assumptions reflected that of traditional intelligence theorists - that SI "can be differentiated from spiritual experience (e.g. a unitary state) or spiritual belief (e.g. a belief in God)". His preliminary research involved 71 interviews with individuals who were described as adaptively embodying spirituality in daily life. Participants, many of whom were spiritual teachers, encompassed 10 major spiritual traditions, ranging from Christianity and Buddhism to Taoism and eclectic personal integration. Amram (2007) identified 7 major SI themes in his research: (1) meaning (experiencing personal meaning and purpose in daily activities); (2) consciousness (trans-rational knowing, mindfulness and practice); (3) grace (trust, love, and reverence for the sacred); (4) transcendence (holism, nurturing relationships and connections); (5) truth (acceptance, forgiveness and openness to all truth);(6) peaceful surrender to Self (egolessness, accepting one's true nature) and (7) inner-directed freedom (liberation from attachments and fears, discernment, integrity). This approach attempted to capture the idiosyncratic reality of SI. Amram (2007) did not focus on solely meeting Gardner's' independent intelligence criteria (Gardner, 1983) but rather accepted the themes at face value to explain his construct of SI.

Amram and Dryer (2008) developed their self reporting measure from Amram's (2007) initial model of SI. The Integrated Spiritual Intelligence Scale (ISIS) uniquely, with regard to this thesis' concern for management competencies, provides an insight into the use of SI within the world of organisations by including business managers and MBA students amongst its existing norms. The ISIS is composed of 83 items measuring 22 subscales: beauty, discernment, egolessness, equanimity, freedom, gratitude, higher-self, holism, immanence, inner-wholeness, intuition, joy, mindfulness, openness, practice, presence, purpose, relatedness, sacredness, service, synthesis and trust. Although the list is long, Amram and Dryer (2008) attempted to

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compensate by organising the 22 subscales into 5 theoretically-derived higher order domains: consciousness, grace, meaning, transcendence and truth.

More recently, King (2008 p. 56) defined SI as a set of mental capacities which "contribute to the awareness, integration, and adaptive application of the nonmaterial and transcendent aspects of one's existence, leading to such outcomes as deep existential reflection, enhancement of meaning, recognition of a transcendent self and mastery of spiritual states". He named 4 core components of SI and described these as: (1) Critical Existential Thinking which is the capacity to critically contemplate the nature of existence; (2) Personal Meaning Production described as an ability to construct personal meaning and purpose; (3) Transcendental Awareness and the capacity to identify transcendent dimensions and (4) Conscious State Expansion - the ability to enter and exit higher spiritual states of consciousness at one's own discretion as in deep contemplation, meditation and prayer.

2.2.2.3. Does SI qualify as an independent intelligence? Having cited key models explaining SI, it is important to explore the validity of these models and it is evident from the literature that Gardner's (1983) criteria for an independent intelligence has provided the most thorough testing ground and irresistible academic benchmark for researchers.

In spite of citing different criteria for qualifying an independent intelligence, Emmons (2000a) hypothesised that SI did meet Gardner's (1983, p. 8) academic criteria for inclusion as an independent intelligence, writing "my impression is that a narrow definition of spirituality led Gardner to a premature dismissal of the possibility of considering spirituality as a form of intelligence". In spite of his dismissal of SI, Gardner (2000) conceded to accepting what he terms 'existential' intelligence as half-proven. Specifically, Emmons went on to test whether SI meets each of Gardner's criteria for an independent intelligence. Along with Emmons (2000a),

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Edwards (2003), King (2008) and Zohar and Marshall (2000) also used Gardner's criteria as a testing ground for their own models. These academic debates will now be reviewed.

       2.2.2.3.1. Cognitive abilities and core operations. All the models of SI cited in the previous section list capabilities and capacities in fulfilling Gardner's first criteria for inclusion as an intelligence. However, within these models, there are discrepancies: Emmons' (2000b) admits that he failed to identify specific abilities, whilst Nasel (2004) describes capabilities rather than cognitive abilities; Vaughan (2002) also failed to identify core abilities and instead explained a series of existential questions evoked by SI focused on problem solving. However, Zohar and Marshall (2000 p. 263) posited that the core capabilities of highly developed SQ include flexibility, self awareness, resilience, transcendence, benevolence, holisticism and field independence. Whilst this provides a list of identifiable core capacities and outcomes, the authors offered no valid research to support these.

       King (2008) believes Amram's (2007 p. 50) themes more accurately and broadly define the "manifestation of a lived spirituality" through daily practice. Whilst this may avoid proving SI through cognitive ability, Amram's approach respected the view of the expert individual *living* the concept and thereby allows the integrity of his sample to inform his research . In this way, he is able to capture the essence of broader phenomena – beyond existing intelligence concepts that have failed to quantify the concept of SI to date. Amram did not attempt exclusively to align his model within Gardner's (1983) intelligence criteria.

       King (2008 p. 164) focused his post modern SI construct directly on adaptiveness and problem solving that utilises a set of specific abilities: Critical Existential Thinking allows the individual to question the source of personal crisis and to seek suitable resolution by firstly acting as a coping mechanism and then allowing analysis to generate options and consider outcomes.

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This ability is adaptable within the wider contexts of other life crises, including substance-related disorders (King, 2008 p. 84). This ability 'right-sizes' problems, placing them within a meaningful context that, in turn, stimulates further cognitive processes within King's second ability, Personal Meaning Production. This ability allows the individual to create meaning and purpose within existential problems and stressful situation. King (2008 p. 61) posits Personal Meaning Production "acts as a coping method by allowing an individual to construct meaning and purpose within the stressful situation, thereby transforming the stressor and reducing its negative impact leading to a solution that considers the meaning and purpose of the dilemma itself". Associating meaning with problems provides a problem solving arena by enabling a goal setting approach which previous intelligence theories identified as part of adaptiveness and problem solving (Emmons, 2000a; Sternberg 1997a).

King's (2008) third cognitive ability is Transcendental Awareness that, at times of stress and crisis, is highly adaptive in allowing the individual to self transcend and improves wellbeing by increasing "awareness of wholeness and integration among all dimensions of one's being" (Coward and Reed, 1996 p. 1 cited in King, 2008). This ability creates coping contexts for resolving problems thereby producing adaptive solutions.

King differentiates between the abilities of Transcendental Awareness and his fourth component, Conscious State Expansion. This last ability to enter higher states of consciousness has distinct elements; firstly, there is a voluntary cognitive process which implies mental control and, secondly, the experience of a higher state (King 2008 pp92-3). This construct is developed from the phenomenon of peak experiences, which Maslow (1964 p. 76) associated with problem solving and adaptiveness and he applied this ability to recovery from alcoholics when he wrote: "It is my strong suspicion that even one such experience might be able to prevent suicide, for

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instance, and perhaps many varieties of self-destruction, e.g., alcoholism, drug-addiction, addiction to violence...".

However, in order to meet Gardner's first intelligence criterion (1983), the adaptiveness of these core abilities needs proving. The literature contains many examples of the adaptiveness of SI particularly within the domain of problem solving, as demanded by the likes of Gardner (1997) and Sternberg (2003). As examples, a study by Mascaro and Rosen (2006 p. 183) identified the ability to derive meaning from one's environment, positing that this ability is adaptive in a variety of instances such as measures relating to stress, depression and neuroticism, arguing that spiritual meaning acts as "a buffer against the effects of stress on well-being". Piedmont (2004) found that spiritual transcendence played a significant role in substance abuse recovery. There has also been a wide variety of psychological investigations into the fields of meditation and prayer and the associated adaptive benefits (Maltby, Lewis and Day, 1999). The literature reviewed includes research on the adaptiveness of spirituality as a critical component of health-related adaptability (Jones, 1991); this body of research suggests a relationship between spirituality, life purpose, life satisfaction, health, wellbeing, lower psychological distress and longevity (Abdel-Khalek, 2007; Baider et al., 1999; Elmer et al., 2003 ; George, Larson, Koening and McCullough, 2000; Holland et al., 1999; Koenig et al., 2000).

Further generalisablity is cited within the literature on SI as spirituality contributes significantly to problem solving by providing an effective coping mechanism (Nissim, 2003; Matheis, Tulsky and Matheis, 2006) and positive outcomes have been associated in cases of mental health such as suicide survivors (Fournier, 1998) and coping with death and bereavement (Greeff and Human, 2004). In terms of dependency issues, it has been found that spirituality plays a significant role in recovery from alcoholism (Carrico et al., 2007; Ferri et al., 2006;

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Galanter, 2007; Kohn, 1984; Poage et al., 2004). Piedmont (2004) found also significant

correlations between aspects of spirituality and substance abuse recovery ratings (rs = .29 to .55).

However, it is noticeable that the SI literature tends to claim adaptiveness in context of

spirituality as opposed to the concept of SI. Whilst it can be seen that spiritual issues have a

substantial role to play on the brain and mind, research testing SI constructs in real life situations

– such as how it informs the organisational function of managers - is lacking. Regarding

adaptiveness at work (an exact area of interest to this thesis) there has been limited scientific

research linked with SI: Duffy and Blustein (2005) observed positive relationships (rs = .23 to

.26) between career adaptability and both spirituality and intrinsic religiosity; Trott (1996)

studied workers within a leading financial organisation and findings indicated positive

correlations between spiritual wellbeing and general self-efficacy. Richards (2010) recently

investigated how spirituality influences those individuals in helping careers.

2.2.2.3.2. An evolutionary history and evolutionary plausibility. Organised religion has

developed to meet a specific evolutionary challenges including attachment, coalition formation,

social exchange, altruism and mate selection (Kirkpatrick, 1999; Wilson, 1978; Pinker; 1997).

Studies of behavioural genetics have suggested that religious attitudes are hereditary (D'Onofrio,

Eaves, Murrelle, Maes and Spilka, 1999). In terms of neurobiological evidence, Gardner (1933)

argued that specific brain structures have developed that correspond with different types of

intelligence. In this context, Zohar and Marshall (2000) expanded upon the evidence of neural

oscillations in the frontal lobes that resonate when stimulated by spiritual considerations and this

evidence is used in support of the God Spot theory (Llinas and Ribery, 1993); D'Acquili and

Newberg (1998 and 1999) also suggested the existence of distinctive neurotheological systems.

These theories are referred to in more detail shortly in this section.

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Emmons (2000a) suggested that just as language and social structures evolved to promote interpersonal relationships and evolutionary survival, religions evolved to express evolving spiritual abilities in human beings; Rossano (2006) posited that archaeological evidence points to this spiritual and religious evolution developing swiftly when human beings evolved towards an egalitarian lifestyle. He continues that this development caused a consecutive evolutionary 'jump' in SI, hinting that spiritual abilities may be correlated to the development of more permanent human communities and societies. King (2008) argued that this concurs with Weisskopf's (1963) suggestion that existential crises are a more recent psychological phenomenon particularly in western cultures, in turn suggesting that the reduction of basic survival concerns may have facilitated greater existential contemplation of meaning and purpose, contributing to the development of abilities related to SI.

2.2.2.3.3. Susceptibility to encoding in a symbol system. This criterion of Gardner (1983) exposes the difficulties in expressing spirituality through symbolic description in an attempt to communicate the ethereal. The mere difficulty in forming visual representations of spiritual concepts makes this particular criterion more susceptible to the utility of a wide variety of symbol systems (Gockel, 2004). Symbols are used universally to depict religious figures, such as The Buddha figure, the Crucifixion, the devil, the Star of David and the Christian fish symbol. These symbols, and the doctrines they represent, help communicate spiritual phenomena and related behaviours (Love, 2002).

Gardner (1999) contrasted domains and symbols – he explains the former as a cultural arena for certain mental abilities to be employed, while symbol systems require specific mental ability to evolve in the first place – both are interrelated but independent facets. In this way, he argued that religions are domains where spirituality may be expressed. Identifying SI through bespoke symbol systems, beyond existing religious symbols, is difficult as pure spirituality –

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ultimate concern – may be beyond symbolisation in academic terms. Zohar and Marshall's Lotus

of the Self II symbol system as an expression of SI (2000 p. 150) demonstrates this difficulty of

communication (see Figure 2.4).

Figure 2.4:   SI Symbol - Lotus of the Self II (Zohar and Marshall, 2000)

KEY

EE ≈ Holland types
EE ≈ Cattell motives
Ee ≈ Jung archetypes • planetary gods
1 6 ≈ Chakras
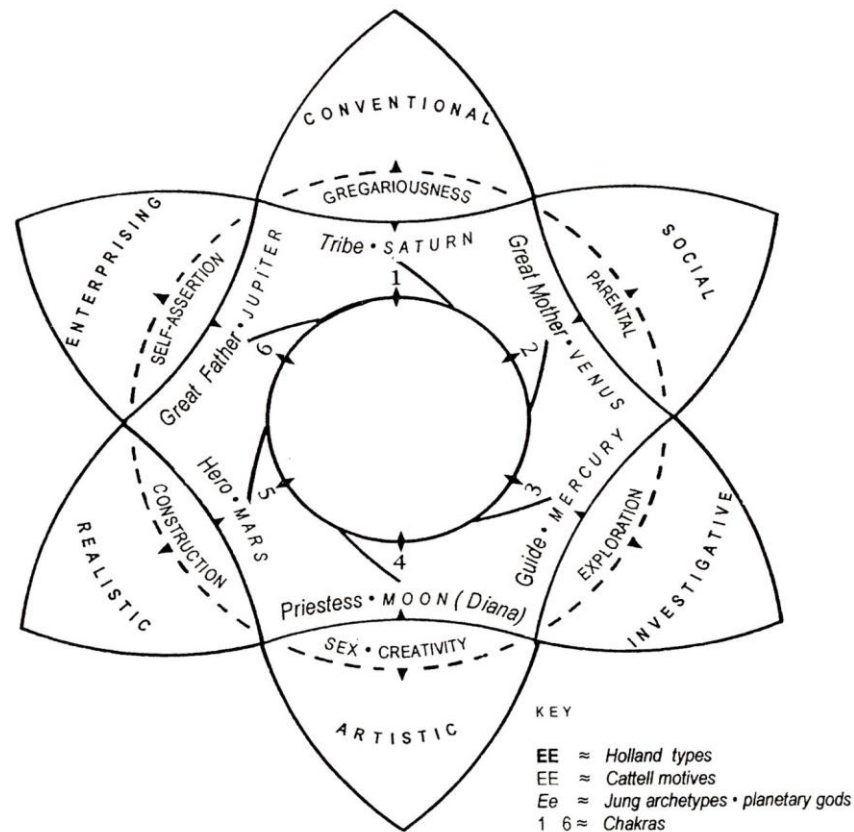
2.2.2.3.4. A characteristic pattern of development. Fowler (1981) and Levenson and

Crumpler (1996), are cited by Emmons (2000a p. 15) as providing evidence for this criteria:

adult spirituality has produced a variety of theories and research (Gockel, 2004; Neal, 1998;

Weibust and Thomas, 1996). Emmons (2000b) argued that there are differing levels of expertise

or sophistication in spiritual abilities, from novice to expert, as there are in other systems of

knowledge cited by Gardner in his own work (1997).

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Theorists concurring with this characteristic pattern of development include Piaget, Jung and Erikson. Piaget's (1963) theory of development posits that, in childhood, faith is characterised by a belief in universal justice, reciprocity and anthropomorphic deities. In a series of experiments, Keleman (2004) demonstrated that American and British pre-school children at least have propensities to see things in the natural world as purposefully designed and that children may be particularly receptive to the idea of a creator deity. In midlife, Jung (1978) contended that individuals develop self transcendence abilities as they explore the more spiritual aspects of the self, which leads to higher levels of self-realization. In old age, Erikson's (1982) theory of ego development described later adulthood as a time to attain a sense of integrity, wisdom and satisfaction with one's life leading to an acceptance of death (Erikson and Erikson, 1997).

King (2008) supported these theories by arguing that childhood has isolated incidents of spiritual experiences that help develop the intellectual abilities of his SI model; adolescence accommodates the development of all spiritual capacities as abstract reasoning is tested and evolves in context of Personal Meaning Production (one of Kings' (2008) SI components); in later adulthood, abilities develop further as awareness of the transcendent self leads to self actualisation (see Maslow, 1964).

In exploring the development of SI qualities, Zohar and Marshall (2000) identified ways of developing SQ. In doing so, they imply that the concept is developmental and attainable through specific states and practices such as becoming aware of where an individual is presently in their lives, a strong desire to change, reflection on one's own centre and what are the deepest motivations of people.

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2.2.2.3.5. The existence of persons distinguished by the exceptional presence or absence of the ability and potential isolation by brain damage. Gardner in his work refers to people of great spiritual character (1997) and others (Zohar and Marshall, 2000; Emmons, 2000a) cited individuals in the literature as exemplars of spirituality including Gandhi, Martin Luther King, Mother Teresa, Nelson Mandela and Diana, Princess of Wales. Whilst these people were all public figures, they were never measured for SI and their personal human limitations have been ignored in the literature. Some of these exemplars, such as Diana, Princess of Wales, may even appear romantic suggestions. This romanticism features in various stages of the debate, with Gardner (2000) repeatedly accusing Emmons (2000a) of including behaviours as evidence because they are admirable – not valid - capabilities.

However, with regard to SI, Gardner claimed also that it is not the privilege of special gurus or prominent humans (1997). This position supports Maslow's (1964 p. 29) earlier broader point that "all or almost all people have or can have peak-experiences". Sternberg (1988) argued also that examples of average people when examining intelligences and mental capacities should be a requirement for proof of mental capacity. If academia cannot agree what average look like, it cannot agree what exemplary performance looks like.

Identifying spirituality in a person is intrinsically difficult; 'virtuous behaviours' was an earlier ability cited by Emmons (2000a) and later removed by him (Emmons, 2000b) because it was contested as unproven by Gardner (2000) as an outcome variable of SI. These virtuous behaviours included humility and, as such, a humble person's qualities with regard to spirituality might be invisible – if they are truly humble. Whether SI qualities are identifiable is a valid question which the literature reviewed fails to answer. Edwards' (2003) perception was that the argument for displaying SI qualities in exceptional individuals such as mystics and leaders would

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be stronger if the individuals being proffered as exceptional exhibited average performances in

the other intelligences in Gardner's (1983) MI Theory.

However, where the literature to date fails most noticeably is proving Gardner's

intelligence criterion of identifying what happens with the absence of SI – there is a noticeable

void of academic consensus on either side. For example, whereas linguistic intelligence can be

argued clearly by way of the impact of a stroke on an individual's capabilities – brain damage –

this theory of damage or absence is not argued when it comes to SI. It would seem logical to cite

evil as an example of psychopathy caused by an absence of SI but not all people lacking SI are

necessarily evil. The academic challenge still rests on proving SI in the first place in order to

demonstrate what the removal of the construct looks like. If the literature fails to accept SI as a

valid intelligence through consensus, it simply cannot demonstrate the features associated with its

removal.

Research and theories have attempted to explore what is lost in adaptiveness and problem

solving abilities when a construct such as SI is missing: Jung (1956 p. 41) stated that any

psychoneurosis "must be understood ultimately, as a suffering soul which has not discovered its

meaning". Zohar and Marshall (2000 pp166-70) acknowledged clinical illnesses associated with

such conditions including bi polar conditions, chemical dependence, paranoia, fatigue, eating

disorders and psycho pathological illnesses associated with fragmentation and meaninglessness

such as schizoid disorientation.

2.2.2.3.6. Support from psychometric findings. Inventories to measure spiritual and

religious factors proliferated at an alarming rate (Emmons, 2000a). An important consideration

for proving any intelligence or human ability is its measurement, although Boring's classic

caution (1923) should be noted before any venture into this scientific criterion - 'intelligence is

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what the test tests'. This observation provides a succinct insight to the limitations of

psychometric psychology and it would appear to be applicable especially to intangible concepts

such as SI. Emmons (2000a p. 15) echoed this caution: "there exists no measure of spiritual

intelligence, per se. I am sceptical that an adequate self-report measure could be easily

constructed; on the contrary, it would be quite ill-advised to attempt to gauge someone's spiritual

IQ" . Zohar and Marshall (2000 p. 276) concurred, stating "unlike IQ, which is linear, logical

and rational, spiritual intelligence cannot be quantified". Wolman (2001) agreed but also

accepted that this vagueness is a necessary part of a progressive landscape so as to gain

consensus on causal mechanisms and outcome variables before attempts to measure the construct

empirically can succeed (although his own psychometric construct items was criticised by King

(2008) for lacking face validity).

The need for empirical measurement instruments is accepted strongly in the literature, and

the way the measures are developed and constructed can vary from qualitative approaches such

as Amram and Dryer's (2008) ISIS through to MacDonald's (2000) Expressive Spirituality

Index, which contains a 'cognitive orientation to spirituality' dimension. The use of the phrase

'orientation' in this measure of SI exemplifies the continuing debate about whether a test

measures phenomena, awareness and/or abilities or capabilities.

King (2008 p. 111) concluded that "It should be reminded that after a century of serious

philosophical and scientific inquiry, no clear consensus exists on human intelligence in general,

yet IQ testing endures". This echoes still the position of the influential APA Intelligence Report

(Neisser et al., 1996). Emmons (2000b p. 15) voiced similar reservations in the context of SI

writing: "a scientific consensus on the viability of the construct must first be established before

measurement efforts are undertaken. Until such a time, SI might be better be treated as a

potential" .

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As an example of the challenges of quantification, Zohar and Marshall's (2000) concept of SQ used existing measures in an attempt to fulfil psychometric credibility, namely through the Myers Briggs Type Indicator, Holland's career preference tests and Cattell's factor analysis-based tests on motivation and personality traits. The use of existing measures is unsatisfactory in that it negates specific construct validity. The authors admitted as much when they talk about 're-jigging' these existing psychometric constructs (Zohar and Marshall, 2000 p. 129); for example, the authors claimed that Jung's 'extroverted feeling type' corresponds with Holland's 'social type' and that Holland's 'artistic type' corresponds to Jung's 'introverted perception' (see Figure 2.4 p. 69 this thesis). The reference to Cattell's work is also poorly constructed, acknowledging 12 basic human motives (according to Cattell) and then dismissing or renaming some of his facets.

Nasel (2004 p.75) posited that SI can be gauged by examining "subjective descriptions of an individual's spirituality, belief system, values, goals, and spiritual experiences (and personal interpretations of these), and the way in which these have been applied and have contributed to personal development". Nasel's (2004) Spiritual Intelligence Scale (SIS) is a 17-item self-report measure of SI rated on a Likert scale and items are all positively worded and designed to assess behaviours and attitudes rather than specific beliefs. The scale ultimately fails to be conclusive because, in spite of proven reliability and construct and predictive validity, the SIS was designed to measure SI from the perspectives of Christianity and New Age/individualistic spirituality (King, 2008). Nasel also failed to make the distinction between spirituality and SI and also contradicted conventional intelligence theory that distinguishes intelligence from experience, behaviour and attitude (Gardner, 1983; Mayer et al., 2000; Sternberg, 1997a). This failing haunts the SI literature where semantic disagreements take place between phenomenological evidence and intellectual qualities.

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Amram and Dryer's (2008) Integrated Spiritual Intelligence Scale (ISIS) was developed from Amram's (2007) work and is composed of 83 items measuring 22 subscales organised under 5 higher order domains (see page 62 above and Appendix H p.XXXVII). The internal consistency, reliability and convergent validity of the ISIS were all well-demonstrated in preliminary studies (Amram and Dryer, 2008). The ISIS predicted satisfaction with life and correlated with existing measures of spirituality. ISIS scores were significantly different among the different norms used: spiritual teachers and business leaders who were nominated for their embodiment of spirituality in daily life scored higher than other groups such as MBA students, even when controlling for other confounding variables (this thesis will contribute to this debate further when it discusses its ISIS findings).

King's (2008) SI model used an 84-item spiritual intelligence self-report inventory (SISRI) and reduced the measure to a 39-item scale in his second study. The final version of the scale, the SISRI-24, displayed excellent internal reliability and a good fit to his proposed 4 factor model of SI (King, 2008) introduced earlier. However, the demographic restriction of his samples for his research (study 1 n619 undergraduates and study 2 n305 undergraduates) should be noted with regard to intelligence development patterns (Gardner, 1997), multicultural application and questions about generalisability. Whilst the samples are of an appropriate size, using university students within a traditional age range can skew adaptive problem-solving issues in terms of health, relationships and work environments – young people may have limited experience of these arenas. Further independent evidence of validity is required for King's measure.

Limitations of psychometric instruments are exposed further in attempts to measure SI. It is worth pointing out the confusion between outcome variables and causal attributes in these SI constructs; Emmons' (2000a) virtuous behaviours were ultimately removed from his original

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model for this reason. These virtuous behaviours included forgiveness, humility, gratitude and

compassion – all cited as outcome variables of SI, not causal mechanisms. Zohar and Marshall

(2000) made the same error with their indications of SI such as: flexibility, the quality of being

inspired by vision and values, a reluctance to cause unnecessary harm and field-independence for

working against convention. Noble's (2001) construct and Amram's (2007) 7 dimensions of SI

also fail to tease apart causal mechanisms from outcome variables. However, it is possible that

mechanisms leading to SI and the outcome variables could be working within a causal loop

which leads to continuous development of the same criterion (Greeff and Human, 2004; Duffy

and Blustein, 2005); King (2008) does not accommodate this possibility fully in his criticisms or

theories. This psychological confusion within the literature again demonstrates the difficulties of

distinguishing between spirituality, SI, phenomenology and intelligence constructs.

           2.2.2.3.7. Scientific evidence and support from experimental psychological

investigations. James (1902) began to address the nature and biological origin of spiritual

experiences and religion through a contemporary approach combining scientific methods to

explain the relationship of religiosity with developmental and evolutionary psychology (British

Psychological Society, 2011). However, whether these matters can be explained by science is a

question that pervades the literature; Zohar and Marshall (2000 p. 11) argued that SQ (their

concept of spiritual quotient) is actually beyond other forms of intelligence in that it is a super

intelligence: they claim that it is "beyond the ego, is not culture dependent, it does not evolve

from existing values. SQ is prior to all specific values and to any given culture". However these

commentators, like King (2008), then precede to attempt to validate SI through Gardner's and

Sternberg's (1990) existing criteria for intelligence which includes providing scientific findings

and citing neurological research. If SI is prior to intelligence (Zohar and Marshall, 2000 p. 11)

and is "the ultimate concern" (Emmons 2000a – Title page), arguably it is not intelligence as we

know it within a psychological construct.

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Newberg and Newberg (2010 p. 119) expanded on this subject: "The challenge for science is to help us better understand the nature of this inspiration by considering the neurobiology underlying such experiences". That spirituality and the mind are related is not necessarily the debate within the literature; the scientific debate appears to be twofold: firstly whether this relationship creates an independent intelligence and, secondly, which way the causal arrows flow – does the brain create spirituality or does spirituality create the brain. Or is the relationship inter-dependent? Newberg and Newberg (2010 p. 120) argued further that "the field of neurotheology already supports the notion of a complex synergistic interaction between spirituality and the brain – along with psychology, medicine, and sociology, philosophy, religious studies and theology, we can see that this debate requires a multi-disciplinary approach". The literature reviewed supports this position and reveals that a single field alone cannot solve this conundrum. A post modern approach to research may, therefore, be justified in this thesis.

Specific experiments by Persinger (1983), Ramachandran (1998) and Ramachandran, Blakeslee and Sacks (1999) have attempted to identify a neurological centre which has been related to the existence of God. The research measured temporal lobe activity related to the human consideration of wider meaning and value. The research has concluded that the 'God Spot' may indeed exist as an isolated module of neural networks in the temporal lobes based on the response of this brain area to certain stimulus. This suggests that related beliefs may be hard wired into the brain. This function, it is argued, has evolved to fulfil an evolutionary purpose which would then justify placing SI within the MI Theory (Gardner, 1983) because of the biological and evolutionary criteria for intelligence.

Newberg and Waldman's (2009) research on brain imaging studies has also clearly shown how different religious and spiritual phenomena affect the brain and that this strongly correlates with research on the 'God Spot' research. Specifically, research has revealed altered brain

activity during heightened states of consciousness (Cahn and Polich, 2006; Farrow and Hebert, 1982; Tart, 1975; Newberg and Iversen, 2003; Persinger, 1983; Vaitl et al., 2005). In particular, scientific evidence within the literature focuses on the amygdala, the hippocampus and limbic system which are found to be related to higher states of consciousness and peak experiences. However, the 'God Spot' hypothesis alone cannot be a sufficient condition of proving SI as the temporal lobes have only been associated with spiritual experiences, not abilities. Newberg and Waldman (2009) concurred that increased temporal lobe activity is related to spontaneous spiritual/religious experiences, while increased frontal lobe activity is related to controlled meditative states and the ability to enter such higher states of consciousness. This relates to mental ability, as opposed to experienced phenomena, which must be kept distinct from human intelligence in the multiple intelligence debate.

The main supportive argument within the realms of neuropsychology is that specific neural oscillations are present as a neurological expression of SI (based on the experimental work of Deacon, 1997). Zohar and Marshall (2000 p. 58) stated that SI represents unitive thinking as opposed to the serial thinking (aligned with IQ) or associative thinking (aligned with EQ). This unitive thinking is linked with neural frequencies and oscillations that pull together neurons (Pare and Llinas, 1995) and these oscillations govern computation of sensory stimuli. The experimental work of Singer and Gray (1995) identified the neural oscillations in the 40 HZ range which is the frequency associated with SQ; this research found that:

a) at this level (40 hz) the brain mediates conscious information processing between the serial and parallel neural systems as illustrated by Damasio's work (1996)

b) the oscillations are the most likely neural basis of consciousness itself and of all unified conscious experience

c) the oscillations are the neural basis for the higher order unit of intelligence.

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Critics such as Crick (1994) previously dismissed such neuroscientific evidence for spirituality saying that it was "hard to believe that a vivid picture of the world really depends entirely on the activities of neurons that are so noisy and so difficult to observe" (cited in Zohar and Marshall, 2000 pp67-68). However, psychology and neurobiology have continued to explore the relationship between spirituality, the mind and brain and whether these areas are distinct and independent (D'Aquili and Newberg, 1999). Newberg and Newberg (2010 p. 119) observed that "it would seem difficult for purely reductionist or materialist perspectives to address or explain all aspects of religious and spiritual phenomenon". Vicariously, this position further implies the validity of post modern mixed method approaches to related research such as this thesis, rather than a positivist epistemology considered in the next chapter.

2.2.2.4. Is SI a weak psychological construct or a psychological construct in development? Bearing in mind the complicated semantics regarding the definition of SI, there is no consensus as to whether SI meets the criteria for an intelligence, not least of all because the criteria for an independent intelligence construct also lacks consensus – the latter point in itself making consensus on SI impossible. Gardner's historic (2000) position is positivist in his questioning whether the subjective experience of spirituality constitutes an intelligence.

Emmons' (2000a) definition of SI may be nothing more than a relabeling of spirituality (King, 2008) and he consequently diluted his position by clarifying his concept of SI as a set of skills and capabilities *associated* with spirituality (Emmons, 2000b). A key issue within such debates is phenomenology versus intelligence: Gardner's response (2000 p.33) to Emmons clarified his approach :

Whether spirituality should be considered an intelligence depends upon
definitions and criteria. Emmons tends to lump together different aspects of

spirituality and also various facets of psychology. In my response, I

demonstrate the advantages of teasing these concepts apart. Those aspects of

spirituality that have to do with phenomenological experience or with desired

values or behaviours are best deemed external to the intellectual sphere.

Nevertheless, Emmons (2000b) noted that Gardner (1999) himself makes note of the

phenomenological experiences involved in peak flow associated with mathematical intelligence

and emotional states associated with musical intelligence. King (2008) reasoned that these

personal experiences are also phenomenological, citing Gardner's own position that intelligences

are often confounded with phenomenological experiences (Gardner, 1983). The arguments about

SI can lead to a conclusion that phenomena and intelligence are linked. This thesis will explore

this position further via its methods that include both the ISIS construct (Amram and Dryer,

2008) to measure SI and IPA (Smith, 1996) to explore related phenomena.

This 'linking' phenomena and intelligence was achieved in Salovey and Mayer's (1990)

model of EI despite the obvious phenomenological experiences related to this emotional ability

(King, 2008). Edwards (2003) along with Kwilecki (2000) and Mayer et al. (2000) explored the

debate further and raised concern that very little time had been used to discuss the relationship

between SI and social intelligence (Thorndike, 1920) – or in the case of the MI theory (Gardner,

1983) - the relationship between SI and interpersonal and intrapersonal intelligences. This

relationship between EI and SI is raised by Zohar and Marshall (2000), Gardner (2000), Emmons

(2000a), and Edwards (2003) who all cite Goleman's work (1995) and the work of Salovey and

Mayer (1990) in building their arguments for SI. It would appear that Gardner (2000) sees SI as

an intrinsic sub relation of interpersonal intelligence, whereas Emmons' (2000a) suggestion that

SI is the ultimate concern might imply that interpersonal intelligence fits under the greater

construct of SI.

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It should be noted that Gardner did not claim to be immovable on his position; he concluded that:

> I have considered evidence in favour of a ninth, or spiritual intelligence, only to conclude that this putative form of intelligence is problematic. In the process, however, I have become convinced that there may be an existential intelligence that captures at least part of what individuals mean when they speak of spiritual concerns" (Gardner, 2000 pp 29-30).

2.2.2.5. Summary of the literature on SI. Zohar and Marshall (2000 p. 152) contested that "modern psychology has no concept of a spiritual intelligence". They continue that "unlike IQ, which is linear, logical and rational, spiritual intelligence cannot be quantified" (Zohar and Marshall, 2000 p. 276). However, as a demonstration of the battle for clarity, chapter 14 in their book is called, interestingly, "Assessing My SQ".

Distinguishing between indicative cognitive abilities and their outcome variables aids in the understanding of spirituality in general (King, 2008), distinguishing between SI and its relationship to spirituality. At present, all of the associated variables (abilities, behaviours, attitudes, experiences and traits) are grouped together under the very broad rubric of spirituality making it difficult for scientific clarity and research consensus. However, the construct of SI in itself has helped to create a valid research field. This field currently struggles with a series of arguments of convenience – religion, spirituality, phenomena and intelligence-related evidence are used liberally by authors to strengthen their position; however, these very authors are the ones who criticise others for confusing these elements. Perhaps that is to be expected in developing new knowledge.

There seems to be little debate in the literature, however, that abilities and spiritual

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qualities are related to intelligent choices, rational behaviour and existential purpose. There is

consensus on the difficulty in defining SI. It is also concluded, however, that SI is a viable

construct, without which the human cognitive process is incomplete. Emmons (2000a, 2000b)

and King (2008) both claimed that SI meets Gardener's criteria for an independence intelligence

and, within the overall literature, SI appears to have fulfilled the criteria for an intelligence in a

piecemeal fashion.

Nasel (2004 p. 11) contended that opposition based on the popular view of intelligence as

rational is unsubstantiated, citing "the prevalence of negative or indifferent attitudes within

psychology in general toward religion and spirituality have been reflected in the under-

representation of religion and spirituality as research variables in mainstream [psychology]". Kaku

(1999) raised the question as to whether it is possible to research a subject if one has no experience

of it – echoing the position of The Catholic Encyclopaedia's (2011) claim about The Book of

Spiritual Exercises cited on page 18: some of the counter argument against SI may arise from a

lack of personal experience by those offering the criticisms. James (1902 p. 124) cautioned

"nothing can be more stupid than to bar out phenomena from our notice, merely because we are

incapable of taking part in anything like them ourselves".

It is intended by that by using SI as a construct in this research, it will provide a means of

exploring the processes that the sample experience when applying their spiritual programme in

their managerial role; at the same time, using this method might contribute new knowledge to the

debates uncovered in this last section.

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2.3. Spirituality at work

2.3.1.   Introduction to spirituality at work. The literature in the last section suggests that intelligences – in order to be intelligences – must be adaptable and applicable throughout life and this includes the workplace. This criterion applies to the concept of SI. Therefore, focus now turns to spirituality at work and, subsequently, on those tasked with leadership and management function. Spirituality at work as a field has 'significant contributions to make the workplace' (Gockel, 2004 p.175). It allows individuals to experience a more valid work experience and this has a positive impact upon their organisations (Fernando, 2005) making them more ethical and profitable. In turn, the spiritual workplace will have positive moderating affect on their workers (Fry and Slocum, 2008) via a causal loop.

Institutional and management theories have been, historically, influenced by psychology and sociology, and spirituality at work continues this relationship by integrating ideas from significant spiritual thinkers including Aristotle, Augustine, Aquinas, Buber, Kant, Frankl and James (Gibbons,1999). However, in exploring the concept, the literature reveals a battery of counter-argument acting against the concept of spirituality at work and these resistors include:

- the breadth of the subject and its pluralistic nature (Krishnakumar and Neck, 2002)

- the opposing academic approaches of spiritual and scientific disciplines that create "a joint denial of significance and validity" (Wilber,1998)

- the economic precedence that prioritises immediate financial reward over meta-physical outcomes (Gibbons,1999)

- the resultant materialistic system measured in organisational and financial status (Neal and Biberman, 2004)

- the relationship with religion (Fry, 2005)

- the idiosyncratic nature of spirituality (Howard, 2002).

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2.3.2.   Definitions relating to spirituality at work.   As already explored in previous sections, the problems of quantifying and enumerating spirituality haunt the literature. This has significant impact upon the quality of research into the field of workplace spirituality. Definitions of spirituality "conceal as much as they reveal, and maim and obfuscate while pretending to clarify and straighten up…if we fail to coin a 'rational definition', we would enter the post-modern world ill-prepared to tackle the questions" (Bauman, 1998 pp55-78). This observation is echoed by Mohamed, Hassan and Wisnieski (2001) who posited that there are more definitions of spirituality than there are researchers to write about it. Bearing in mind the super ordinate subject of this thesis, business psychology, it is important again to consider the relevant concepts and constructs, the causal mechanisms and the outcome variables associated with spirituality at work.

The definitions offered in the literature about spirituality at work include a wide range of phenomena ranging from ethereal concepts such as beauty (Khanna and Srinivas, 2000) to Levine's interpretation (1994 p. 61), who called it "emptiness - emptying oneself or creating a vessel for receiving or containing spirit". The majority of research takes the position that religiosity can be defined separately from spirituality. Galanter (2007) suggests that in considering religion, research should not restrict itself to major religious denominations as the various 12 Step programmes also construct a codified set of beliefs. In echoing the position of Neal and Biberman (2004) cited earlier, Ashmos and Duchon (2000) posited that spirituality at work is neither about religion nor about getting people to accept a specific belief system – rather, it is about workers who see themselves as spiritual beings needing spiritual nourishment, a sense of purpose and meaning and a sense of connectedness to one another and to their workplace community.

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Gockel (2004 p. 158) summarised that "spirituality in the workplace covers a broad range of phenomena, experienced both within and outside formal religious tradition, which centres on a personal experience of the sacred and one's connection to it, to others, and to life itself in the context of workplace'. Gibbons (1999 p. 2) defined spirituality at work as "a journey toward integration of work and spirituality, for individuals and organisations, which provides direction, wholeness and connectedness at work". He continued that primary types of spirituality co-exist in a framework at an individual and organisational level.

2.3.3. Spirituality at work – different levels of application. Gibbon's (1999) definition implies a symbiotic relationship: work can feed an individual's spirituality and the individual's spirituality can feed their work. Individual concepts of spirituality at work include spirituality and leadership, individual creativity, intuition and well-being at work (Gibbons, 1999). These claims are also supported later by Goertzen and Barbuto (2001) who conducted a review of the literature on individual spirituality. They argued that an individual's spirituality is expressed also in the workplace and in leadership at work. It is also associated strongly with participatory management styles (Biberman and Whitty, 1997; Groen, 2001; Uhrich, 2001):

Organisational spirituality, on the other hand, is described as the organisational journey towards the spiritual (Gibbons, 1999). This integrates both individual spirituality and the wider concerns of organisational orientation towards spiritual goals and means. Mitroff and Denton (1999a) explained organisational spirituality as 5 sub-types: the religious, recovering, evolutionary, socially responsible and value-driven organisations. The pan-organisational implications of spirituality are described by Giacalone and Jurkiewicz (2003 p. 13) as "a framework of organisational values evidenced in the culture that promotes employees' experience of transcendence through the work process, facilitating their sense of being connected to others in a way that provides feelings of completeness and joy". Organisational spirituality

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may manifest itself in a number of macro organisational initiatives. These may include policy, structure and systems. Employment terms and conditions that have been related to organisational spirituality include corporate social responsibility programmes, employee assistance programmes, flexible work hours, child care provision, gym facilities, prayer and even architecture that are all used by organisations to help the individual address their complete physical, emotional, cognitive and spiritual needs (Brandt 1996; Burack, 1999; Uhrich, 2001). These approaches are reflected at a federal level in policies such as increased parenting rights brought in under the UK's New Labour government in 2009 (UK Labour Party, 2011) and the reference by the current UK Prime Minister to Gross National Happiness and Well-Being Indices (Halliwell, 2011). Training and development also foster a commitment to the general wellbeing of the individual through personal and professional development helping to create well-balanced, multi-skilled and innovative employees (Groen, 2001; Milliman, Ferguson, Trickett and Condemi, 1999). In turn, this is seen as good business, as the triple bottom line return of people, profits and planet is increased (Fry and Slocum, 2008).

Mitroff, Mason and Pearson (1994) note the inter-dependent nature of spirituality at work in a framework that integrates the organisation, its employees, its products and processes, and the world at large. The focus of this thesis, however, is individual spirituality at work.

2.3.4.   Relationship of spirituality at work with religion. Gibbons (1999) argued that spirituality at work has religious origins that are intrinsic to the field of research and, in exploring these influences, called for more qualification of the "spirituality" of spirituality at work and, particularly, how it differs from related pre-modern and modern concepts. He suggested that all individuals have spiritual beliefs and attitudes whether conscious or unconscious. If that is the case, these beliefs and attitudes may be supportive or critical of spirituality, but they do exist.

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Many authors consider spirituality at work in a religious context. Ali and Gibbs (1998) explored the relationship between the Ibrahamic Ten Commandments with work ethics and practices. Goertzen and Barbuto (2001) note the separate nature of religiosity and spirituality but go on to explain that religiosity has been found to have a positive effect on physical health, wellbeing and quality of life. More specifically, Neck and Milliman (1994) linked religious and spiritual values and positive job performance. Fry and Slocum (2008) took a contrary position, finding that research on workplace spirituality is relatively free of the denominational politics associated with formal religions.

Whilst religion is an important source of spirituality for many people (Neal and Biberman, 2004), it is not the only source of spirituality – in a U.S. study of leaders in the area of spirituality in the workplace, Schaefer and Darling (1997) found that about 80% of the people who identified themselves as deeply committed to their spirituality were not aligned with any particular religion. This attitude towards spirituality and religion is reflected in the sample of AA participant managers used in this research.

A review of this literature reveals alternative perspectives depending of the field of academic research and includes significant acknowledgment of the impact from the psychology of religion that has attempted to explore religiosity with empirical methods. An important observation from this field regards separation theory (Spilka, Hood and Gorsuch, 1985) – whereby an individual may regard their religious and spiritual life as separate from work; this makes the research into spirituality at work almost impossible as empirical relationships between spirituality (outside work) and behaviour (inside work) would be unreliable and invalid. If this is true, then qualitative research may be a more valid research approach to this field than quantitative methods. This is considered in chapter 3 and the research questions stated at the end of this chapter.

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2.3.5.   Research into spirituality at work. One of the biggest challenges facing this subject is the lack of empirical research as most studies to date are qualitative (Tischler, Biberman and McKeage, 2002) which reinforces any positivist doubts about spirituality. In spite of this academic doubt, Garcia-Zamor (2003) suggested that 'spirited workplaces' significantly outperformed organisations with less robust cultures over the long-term. There are a number of studies that have attempted to develop measurement instruments to identify the impact of spirituality on organisational and individual performance (for example Ashmos and Duchon, 2000; Milliman et al, 1999).

In their research, Schaefer and Darling (1997) found that the existence of contemplative practices in the workplace were more widespread than anticipated. These spiritual practices included meditation, prayer, keeping a journal, opening meetings with motivational statements and readings. People felt that these practices made a positive difference in their effectiveness at work. A different approach was taken by Freshman (1999), who used grounded theory to analyse text samples from both an email list server devoted to spirituality in the workplace and a literature search. The key themes emerging in these data sources were diversity, learning and development, intuition and personal aspects of spirituality in the workplace. Tischler et al., (2002) and Kinjerski and Skrypnek (2004) conducted empirical research to reveal 2 basic components of spirituality in the workplace: firstly, a humanistic component of valuing relationships with other people at work and, secondly, a transcendent component of valuing a connection to a power greater than oneself, such as God.

This literature review has already laid the foundation that one's relationship with religion, spirituality and even God can have an important effect on life outcomes. Attempts to measure related constructs have struggled with the ephemeral - Fornaciari and Dean (2001) contended that it is not possible to measure one's relationship to the 'sacred' and the biological neurotheological

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approaches undertaken by researchers - such as D'Acquila and Newberg's (1999) work into the 'God Spot' theory - have highlighted the need to address this empirical vacuum. Focus on the development of measures can be found in the research (for example: Beazley, 1997; Perez, 1998). This has resulted in a battery of tests, as explored earlier in this chapter, that has been developed to help expose relevant psychological factors. These tests appear to have originated from the different academies of spirituality at work, the psychology of religion, leadership and management theory, the psychology of intelligence and other fields such as medicine and social work. Along with such tests, there already exists a menu of measures for spirituality developed for academic research that have not been used in the workplace since their origins. This results in a mass of under-developed resources and raises the question of the value of any new measures in increasing our understanding of the phenomena (Pargament, 1997). However, the reliability and validity of all these methods, often using self reported measures or observational methods, such as ethnography, are considered later when establishing the methodology of the thesis. The complexity and diversity of spiritual paths has encouraged most researchers to use a qualitative approach to research. Neal (1998) posited that this approach better reveals the developmental and process aspects of spirituality and explores how spirituality expresses itself in context. Furthermore, it enables study of cognitive structures that would link specific beliefs to behaviours and more effectively captures the affective nature of spiritual experience. This thesis explores this position further in the next chapter.

Mitroff and Denton's (1999b) research found common elements in a variety of definitions of spirituality used by U.S. managers at work. They conducted 68 interviews and 137 surveys and found that spirituality at work had the shared qualities displayed as Table 2.6. This research also established that, contrary to conventional wisdom, the respondents in their study did not have widely varying definitions of spirituality. Furthermore, separation theory (Spilka et al., 1995) was found to be invalid as people did not want to compartmentalise or fragment their lives.

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Respondents generally differentiated strongly between religion and spirituality, seeing religion as a highly inappropriate topic in the workplace, although they did desire models of practicing spirituality in the workplace without offending their co-workers. There was also found to be a lack of positive role models demonstrating how to practice spirituality in the workplace and many respondents were actually afraid even to use the word spirituality – this last point is remarkable given the existential importance of such matters. Overall, people made a clear distinction between spirituality and religion, and were more comfortable with the phrase 'spirituality' in the workplace than 'religion' in the workplace, believing that spirituality has positive benefits for the workplace so long as there is no promotion of traditional religion.

Table 2.6.   Common qualities of spirituality of work (Mitroff and Denton, 1998a)

- provides meaning and purpose in life;
- is timeless and universal;
- is nondenominational;
- is inclusive of and accessible to everyone;
- is not formally structured or organised;
- involves a sense of the interconnectedness of all things;
- includes an ability to transcend the ordinary;
- to see the sacred in everyday life;
- reflects in feelings of peace, awe, calm, and connectedness;
- is a source of inexhaustible faith and willpower;
- commonly, although not consistently, involves a concept of a 'Higher Power'.

2.3.6.   Outcomes associated with spirituality at work. In his review of the literature, Gibbons (1999) found that researchers made claims for both individual and organisational benefits of spirituality at work, although at the time of his study, there appeared to be a lack of empirical research within the literature to support these claims.

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Fry and Slocum (2008) argued that there is significant evidence that proves that spirituality at work returns positive personal outcomes, such on health and well-being, and improved organisational performance via improved employee commitment, productivity and reduced absenteeism and reduced staff turnover. They also claim that spirituality results in highly motivated employees utilising their unique idiosyncratic competencies at work. Indeed, a significant number of studies posit evidence that spirituality is correlated with organisational performance, including greater financial performance and success (Fry and Slocum 2008; Mitroff and Denton, 1999a; Strack, Fottler, Wheatley, and Sodomka, 2002). Cacioppe (2000a) concluded that spirituality in the workplace is not just good for business, it is the only way leaders and organisations can succeed. Mechanisms for these results are explored by Fernando (2005) who, in summary, found that spirituality at work creates employees who:

- will be less fearful of their organisations

- will be far less likely to compromise their basic beliefs in the workplace

- will perceive their organisations as significantly more profitable

- report that they can bring significantly more of their complete selves to work – particularly creativity and intelligence.

Dent, Higgins and Wharff (2005) also concluded that organisations that promote spirituality are more profitable and perform better. In exploring the impact of spirituality upon the organisation, they note that profits are dependent on all work psychology issues. They reviewed Ouimet's (2003) applied research and case study of the implementation and outcomes of his twofold management system - Integrated System of Management Activities (economic) and Integrated System of Management Activities (human) - that found that it is possible to reconcile economic profitability with human and spiritual values.

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2.3.7. Spirituality at work in the context of organisational trends. Aburdene (2010, p. 4) stated that the focus on spirituality in business is becoming so pervasive that it stands as "today's greatest megatrend"; this trend can be seen in academic articles as well as the popular press: articles can be found in Leadership Quarterly (2005, 14(6)), Journal Of Applied Managerial Psychology (2002, 19(3)), Journal Of Managerial Psychology (2002, 17(3)), Journal Of Organisational Change Management (2003, 16(4)) and The Psychologist (2011, 24 (3)), The Economist (2011) and the British Broadcasting Corporation (BBC News, 2009).

Spirituality at work exposes major philosophical differences between scientific management theory and other contemporary humanistic management theories such as organisational development (OD) (McGregor and Beckhard – see Beckhard, 1997). Neal and Biberman (2004) observed that the classical school of management saw the employee in terms of simply having a financial need and the advent of scientific management, such as Taylorism, focused on making organisations more effective by increasing process effectiveness and efficiency. The employee was seen as part of the machine with theories focused on time and motion and the efficiency of the human physical body. The 1930s witnessed the arrival of the human relations school where events such as the Hawthorne studies (Mayo, 1945) led to hypotheses about the social needs of employees. These needs may be described through Maslow's social needs stratum in his Hierarchy of Human Needs (1964), positing that a sense of human participation could, ultimately, have a significant effect on productivity. Only with quality circles and later with the total quality management programmes of the 1970s (see Walton, 1986) did organisations start to see the individual capabilities of employees as a key resource that could be harnessed to improve productivity.

Neal (1998) suggested that the 4 aspects of being human are made up of body, mind, emotion and spirit. Each of the stages of evolution of management thought had focused on these

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aspects consecutively: the classical school focused on the physical body; the human relations

school focused on the emotions and the quality movement focused on the mind. Neal postulated

that what was missing was an incorporation of the spiritual nature of human beings.

The literature reviewed for this thesis suggests an increased interest in spirituality in the

workplace as beginning in the 1990s, with the last 20 years producing a plethora of comment

from various academic fields. Fernando (2005) considered whether workplace spirituality is

another management fad along the lines of total quality management, work life balance and

organisational development. Institutional theories have also been used to expound the nature of

this trend and Fernando (2005) argued that a controversial issue is the extent that organisations

are adopting spiritual approaches in order to seek legitimacy and appeal to stakeholders (such as

customers and employees) rather than a genuine commitment to an authentic spirituality. A core

assumption of institutional theories is that organisations act in ways to enhance or protect their

legitimacy (Scott, 1994). This cynical approach may be relevant to spirituality at work although

it has not been proved in the literature – merely suggested. Within an organisational mission to

serve both the consumer and the community, employee assistance programmes and professional

development concepts might claim to offer employees increased governance and power,

meaning, connection and flexibility at work. However, whether these originate out of a spiritual

or employment attraction is difficult to decide; this is because, at the same time as increasing

these offers, employees can be asked to assume more responsibility, less security, shorter career

longevity, longer and flexible hours and the need for continual on-the-job learning (Gockel,

2004).

Fernando (2005) observed that this pursuit of legitimacy may be unsustainable and

inefficient because of the accompanying development of non-efficient practices and the

distraction from an organisation's essential activities. However, Scott (1994) postulated that

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even if the organisational motive is false in adopting spirituality at work, it can still have

beneficial outcomes for the worker and the organisational; it does not necessarily mean that there

will be negative personal or economic consequences. At an individual level, recent outcomes of

the global financial crisis 2007 (Shiller, 2008) may include an authentic increase in interest of

spirituality in the workplace as the individual seeks more spiritual fulfilment from work (The

Economist, 2011).

Tischler (1999) referred the development of spirituality at work to the evolution of society

and organisations, moving from an agrarian society to a post industrial society, which focuses on

the individual. Tischler also used the framework of Maslow's Hierarchy of Human Needs theory

(1964) to argue that as companies and individuals become more prosperous, people have the

relative luxury to focus on higher needs, including spirituality and self actualisation.

However, Tischler's argument, that spirituality grows from societal success, is challenged

with regard the outcomes of the global financial crisis of 2007 (Shiller, 2008). This crisis has

brought a fresh wave of employment issues including redundancies, downsizing, job change and

employee stress (Tsai and Chan, 2011). These major shifts in employment patterns allow issues

of meaning for the individual to surface as they try to make sense of their new situations (BBC

News, 2009). Contrary to Tischler's position, it is the threat of a lack of prosperity that may

evoke a quest for meaning. Major economic changes and organisational globalisation means that

change is a permanent workplace feature (Strebel, 1999). Along with these financial influences,

the rise in information technology leads to a sense of insecurity (Gockel, 2004). Neal and

Biberman (2004) and Dent et al. (2005) argued that as the traditional modern career structure

embraces the post modern reality of the workplace, pluralist work portfolios and multi job career

patterns have begun to emerge. Furthermore, these changes have happened at a time of increased

demoralisation of workforces in light of public service finance cuts in the European Union during

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2011-13 leading to organisations demanding that staff 'do more with less'. In the UK, at a time of the global financial crisis 2007 (Shiller, 2008), 'Fat Cat Syndrome', the bankers' bonus debate and members of the UK Parliament expenses fraud, an insecure, over demanded upon and demoralised workforce is a logical result. In such circumstances, Gockel (2004) speculated that demoralised workers will start to look elsewhere for sources of satisfaction and personal meaning. It is argued that such existential matters born out of the workplace are related to spiritual development: for example, Mitroff and Denton (1999a) found that the executive managers that participated in their study became spiritually aware in response to a series of personal and/or organisational crises and this is supported by the theories of Jung (1961) and James (1902) cited earlier in this thesis. This is mirrored in AA's concept of "hitting rock bottom" (AA, 1953 p.66).

2.3.8.   Spirituality, leadership and management. The ontology of spirituality in the workplace is linked by several writers to leadership and the concept of spiritual leadership is linked to organisational performance (Dent, Higgins and Wharff, 2005; Fernando, 2005; Fry, 2005; Zohar, 2005). Goertzen and Barbuto (2001), in their review of the literature on individual spirituality, argued that it can be expressed in organisational leadership. In turn, this relatively new field of inquiry suggests an area for the development of leadership theories and organisational processes and policies (Dent, 2003).

Dent et al., (2005) argued that the study of spirituality and its relationship to workplace leadership is dogged by differences in definitions and other basic characteristics. To date, the authors contended, much of the writing had been of a general, rather than academic nature and subsequently may lack validity. The literature has revealed claims of a positive relationship between workplace spirituality, individual wellbeing, organisational performance and, subsequently, on societal functioning. Leaders have an important role to play in facilitating

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spirituality at all of these levels (Cacioppe, 2000a). Leaders who do this and integrate their own

spiritual values with work can transform organisations (Konz and Ryan, 1999). However, this

wider impact is not the focus of this study which is idiosyncratic – rather than pan organisational

– in its exploration of the relationships between the 12 Step spiritual programme (AA, 2001) and

New's (1996) GMCs as perceived by the individual AA participant managers.

Klenke (2003) contended that leadership and spirituality have been married consistently

throughout history in religious figures, patriotic leaders and civic leaders. Once again, the

literature reveals that both concepts - spirituality and leadership - are problematic for consensual

definition (Fry and Smith, 1987). What is more, the combination of both these terms creates a

new construct that will no doubt create similar confounding issues effecting SI. As an example,

Drath and Palus (1994) contended that the term spiritual might be individually intrinsic whereas

the term leadership is usually accompanied by external behaviours involving others. In the case

of this thesis, the forthcoming marriage of the terms spirituality and GMCs may face these

confounding issues. Furthermore, Neal (2005) observed that spiritual leadership in the workplace

is evident at different levels of stratification: at an individual level, team leadership and in

business ethics.

To date, Fry's (2005 p. 17) definition of spiritual leadership may provide an academic

provocation upon which to base research: he defines spiritual leadership as "the values, attitudes,

and behaviours that are necessary to intrinsically motivate self and others so that they have a

sense of 'spiritual survival' (see Fleischman, 1994; Maddock and Fulton, 1998) through calling

and membership". This definition resounds with work psychology concepts such as leader

member exchange (LMX) (Dansereau, Graen and Haga, 1975), transformational leadership

(Bass, 1985) and servant leadership (Greenleaf, 1970) considered by Zohar (1997, 2000, 2005) in

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her pioneering work on SI. The servant leader shares power, puts the needs of others first and helps people develop and perform as highly as possible (Greenleaf, 1970).

   2.3.8.1. Research into spiritual leadership. Fairholm (1998) argued that there are 5 'virtual environments' in which leadership is expressed: leadership as management; leadership as excellent management; values leadership; trust cultural leadership and spiritual leadership. Others have developed research from Fairholm's model in order to validate a theory of spiritual leadership (Fry, 2005). The concepts of emotional intelligence (EI), ethics and values have also been deployed by researchers (for example Boyatzis, 2008; Reave, 2005; Zohar, 2005) as anchors to develop different theories about leadership and spirituality.

   Empirical research on spiritual leadership has focused specifically on behaviours, status and power facets, personality traits, skills and organisational contexts. These areas of research suggest the possibility that spirituality is an integral part of leadership and manifests as one variable in an integrated leadership development model (Thompson, 2000; Sanders, Hopkins and Geroy, 2003; Wilber, 2000). Such a model suggests that as the element of spirituality in a leader becomes stronger, they experience transcendence and move to a different level of internal locus of control when facing workplace situations (Sanders et al., 2003).

   Bennis' (2002) research suggested that a leader's ability to handle the most difficult situations and learn from them often results in personal transformation. Bennis (2002) continued that such challenges reveal the spiritual soul and that transcending these adverse situation leads to spiritual development. It is worth noting here that these catalysts were explored by James (1902) and Jung (1961) in their broader work on spirituality. Along with Bennis (2002), others, such as Mitroff and Denton (1999a), claimed that leaders and managers who have experienced intense moments of suffering experience spirituality epiphanies and transform as a result. More directly,

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Tosey and Robinson (2002) argued that personal transformation originating out of challenging workplace situations is needed to develop one's spirituality. Like Jung and James before, King and Nicol (1999), theorised that spirituality is developmental and in the gift of all people and that this development can help leaders and managers understand the process of individual spiritual growth at work. This suggests the possibility of a causal loop whereby spirituality leads to spiritual development that leads to further spirituality. This psychological pathway is explored in this research.

Reave (2005), conducted a meta analysis of over 150 studies, concluding that there was a definite relationship between spiritual values and practices and effective leadership. Facets such as integrity, honesty and humility were found also to be correlated to effective leadership. Of interest, spiritual processes applied in daily life were found to impact positively upon effective leadership. This counters the separation theory cited by Spilka et al., (1995) mentioned previously: people can integrate spirituality into non-work and working lives. Arguably, a spiritual workplace might be defined as one that recognises that employees have an inner life that is inter-dependent with meaningful work. However, a significant caveat about spiritual leadership is raised by Bass and Steidlmeier (1999 p. 182) who warned of the charismatic/pseudo-transformational leader who might pretend to be spiritual but instead abuses their power to feed their "narcissism, authoritarianism, machiavellianism, flawed vision and need for power". This approach to leadership is ego led and evokes the "self-centredness" of alcoholics that Wilson describes in his life story (AA, 2001 p.14) and is depicted explicitly in the film, My Name is Bill W. (Petrie, 1989).

2.3.8.2. Measurement of spiritual leadership. Spirituality is expressed in the literature as multi-dimensional and includes cognitions, attitudes, practices and beliefs (these beliefs are the fundamental element of an individuals' spirituality and their leadership). Measurement of all the

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causal elements of spirituality is extremely difficult: how can the behaviours of a leader be measured to demonstrate greater spirituality than another leader? How can an organisation's spirituality be measured – through the mission, the management style, the team performance or the individual worker's performance? Within the literature, there is little empirical research to answer these academic challenges. To date, this field has largely relied on existing measures of spirituality rather than bespoke measures of spiritual leadership to develop theory. Many of these measures have been addressed in the previous section reviewing the literature on SI. In the context of spiritual leadership, MacDonald, Kuentzel and Friedman (1999) reviewed a number of instruments that measured spirituality including the Expressions of Spirituality Inventory which measures cognitive orientation toward spirituality, experiences and phenomenological dimensions, existential well being, paranormal beliefs and religiousness. In contrast, they also reviewed the Psycho-Matrix Spirituality Inventory (Wolman, 2001 - see page 61 this thesis) which measured awareness of a Higher Power, spiritual activities or practices, use of healing practices, experience of physical and emotional trauma, body awareness, religious history and current religious practices. Measures developed for SI have not been created to measure the qualities associated with spiritual leadership cited in this section and are, it can be argued, therefore invalid.

Several researchers such as Cacioppe (2000b) and Fornaciari and Dean (2001) have followed the tenet that spirituality cannot be measured, citing Wilber's (2000) claim that spirituality is meta physical and cannot be quantified empirically; however, this approach leads to specific workplace cynicism – organisations, leaders, managers and workers may be sceptical about spirituality at work because of this lack of valid measures (Cacioppe, 2000b).

2.3.9.   Spirituality at work and the triple bottom line. As well as the individual outcomes of spirituality and leadership, the wider organisation also experiences outcome

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variables as a result of promoting spirituality: Fry and Slocum (2008) argued that in organisations where spirituality at work is encouraged so that the individual's spiritual needs are accommodated and aligned with the organisation's mission, this results in higher motivation, commitment and productivity. Workers who see their work as a vocation will conduct their duties in a different manner to those who see work as a financial contract only. Fry and Slocum (2008) claimed also that there is emerging evidence that spirituality provides a competitive advantage for organisational performance. They proposed a model of spiritual leadership that creates both a motivated workforce and a successful organisation by accommodating spirituality at work through spiritual leadership (see Figure 2.5).

The model is dependent upon creating a common vision for leaders and workers to experience a sense of calling so that their lives have meaning and make a difference at large, and establishing an organisational culture based on altruistic values that are inclusive, authentic and spiritually rewarding for the individual and the group.

Figure 2.5.   Model of spiritual leadership (Fry and Slocum, 2008 p. 91)

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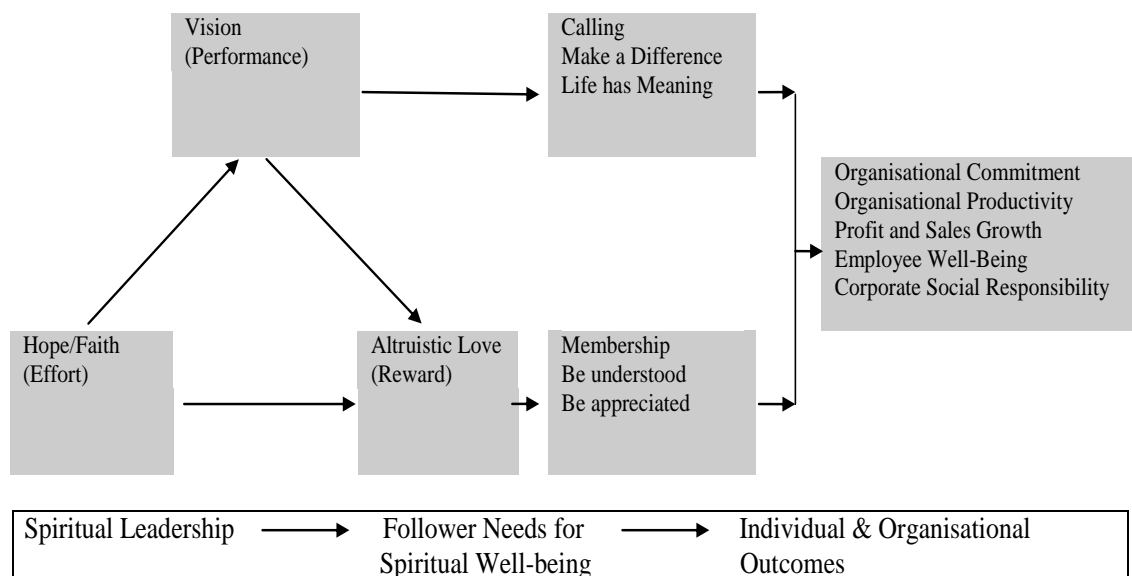
In their rare piece of related applied research, Fry and Slocum's (2008) study focussed on 2 organisational departments – one that encouraged spirituality at work and the other did not. They went on to measure the dimensions of the spiritual leadership model (hope/faith, altruistic love, vision), spiritual wellbeing dimensions (calling/meaning and membership), and organisational commitment and productivity. The measures included a twofold scale for each department —percentage increase/decrease in sales and profit. The findings of the research revealed that calling/meaning and membership facilitated by spiritual leadership explained 13% of department sales growth, 94% of an employee's commitment to the company and 73% of a department's productivity. The department with higher levels of spiritual leadership also reported employees with higher levels of spiritual well-being that, in turn, positively impacted upon organisational commitment, productivity and sales growth.

The research into spiritual leadership and psychology, however, is still scant. This may be because most psychologists have not been trained to help individuals explore and draw on their spirituality (Brawer, Handal, Fabricatore, Roberts and Wajda-Johnston, 2002). Indeed, they may have seen a person's religiosity and spirituality as a cause of negative affect. Studies citied in this thesis provide evidence to the contrary and helping individuals to explore the meaning of their lives – Heschel's (1955) ultimacy – can help facilitate positive lifestyles and relationships leading to positive affect. Viewing work from this approach can further help employees identify a purpose that, in turn, can lead to a rewarding work experience. This can be true especially for those that supervise others because they can influence subordinates in a positive way by the way they are managed, deployed, valued, supported and rewarded.

Zohar (2005) posited that spiritually intelligent leadership is underpinned by vision, purpose, meaning and values: such spiritual capital reflects what an individual exists for, believes in, aspires to and takes responsibility for, expanding that spiritually intelligent leadership

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can be fostered by applying 12 principles shown in Table 2.7. Zohar (2005 pp84-85, and p. 201)

considered servant leadership as a manifestation of such spiritually intelligent leadership.

Whether these qualities can be translated into management competencies within an organisational

setting will be explored in this research (prior to this, models and theories of management

competencies will be reviewed to provide further academic foundation).

Table 2.7.   Principles of spiritual leadership (Zohar, 2005)

- Self-awareness: knowing what I believe in and value, & what deeply motivates me
- Living in and being responsive to the moment
- Being vision & value-led: acting from principles & deep beliefs & living accordingly
- Holism: seeing larger patterns, relationships and connections; having a sense of belonging
- Compassion: having the quality of "feeling-with" and deep empathy
- Celebration of diversity: valuing other people for their differences, not despite them
- Field independence: standing against the crowd and having one's own convictions
- Humility: having the sense of being a player in a larger drama, of one's true place in the world
- Tendency to ask fundamental "why?" questions: needing to understand things and get to the bottom of them
- Ability to reframe: standing back from a situation or problem and seeing the bigger picture; seeing problems in a wider context
- Positive use of adversity: learning and growing from mistakes, setbacks and suffering
- Sense of vocation: feeling called upon to serve, to give something back.

2.3.10. Summary of the literature on spirituality at work. The literature reveals that, in

spite of its pre-modern connotations, spirituality at work is a relatively new field of academic

inquiry. It is concerned with following spiritual principles by the individual employee, the

organisation and society at large dealing with the wider purpose of industry. There is a strong

need in the literature to disassociate spirituality form religion in this field owing to the negative

associations of 'man-made' religion with social and political problems. Interestingly, studies

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reviewed have found that people are afraid to be open about spirituality at work- even though it may be their primary purpose.

This thesis is concerned with how spirituality at work manifests in the individual. Associated qualities include having a clear purpose, altruism and an enhanced sense of empathy. Spiritually has been considered in terms of how it informs leadership and this consideration has lead to associations with Greenleaf's (1970) servant leader concept. Several writers claim and have sought to prove the relationship between spirituality and profitability – a simple way of gauging organisational efficacy. However, there is a paucity of empirical research into these relationships.

2.4.   General management competencies

    2.4.1.   The development of the concept of competencies. The literature on management competencies explores the origins of this performance concept, its relationship to work psychology and the relationship between leadership, management and supervision along with the benefits of using competency systems. It is of concern to this thesis because the field provides concepts and constructs that are suitable, valid, concise and academically provocative. The concept of management competencies allows this research to explore the relationship between the 12 Steps and the managerial role.

    Campion et al., (2011) suggested that the use of competencies was developed specifically within the field of occupational psychology. Lucia and Lepsinger (1999 pp15-19) also explained the contemporary development: In 1977, the United States Information Agency (USIA) attended a workshop with Harvard Professor David McClelland who had created personality tests to identify which characteristics and habits were associated with high achievers at work. As a result of the workshop, the Agency approached McClelland to help with its recruitment and selection procedures. These procedures had been found to have intrinsic faults: the processes were inadvertently discriminatory against black and other minority groups and, secondly, they also lacked predictive validity. As a result, McClelland started to develop bespoke processes to identify outstanding USIA officers so as to inform the selection process with relevant criteria for effective performance - and this is the basic purpose of competencies. McClelland used data collection processes, in-depth interviews with key staff, organisational questionnaires and focus groups with employees. Using a factor analysis process, he went on to identify specific personal qualities that led to competencies associated with high achievement. The competencies that McClelland identified were found to be relevant to common duties that the selection process could focus upon and he went on to develop tests to validate such competencies by using comparative samples of successful workers (McClelland, 1998).

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McClelland (1973) was previously critical also of the incongruity of using standardized

psychological intelligence tests – for example IQ and personality tests - for selection and

recruitment. He criticised such tests as irrelevant to specific roles and performance requirements.

McClelland argued that the use of competency testing should replace IQ and personality tests,

because the latter tested academic performance rather than specific job performance and he

believed that academic performance does not have predicative validity at work.

McClelland's behavioural approach echoed scientific management theories originated in

the 1920s with Frederick Taylor. Taylor's approach, which in part focused on a job incumbent's

repetitive technical behaviour, was further developed by the work of Flanagan (1954) who

developed the Critical Incident Interview to identify essential job skills and behaviours required

for successful performance by collecting data on the specific behaviours of people in specific job

situations. Boyatzis (2008) suggested that a theory of performance is the basis for the concept of

competencies and that optimum performance ('best fit') is achieved when an individual's

capability is consistent with the specific needs of the job demands and the organisational

environment. See Figure 2.6.

Figure 2.6.   *Competencies 'best fit' (Boyatzis, 2008)*

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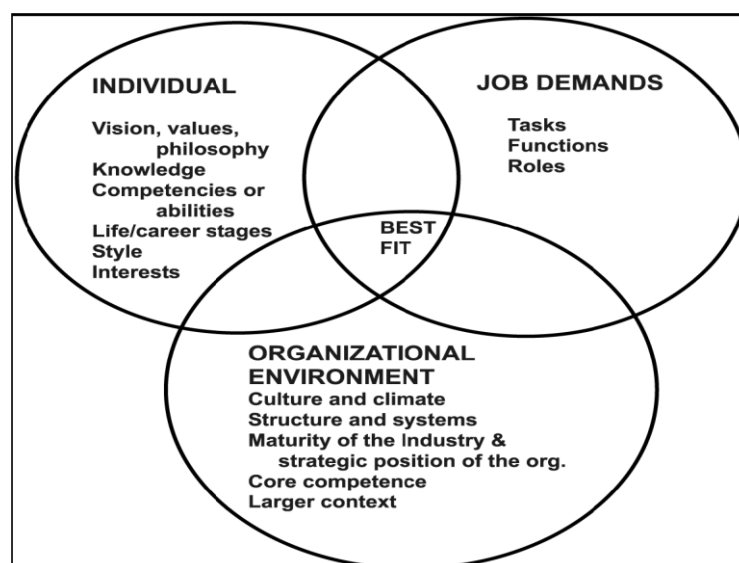
Boyatzis' model (see Figure 2.6) demonstrates that competencies can only be applied effectively in context of the job and organisation. Articles on the use of competencies reveal that there are many different methods of developing competencies and related models – all of which appear to follow McClelland's desire to identify what leads to superior performance. Competency assessment techniques include the Job Competency Assessment Method (Spencer and Spencer, 1993), the Modified Job Competency Assessment Method (Dubois, 1993) and customised generic model methods (Lucia and Lepsinger, 1999; New, 1996).

These competency tools enable individuals to identify what is necessary to do a job, along with their managers and the employing organisation. There are scientifically rigorous methods for establishing competencies and the correlation between the identified qualities of those successful in their role. Lucia and Lepsinger (1999) posited that these qualities include behaviours, skills, knowledge, characteristics and aptitudes and are explained in a Competency Pyramid (see Figure 2.7):

Figure 2.7.   Competency Pyramid (Lucia and Lepsinger, 1999)
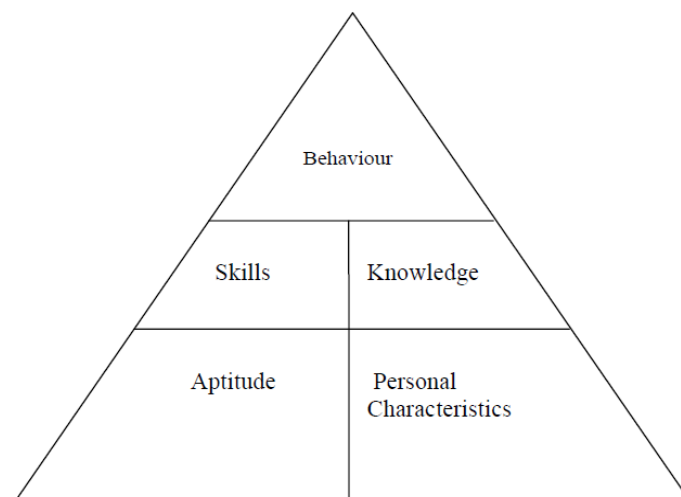
2.4.2. Competency descriptors. New (1996) explained that there are many differences in the application of the term, 'competency'. The phrase is used in broadly differing ways:

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firstly, there are those that use the concept of competencies from a company-wide perspective. In this usage, competencies describe "the knowledge, expertise and capabilities which have been collectively learned by a firm and which enable it to distinguish its performance from that of its competitors" (New, 1996 p. 44). This usage ignores the competencies of individual workers, such as managers, while concentrating on the macro competencies of the organisation. The second main application of the term competencies does relate to individuals and describes what abilities are required for effective performance in a specific role or job.

There is confusion and lack of agreement within the literature as to the meaning of the term competency when it is applied to organisational roles: McClelland (1973) used the term interchangeably with 'skills' (Barrett and Depinet, 1991). Other authors use the term to describe behaviour (Biggs, 2010; Cockerill, Hunt and Schroder, 1995), whilst others refer to cognitions (Boyatzis, 2008) and personal dispositions (O'Reilly and Chapman, 1994).

Competencies are commonly described in several parts: the descriptive label or title and behavioural definitions (Parry, 1996) often along with an explanation of the required proficiency level of a competency. Campion et al., (2011) believe that competencies are best defined as knowledge, skills, aptitudes and observable behaviours (KSAOs); these observable behaviours are used to specify the outcome actions at work that is the result of a competency. Woodruffe (1991) agreed that competencies are described in terms of the sets of behaviours that show an individual is competent; Boyatzis (1982) referred to an underlying characteristic of a person including a motive, trait, skill or piece of knowledge. In relation to this these, Albanese (1989 cited in Hayes, Rose-Quirie and Allinson, 2000) described managerial competency as a skill and/or personal characteristic. Lucia and Lepsinger (1999) attempted to address these differences and argued that a more relevant definition commonly used in the field of human resource management (HRM) is voiced by Klemp (1980 p. 21) as "an underlying characteristic of a person

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which result in effective and superior performance on the job". Another widely used definition is "a cluster of related knowledge, skills and attitudes that effect a major part of one's job, that correlate with performance on the job, that can be measured against well accepted standards and that can be improved via training and development" (Parry, 1996 p. 50).

It is clear from the literature that the more one tries to define, identify and measure competencies, the more complicated the task becomes. New (1996) argued that 'skills', for example, can range from concrete efficiencies such as operating a specific machine to highly intangible constructs such as "thinking strategically". Jobs often contain both types of competency – yet both need to be measured and the latter competency would be harder to quantify owing to its meta physical quality.

Albanese's (1989) personal characteristics could include aptitudes, innate talents, or a human potential to develop a certain knowledge or skill; characteristics also describe specific traits that demonstrate a particular way of relating to the external environment (Lucia and Lepsinger, 1999). For example, traits such as confidence, independence or emotional stability may show a disposition to working with others or in a particular situation or for a specific type of sector. Such traits might seem innate but Zemke and Kramlinger (1982 p. 29) stated that competencies "can be modified and developed". They continued that competencies can include both innate and acquired abilities, built from a pyramid of inherent talents and incorporating the types of skills and knowledge has that been acquired through learning, effort and experience (see Figure 2.7: Competency Pyramid (Lucia and Lepsinger, 1999)). At the pinnacle of this pyramid are a set of specific behaviours which are the resulting observable actions based on the foundations of the innate and acquired abilities (Lucia and Lepsinger, 1999).

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Hirsh and Bevan (1988) conducted a content analysis of 100 competency frameworks from 40 organisations. They observed the common key features relating to the concept of competencies as: i) competencies were associated with superior job performance; ii) competencies were described in terms of job related observable behaviours and iii) competencies concerned managers in the context of their organisation and a job role.

2.4.3.   The application of competencies. In contrast to a structured approach to the use of competencies (for example Campion et al., (2011)), the development and use of competency models is seen by some as "arcane; a disciplined solely in the domain of academics and social scientists" (Lucia and Lepsinger, 1999 p. xiv). Mansfield (1996) observed that common approaches were used to develop competency models: starting from scratch, whereby data analysis techniques are used to identify relevant competencies or, secondly, using a validated off-the-shelf competency model that may be adjusted to an organisation's needs. When creating bespoke models, interviews, focus groups, surveys and job performance observation are commonly used to identify core competencies that are then contrasted with the strategic context of an organisation (Lucia and Lepsinger, 1999). Qualitative and quantitative methodology is used within these processes as associated with the field of work psychology. The process continually refines the competency identification process and, in the last stages, each competency that has been identified as relevant is broken down into a number of observable behaviours (Woodruffe, 1991). Stakeholders are finally consulted about the final competency framework as a means of ensuring further validity.

2.4.3.1. Competency structures, frameworks & models. The literature most often refers to competency models as collections of KSAOs that are needed for effective performance in the roles under consideration (Campion et al., 2011; Green, 1999; Lucia and Lepsinger, 1999; Parry, 1996; Rodriguez , Patel, Bright, Gregory and Gowing, 2002; Schippmann et al., 2000). The

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individual KSAOs or combinations of KSAOs are the competencies, and the set of competencies

are typically referred to as the competency model or framework (Campion et al., 2011). The

KSAOs are directly linked back to the organisation's mission, vision, values and strategies

(Campion et al., 2011) as displayed in Figure 2.8. Such comprehensive competency models are

used as a tool for selection, training and development, appraisals and succession planning.

Figure 2.8.   *Competency context - Campion et al., (2011)*
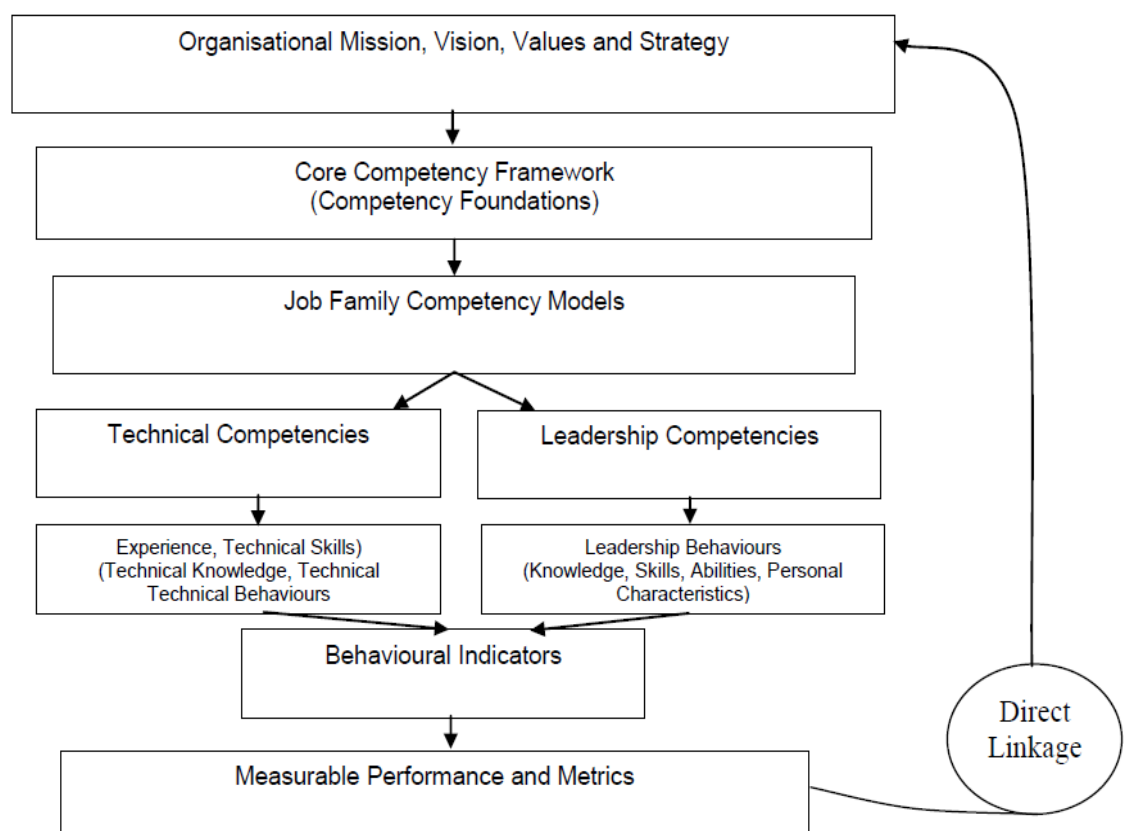
Well designed competency models can provide an effective point of origin for the

development of wider organisational competency models, but aligning and adjusting

competencies to the organisation is critical (Campion et al., 2011). Antonacopoulou and

Fitzgerald (1996) earlier voiced this caution, advising that competency frameworks are only

capable of defining behaviour and skills that are useful in the present and, in the dynamic global

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environment of the organisation, companies need to develop broader, more enduring qualities to facilitate adaptable workers (such as managers) capable of facing future challenges. This is reiterated by Hayes et al. (2000). It is possible to identify broadly defined shared competencies, as well as competencies specific to particular work situations – for example, Burgoyne (1990) acknowledged that some competencies may have universal relevance and can provide a framework for management development programmes. These core competencies are required to operate in any management role and these are also dynamic over time. Such generic core competencies include "learning, changing, adapting, forecasting, anticipating and creating change'" (Burgoyne, 1990, p. 23). These could be regarded as critical meta-competencies.

      2.4.3.2.. Generic competency models. Generic competency models identify the basic or core competencies that are relevant and necessary to all employees or a specific group of employees such as a management band. The core competencies refer to the behaviours or functions required by the specific workforce group rather than job specific competencies (New, 1996). In this way, it is possible and common to have both a more general competency model and a job specific competency model which are inter-related and set within the organisational context. In either case, it is important to ensure that competencies and associated behaviours described by a competency framework are relevant to the specific role and that the framework has predicative validity.

      However, this definitional pluralism creates difficulties as a competency may exist at a basic level and then also within a specific situation. As an example, a challenge may arise when problem-solving may be cited as a key competency and yet this ability will change depending on the job specific environment (Lucia and Lepsinger, 1999). Therefore, a leadership competency model may include a balance of core competencies covering key qualities that are required by all

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leadership posts and a set of specific competencies for each role or situation (Campion et al., 2011; Rodriguez et al., 2002; Schippmann et al., 2000).

In 2000, a taskforce was commissioned by the US Society for Industrial and Occupational Psychology (SIOP) to study the state of competency modelling: conducted by Schippmann et al., (2000) the research findings were based on a review of the existing literature and 37 interviews with a representative sample of subject-matter experts. A main conclusion was that competency modelling was commonly far less methodologically rigorous – and therefore less valid - than job analysis. The assessment of rigor used 10 variables that included amongst them: the method of investigation, assessment of reliability, documentation and link to business goals and strategies. Specifically, the taskforce found that competency modelling was assessed to have more rigor than job analysis on only one variable — the link to business strategy.

Campion et al. (2011) conducted an update of the SIOP taskforce's work to explore whether practices had become more rigorous as, over recent times, more researchers from industrial and occupational psychology had become involved with competency modelling. This update consisted of a review of related publications and interviews with a sample of the original subject-matter experts that participated in the original taskforce research. The conclusion was that although the practice of competency modelling has evolved, rigor was still a concern – competency models are too often a "hodge-podge of job and worker-oriented KSAOs that are ill-defined concepts with no clear meaning" (Sackett and Laczo, 2003 pp21-37).

One of the most significant challenges in developing generic competency models is the need for detail on the one hand and a need for clarity on the other (Schippmann et al., 2000). Detail assists the development of HRM processes, but parsimony is needed for clarity, utility and organisational buy-in. This tension effects not only to the number of competencies cited within a

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model but also level of detail in describing each competency. Out of these concerns, most

organisations attempt to limit the total number of competencies, often focusing on the most

important in successful performance. Figure 2.9 below demonstrates an approach to 'granularity'

of competencies: starting with macro level management competencies on the left, the

competencies are then further reduced into a total of 5 sub-competencies as exemplified on the

right of the model.

Figure 2.9.   *Granulation of competencies (Campion et al., 2011)*
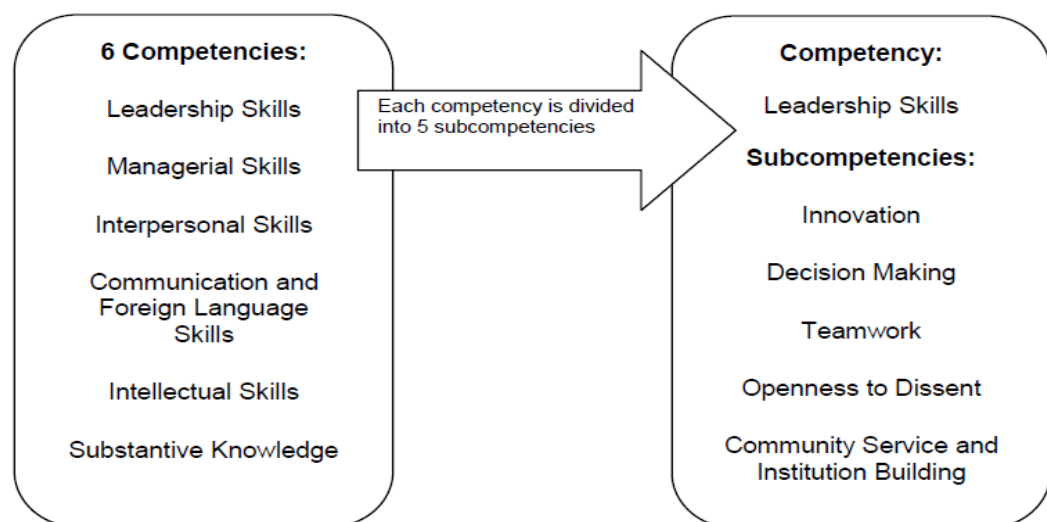
2.4.3.3. ***New's 3 tier competency theory and model.*** New (1996) posited that successful

performers will not only have the necessary level of KSAOs required to fulfil their role, but they

are also able to apply them rapidly, accurately and with assertiveness. This expedience of

competencies can be replicated throughout a business. New (1996) helped clarify the process of

competency modelling by identifying 3 clear categories of competencies that complete a

comprehensive meta model:

a) job specific competencies (JSCs)

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b) general management competencies (GMCs)

c) corporate specific competencies (CSCs)

Each of these categories can be measured to evaluate not only whether a person has a particular

competencies, but also at what level, with a high score predicting superior performance in that

activity.

•   Job Specific Competencies (JSCs) are the aspects of activities in a particular role or

position that are correlated with effective performance. They are the attributes that are required

to carry out a specific job successfully and do not apply to different jobs. Each job requires a

bespoke competency model. New (1996) implied that the range of JSCs is infinite, as each job in

different organisation has its own distinct cluster of competencies. These distinct JSCs are often

not transferable.

•   General Management Competencies (GMCs) state the ways in which a person in a

supervisory role interacts with other people in an organisation, including peers, senior colleagues

and subordinate staff. Generic management competency lists have been developed by Boyatzis

(1982), New (1996), Lucia and Lepsinger (1999) and Perren and Burgoyne (2002). In his meta

analysis of competency frameworks for managers, New (1996) identified 30 individual GMCs

which are important in describing management activities and grouped these into 8 different super

ordinate competency bands forming his GMC framework consisting of action management,

change management, co-ordination, creativity, leadership, motivation, organisation and planning

(see Table 1.2. on page 3 of this thesis).

It should be noted that New's GMCs (1996) are identified at a high level of abstraction to

ensure generalisability. However, there is also a tendency to assume that the competencies

identified in GMC models are necessarily held by all high performing managers: of the 30 GMCs

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that New identified, he was doubtful that any single manager would possess every single one, nor would it be likely that there are many roles that require total competency in all of them. In turn, a senior manager would have a different range or ability of management competencies than a more junior level manager or supervisor.

In support of New's (1996) meta model, Burgoyne (1990) postulated that much time has been wasted on debating whether any managerial jobs are the same, arguing that a role can be similar at a higher level of abstraction – such as GMCs - but at the level of JSC's, all roles differ. Observable behaviours derived from a competency manifest in specific situations and are therefore dynamic. This means that individual competencies will have a unique mix of idiosyncratic and shared elements (Hayes et al., 2000). Both Antonacopoulou and Fitzgerald (1996 pp27-48) and Hayes et al, (2000 p. 98) quote Albanese's (1989) assertions that no single competency model can capture accurately "the mystery of the managerial role" because job-specific skills influence effectiveness in any specific management post. Burgoyne (1990 p. 23) summarized the essence of these arguments: "The paradox is that the more universally true any given list of competencies is, the less immediately useful it is to any particular choice about how to act and behave in a specific situation". This observation implies that even if managers are able to master all of the elements of a bespoke list of competencies, this mastery will not guarantee successful performance (Hayes et al., 2000). Because of the specificity of JSCs, it may be more appropriate to have a basic competency model that is flexible and that has utility (such as New's (1996) GMCs) rather than a sophisticated, research-based detailed model that people may dismiss as being impractical (Campion et al., 2011).

It has been observed that a significant number of those responsible for developing senior managers assume that there is a universal set of competencies that applies to all senior managers (Hayes et al., 2000). Holbeche (1998) also found that many companies have determined such a

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set of generic leadership and management competencies (for example UK police services, BP, Texaco, Smithkline Beecham), but Holbeche warned against the limited shelf life of success profiles when business requirements change.

Hayes et al., (2000) studied the universality of such senior management competencies within one large multi-site organisation with over £1 billion turnover, observing that there was an implicit assumption that all senior managers require a common set of competencies. The study concluded that while different managers working in different environments might need to develop different sets of JSCs to respond to the requirements of their specific work situation, there was also a body of common competencies that can be usefully developed in the context of generic senior management development programmes (Hayes et al., 2000).

- Corporate Specific Competencies (CSCs) are the means by which all employees work within the corporate culture of the organisation, irrespective of the specific role that they perform (New, 1996). While JSCs and GMCs relate directly to a person's seniority or performance in their job or role, CSCs can influence whether a person is successful within a specific organisation. A manager who continually performs successfully in the same company irrespective of the post they occupy is also likely to demonstrate CSCs that reflect the company's culture (New, 1996). This success might not be replicated by the same manager in a different corporate culture as the CSCs would be different.

CSCs are more likely to play a major part in the work of senior managers in large organisations because such managers would have a wider responsibility portfolio extending across a significant part of the organisations (New, 1996). Managers in smaller companies, which Burgoyne et al., (2004) and Campion et al., (2011) believe have different management functions than those in lager corporate environments, do not generally have the same wide spread

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of responsibilities and are therefore more concerned with GMCs and JSCs that enable them to do the work required of their position.

2.4.3.4. Leadership and management – a confusion of competencies. Burgoyne et al, (2004) proposed that economic and societal wellbeing are significantly dependent on the effective and efficient performance of all organisations that, in turn, are dependent on an effective workforce and especially management and leadership capability. It is also clear that organisations of all kinds invest in management and leadership on the basis of this. They also caution that many individuals not occupationally classified as managers nonetheless carry out management and leadership roles.

The term 'leadership' is complicated within the literature on competencies because the subject encapsulates the micro-leader, such as a first line supervisor, through to departmental leadership by managers and the macro responsibilities of chief executive officers. Some people assume leaders are those near the top of organisations and therefore define leadership in such terms, often emphasising strategy and vision (Burgoyne et al., 2004). Others use the term 'leadership' to describe management at any level, particularly with regard to the motivation of staff. Boyatzis (1993) noted the difference between management and leadership by seeing management as being concerned with competitive advantage, predictable results and solving problems; he sees leadership as concerned with mission, purpose, change, excitement and inspiration. Others see that management and leadership are inseparably interwoven in life at work (Beech, 2003).

Amongst the literature, there have been several pieces of research that have at least attempted to group leadership competencies: Schippmann, Prien and Hughes (1991) conducted a meta-analysis of research studies from 1949-1986 exploring high performance leadership

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competencies and identified 21 main task dimensions. In a similar study, Fleishman et al., (1991)

also explored leadership competency behaviours from 1944 to 1986 by using 4 super ordinate

core abilities to generate lists of associated actions: information acquisition; information

processing and decision making; information storage; physical and communicative action.

Perren and Burgoyne (2002) also conducted a meta-analysis of competencies, using a collection

of over 1000 leadership abilities from the literature. They reduced these to 8 meta-groups.

However, they concluded that the relationship between these competencies and organisational

performance is only implied. Their final competency model consisted of three super ordinate

competency groups: people abilities, task abilities and strategic abilities. Specifically, they

identified: 4 sets of people abilities (manage and lead people, manage self, lead direction and

culture, manage relationships), 3 sets of task abilities (manage information, manage resources,

manage activities and quality) and a final cluster of abilities concerning strategic thinking.

Robertson (2006) observed that although leadership and management overlap,

management involves getting results through others by exercising control over their work: in this

way, management is transactional and rational. Leadership operates at a more affective,

emotional level and is more concerned with direction and purpose, as is evident in Kouzes and

Posner's (1995) description of the fundamental practices of leadership: challenging the process,

inspiring a shared vision, enabling others to act, modelling the way and encouraging the heart.

Most commentators agree that leadership and management are important for the success

of an organisation but in different ways. To complicate matters, managers commonly have both

management and leadership roles (Robertson, 2006). However, confusing these roles might

proof erroneous. For example, creating solutions for poor leadership and poor management are

not the same - poor management may need better planning and monitoring whereas poor

leadership may require a total change of organisational strategy.

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Management roles are focused on ensuring both task completion and the desired results out of the workforce for the organisation (Robertson, 2006). It is widely acknowledged that the work of managers is a significant contributor to organisational performance (MacLachlan, 1995) but despite the efforts of organisations and academics, there has been little success in pin-pointing the competencies required for a manager to operate successfully in a particular organisation (Cockerill et al., 1995). Earlier work by Mintzberg (1973) showed that management work is not carried out in an orderly and pre-planned process, but that managers actually spend their time in a fragmented and responsive way, requiring consistent creative problem solving. The idea of the manager as a "fixer , problem-solver and fire fighter is very prevalent" (Burgoyne et al., 2004 p. 11). For these reasons, specificity of management competencies may be difficult.

Hayes et al. (2000) found initially that managers' job descriptions were very similar even though they worked in different business areas; this finding generated a research need to expose differences in competencies – therefore they decided to elicit managers' own perceptions of job demands to identify competency requirements. Whilst job demands were found to be similar in 18 categories – such as "manage resources to deliver targets", once granulated into 295 observable bahvioural outcomes (confusingly also called competencies), only 2 specific competencies were found to be common to all management jobs in the sample - knowledge of relevant legislation and communication skills. Hayes et al., (2000) concluded that while different managers working in different situations develop different sets of idiosyncratic competencies, there will also be common shared competencies. Burgoyne et al., (2004) supported the position also that it is unhelpful to split management and leadership artificially - for example, as may be required for academic scrutiny – explaining that there are some differentiated activities, which ultimately integrate, and which are worth considering separately; they write about the titles 'leadership' and 'management':

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There are meaningful differences between the practices carrying these labels, but that they blend together in different proportions in different situations in the work of organising organisations to be effective. When leadership is divided into the transactional and the transformational then the transactional arm of leadership appears to have much in common with what others would label management. On top of this, the semantics change over time [...] To add to the complexity a more international perspective, which may be necessary in the context of globalisation even if the prime concern is with the organisational performance in the UK economy and society, shows that that terms like management and leadership do not necessarily have direct equivalents in, for example French, German and Japanese languages, and the work labels given to those involved in organising organisations in these nation states and cultures are different. (Burgoyne et al., 2004 p. 66)

New's (1996) GMC framework acknowledges the overlap in these terms by citing that the competency of leadership is common to all managers but is only single competency within his 8 GMC model. He describes this competency of as "the effective influence on other people in relation to a purpose or goal" (see Table 1.2. on page 3 of this thesis). This treatment of the term leadership - under the umbrella of a general management competency framework – will be used in the remainder of this thesis as it applies to all the managers in the sample and also allows research into any emerging leadership issues as a separate competency.

2.4.4. Management competencies and organisational performance. The positive relationship between management competencies and organisational performance has been explored by several researchers: Rucci, Kirm and Quinn (1998) used causal pathway modelling to examine the impact of managers on productivity and analysed customer and employee attitude data from 800 retail stores in a major US retail group. They found that employee attitudes towards both their job and their employer both affected customer attitudes and, subsequently, productivity and performance of the group. Significantly, they found that the line manager is a

key link in this chain. This study was repeated by Barber, Hayday and Bevan (1999) with 100

UK stores in another retail group and the findings were similar: they collected and analysed data

from 65,000 employees and 25,000 customers. Employee satisfaction and employee

commitment were correlated with improved sales. In turn, this relationship impacted upon

customer experiences and customer loyalty. Employees' perception of the quality of line

management was found to be an important causal link in this improved performance because of

the effect on employee commitment.

Such findings reinforce the importance of managers to organisational performance

because they motivate staff to work effectively. Cockerill (1993) studied a sample of 150

managers in 5 different organisations; the research attempted to link management capability

directly with organisational performance by trying to establish a validated competency

framework consisting of information search, conceptual complexity, team facilitation, impact,

charisma, proactive orientation and achievement orientation. Cockerill found that the selected

competencies were all positively related to measures of organisation performance except for

achievement orientation. He concluded that management capability explained about 15% of unit

performance in dynamic organisational environments. However, these finding were not

replicated in a stable environment. This suggests the need for managerial competencies

especially at times of change. Burgoyne et al. (2004) summarised that linking HRM with

performance through effective management is now well proven to have a strong association with

organisation performance. In addition, Winterton and Winterton (1996) earlier studied 16 UK

organisations to assess the effect of competency-based management development activity on

performance and they found a statistically significant relationship between competency-based

HRM systems and business performance, especially where the management development activity

was linked to business strategy.

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However, it should be noted that many ideas about management and leadership capability come from work with senior managers and may not apply to junior and middle managers (Burgoyne et al., 2004). Furthermore, it has been found that gender and race have bearings on the subject: for example, much of what is known about management from scientific based research largely came from male dominated samples and, traditionally, women have been under-represented in senior management (Williams, 2001). There may be discrepancies also in the representation of individuals from minority ethnic groups in management as a portion of the total management population (as was evident in McClelland's initial approach to competencies in the 1970s). The relationship of such variables with management competencies remains unknown in the current literature leading to key research voids about the different relationships between managerial competencies with common stands of diversity such as age, race, religion, disability, gender and sexuality.

2.4.5.   Developing management competencies. It is commonly believed that training and development activities will help to improve leadership and management capability within organisations (Burgoyne et al., 2004). However, trait theorists have found significant correlations between personality traits and successful leadership (Bentz, 1990; Stogdill, 1974); as personality traits are considered stable over time, this suggests that innate personality traits are an important part of capability.

Attempting to qualify a leadership and management competency framework is an extremely elusive activity according to the literature. Lucia and Lepsinger (1999) and New (1996) argued that while the exact competencies that contribute to effective management and leadership are situation specific, there are underlying "building block" capabilities – or core competencies – that underlie most positions. Many capabilities can be learnt but, as already established, some competencies may be innate and fixed. Although innate characteristics are

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stable (Beech, 2003), behaviours can be modified and taught (Burgoyne et al., 2004). For

example, it might be difficult for a person lacking empathy to develop that characteristic but

empathetic behaviours such as listening to people and asking insightful questions can be

developed through training.

Burgoyne et al., (2004) observed that management capability is often taught through

degrees and vocational programmes at several levels, including undergraduate courses and

Masters of Business Administration (MBAs) degrees. Minzberg and Gosling (2002 p. 28)

observed "contemporary business education focuses on the functions of business more than the

practice of managing". Burgoyne et al., (2004) argued further that universities have found it

difficult to address the issue of generic management skills and employability in a coherent

fashion; at an MBA level, attention to competencies and knowledge also compete as business

schools differ in the attention given to the development of practical inter-personal skills rather the

theories of leadership and management. However, irrespective of taught qualities, Baruch and

Peiperl (2000) observed no difference in the performance of managers with and without MBAs in

a sample of different UK companies. In the United States, Leonhardt (2000) found that

consultants hired by leading consultancies without MBAs were perceived to perform better than

colleagues who had studied for management qualifications. Pfeffer and Fong (2002) found

similar outcomes from their study of high-end consultancies and banks.

Management and leadership development activities that have been found to be most

effective are carried out close to or in the workplace because it is more difficult to develop core

workplace competencies at the early stage of the educational journey (Burgoyne et al., 2004). At

face value, management education would appear to contribute to an individual's development but

it is more difficult to analyse which parts of the educational experience before work developed

which competencies – whereas a HRM system based around competency modelling would have

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such evaluation built into the organisations processes. In addition, Mabey and Thomson (2000) believed that management development is not the most influential factor in making a good manager; innate ability and experience were more important factors. In the context of this thesis, this impact of life upon workplace managerial competencies has not been measured in the literature and this identifies an important research void. For example, how do life experiences such as alcoholism and practicing the 12 Steps impact upon management function?

Boyatzis (2008) postulated that the competencies needed to be effective managers and leaders can be developed but he also asserted that it is essential that individuals must want to change and that such professional development must be aligned to the person's belief systems and personal goals. To explore the impact of such fundamentals on management development, Boyatzis and Saatcioglu (2008) updated an on-going 50-year longitudinal study that focused on the impact of MBA programmes on the development of cognitive, social and emotional intelligence competencies. Early results from previous studies of the efficacy of management development education programmes stated a single clear cynical conclusion - participants graduating were older than they were when they entered. Therefore, using a combination of cross-sectional and longitudinal data collected from multiple cohorts of MBA students, subsequent targeted research found that MBAs can develop both EI and cognitive competencies crucial to effectiveness as a manager. The authors identified key problems regarding the development of management competencies: firstly, in management development educational programmes, such as MBAs, there is no fundamental question about 'purpose' - if the aim of development is to help individuals to become more effective managers, this requires development of competencies and the stimulation of the motivation to drive the use of competencies – what Boyatzis calls *intent* (2008); secondly, they found that the effectiveness of competency development programmes was greatly effected by organisational climate, reinforcing the general view that the effectiveness of competency approaches are subject to context.

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Other challenges to competency development were cited by Mabey and Thomson (2000), who found that experience, personality and innate ability were the most influential causal factors in making an effective manager - not management education. Beech (2003) also provides strong evidence for the importance of innate factors: for example, he found that intelligence is the single most important predictor of management performance. What types of intelligence needs further exploration, such as how the concept of EI may impact upon management performance and, specifically in the case of this research, the impact of SI.

2.4.6.   Management and leadership competencies within context of organisational movements. Effective people management is significantly important to organisational performance and, as managers and leaders usually enact HRM policies through their roles by motivating and supervising staff, there must be a strong relationship between effective management and leadership and successful organisational performance (Burgoyne et al., 2004). Guest, Michie, Metochi and Sheehan (2000) explored this relationship between HRM and performance through a large scale survey of 850 organisations. The study found an association between HRM practices and economic performance. The main effects of HRM were found to be in its effect on motivation, employee commitment, quality and flexibility. The manager is the linking agent in these workplace relationships.

The effectiveness of management and leadership competencies in organisational settings is influenced by the culture and HRM practices of those organisations, and is both shaped by, and influences, these factors (Boyatzis, 2008). HRM is a manifestation of organisational development (OD) (Campion et al., 2011) and is intrinsic to competency modelling practice; traditional interventions may be of considerable significance as leadership becomes more recognised as a collective as well as individual capability in organisational settings (Haslam,

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2004). Competency modelling fits the definition of an OD intervention in the following ways

(Cummings and Worley, 2008):

• it is based on behavioural science

• it is an adaptive and iterative process

• there is extensive stakeholder involvement

• the project includes model implementation, as well as model development

• it focuses on both employee satisfaction and organisational effectiveness.

Cummings and Worley (2008) explored the epistemology of competency modelling,

claiming that it combines the most predominant approaches to OD: action research and social

constructionism. The action research element is found in the use of collected data to inform the

organisation in the creation of competency models; a social constructionist approach can be

found in the shared definition of a desired success for the organisation and, at a micro level, the

qualities required by the employees for effective performance – these constructs are created

through consensus within the consultation processes used to develop models and frameworks

(Campion et al., 2011). This epistemological position is considered further in the next chapter.

2.4.7. Summary of the literature on GMCs. There is consensus in the literature that the

purpose of competencies is to identify and predict effective performance. However, there is

disagreement about what constitutes a competency in terms of character traits, skills, aptitude,

knowledge and observable behaviours. There is also a difference of opinion as to whether these

can be taught, are innate or gathered through wider life experience. In spite of this, competencies

have been proven in several studies to be related to efficacious management.

The literature on management competencies is confused by the need to split the terms

leadership and management. Some commentators see this need as irrelevant as both roles are

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inter-linked. The application and usefulness of competencies are influenced strongly by the level

of granulation with a competency model of framework. Competency specificity has been found

to be helpful in management development. However, generic models are limited to a high level

of abstraction for universal utility. New's (1996) GMC framework provides an intuitive,

utilitarian and generalisable model that accommodates these differences found in the literature.

2.5. Research objectives and questions

Having reviewed the literature relating to this thesis, certain academic voids have been identified: these include matters regarding epistemological positions when researching spirituality, specificity in how AA's programme works, whether SI accurately explains intelligent processes and what happens when the 12 Steps are taken into the workplace. In consideration of these issues, the following objectives emerge in context to guide this research's pursuit of new knowledge:

- examine the fundamental concepts of AA's 12 Steps (AA, 2001) and management competencies.

- explore the concept and definitions of SI (Zohar, 1997) at work and associated competencies.

- ascertain and establish any commonality in the definitions of spirituality in context of both the spiritual 12 Step programme of AA (AA, 2001) and the concept of spirituality at work.

- establish whether the 12 Step programme of AA (AA, 2001) and the concept of SI (Zohar, 1997) at work are related to other performance related concepts of management.

In turn, the following specific questions are used to structure the research process:

1. What is the relationship between the spiritual 12 Step programme of AA (AA, 2001) and GMCs (New, 1996)?

2. What is the nature of the relationship between the spiritual 12 Step programme of AA (AA, 2001) and the concept of SI (Zohar, 1997) at work?

3. How can following the spiritual 12 Step programme of AA (AA, 2001) be applied usefully in a generic management role?

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Chapter 3

Epistemology, Ontology and Methodology

3.1. In search of a philosophy

Epistemology deals with "the nature of knowledge, its possible scope and general basis" (Hamlyn, 1995 p. 242). Major epistemologies associated with the social sciences also reflect the wider academic philosophical spheres of objectivism, constructionism and subjectivism.

Objectivism as an epistemological stance explains that things exist as meaningful entities independent of consciousness and that objects have truth and meaning residing within them (Simpson, 1982). In turn this creates a positivist theoretical perspective seeking independent truth as broadly attributed by Simpson (1982) to Auguste Comte. This search for empirical evidence evokes a scientific methodology – as espoused by the logical positivists such as Russell, Ayer and Godel (Crotty, 2010); this philosophy would include methods such as statistical analysis, although it should be noted that "Comte expressly makes a distinction between the search for certainty and the mistaken search for numerical precision" (Simpson, 1982 p. 69). The basic objectivist methods whereby these scientific laws are established are observation, experiment and comparison. These appear logical on a cursory level. However, when pursued in a positive manner, the methodology results in "scientists actively constructing scientific knowledge rather than noting laws that are found in nature" (Crotty, 2010 p. 31).

Such an objectivist approach would wholly deny the philosophical grounding of AA; the importance of experience, inclusion and spiritual meaning have, arguably, failed to be proved in empirical natural science-based epistemology. This is demonstrated in the debates about spirituality, phenomenal experiences and intelligence constructs. Wilson, the co-founder of AA, clearly believed that meaning is found by the individual from their conscious experience

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supported by a fellowship of similar subjects who have likewise experienced a spiritual

awakening as he experienced in his pioneering work with the other co-founder, Bob Smith (AA,

2001). Arguably, ontology and objectivist epistemology conflict on metaphysical grounds – they

do not deal with the real experienced lives of Smith and Wilson and the programme they created.

Therefore trying to study the inherent experiential qualities in a quantifiable manner would be

ineffective and unsuitable in trying to capture academically the world as seen by practicing

anonymous alcoholics who are organisational managers. Even in his objectivist response to the

concept of spiritual intelligence (SI), it is worth noting that Gardner's (2000) objection to the

concept is that, as a scientist, he cannot basically enumerate or quantify God according to his

criteria for intelligence constructs.

Incontrovertible established facts are not the intended product of this research – rather it is

offering its findings as interpretation given the assumptions of the research, its epistemological

grounding and its specific areas of interest. Its intention is to invite the reader to consider this

interpretation within the boundaries of social sciences, to consider its findings as contributory,

plausible and developmental.

Constructionist epistemology, however, acknowledges this objectivist limitation; this

philosophy posits that meaning and truth come into existence in and out of our engagement with

the realities of the world (Merleau-Ponty, 1962). Meaning is not discovered but constructed by

the mind; this construction is made in different ways by different people even to the same

phenomenon (Denzin and Lincoln, 2000). For this reason, it appears suitable for qualitative

approaches to research. This epistemology still acknowledges the objective in that

"constructionism is a partnership between subject and object which generate meaning" (Crotty,

2010 p. 9). In this way, alcoholism is a construction (O'Halloran, 2003), the concept of God

and a Higher Power are constructions and the fellowship of AA is also literally constructed.

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AA's programme was created out of ritual practice such as the 6 Basic Assumptions of the Oxford Group (Kurtz, 1991), its understanding of spirituality was constructed out of the insights of psychologists such as James (1902) and Jung (1961) and its structure has been created by its members. As the accredited founders of AA (Thomsen, 1975), Wilson and Smith were deliberate constructionists with the 12 Step programme providing a comprehensive means for ontology - a cyclical ontology: first it creates a structured spiritual programme, then it directs alcoholics to follow that structure resulting in a promised new life (AA, 2001, p. 84).

Fish's "poetry-God" experiment explains clearly how constructionism can go on to construct God through what he calls "poetry seeing eyes" (1990 pp182-3). Fish concluded that all objects are made and not found. The means by which they are made are social and conventional: social constructionism. Marshall (1994 p. 484) said that social constructionists see the world as "interpretive nets woven by individuals and groups" - it is a shared meaning. It includes the subjective within a communal context as opposed to having independent value only. It is this social construction that leads to the fellowship of AA – a fellowship of men and women who share their experience, strength and hope with each other (AA, 2013).

In addition to the epistemological leanings of AA, in the previous chapter it has been established that researchers have found that spirituality is best researched through qualitative frameworks – to capture the ethereal (for example Galanter, 2007; Munro, 2010). Furthermore, competency modelling has been placed in a social constructionist framework by Cummings and Worley (2008) and Campion et al., (2011) because, through the consensual development process with employees, that is just what competencies are – described and agreed by a group of people from their shared perspective.

In many ways, as a co-founder of the fellowship, Wilson himself was a constructionist

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 "bricoleur" as defined by Levi-Strauss (1966 p. 20): "he interrogates all the heterogeneous

objects of which his treasury is composed to discover what each of them could signify and so

contribute to the definition of a set which has yet to materialise". Wilson borrowed from what

was around him at the time in terms of religious and spiritual practice, economic setting, social

norms, medical and psychological knowledge. It is from the epistemology of constructionism

that we find interpretivism as a theoretical perspective as developed by Weber (1970). Weber's

interpretivism is concerned with understanding and explaining human and social reality. Popper

(1972 p. 96) wrote, "that interpretivism entails an ontology in which social reality is regarded as

a product of processes by which social actors together negotiate the meanings for actions and

situations". This process needs to be considered in context of the social influences on AA's

foundation as stated in the second chapter of this thesis.

From this theoretical perspective of interpretivism, a sub set of viewpoints emerge that

include symbolic interactionism, phenomenology and hermeneutics, providing complementary

perspectives upon which to develop methodological approaches. This research unifies these

fields under an ethnomethodological approach. Denzin (1989) argued that symbolic

interactionism gives birth to ethnography; ethnographology can include phenomenological

approaches and hermeneutics, allowing the researcher to uncover true meaning and intention

from discreet texts – in this case the philosophical grounding of AA, its 12 Step programme and

its literature (Denzin, 1987).

Symbolic interactionism stems from the work of social psychologist George Mead (1934).

It enunciates these basic assumptions: human beings act towards things on the basis of the

meanings that these things have for them; that the meaning of such things is derived from, and

arises out of, the social interaction that one has with one's fellows; that these meanings are

interpreted by the person in dealing with the things he encounters.

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Mead argued that a person's personality directly reflects the community he belongs to because he replicates the institutions of that community in his behaviour. Such a claim places social interactionism at the centre of AA's processes – this acculturation highlights the organisation's history, its programme and its fellowship. This supports Galanter's (1983 and 2007) work explored in the previous chapter examining the role of cults and fellowships such as AA and the conforming behaviours of the followers in belonging to such a group.

The methodology out of this perspective encourages the researcher to put him or herself in the place of the other (Coser, 1971 p. 340). The researcher takes the stand point of those studied - an ethnographic approach. O'Hallaron (2003 p. 81) argued that subsequent ethnomethodology - such as institutional interaction and interpretative phenomenological analysis – "emphasises data and fine grained detail and is eminently appropriate for studies of those within AA, not least of all because AA is largely constituted through language and discourse". These communicative processes contain the meaning for the anonymous alcoholic as evident in the tradition of 'sharing stories' (originating form the Oxford Group protocols) and the early organisational act of writing and publishing the book, Alcoholic Anonymous (2001) that explains the 12 Step programme.

Expanding upon ethnographical approaches, a hermeneutic treatment of these 12 Steps in the last chapter also expounds meaning for the reader helping interpretation of this research. Such an approach originates from traditional hermeneutics that studies the meaning of religious texts through trained interpretation and was developed in Heidegger's (1962) hermeneutical phenomenology as a direct ontological technique.

Building on a medieval philosophy, the way things are shapes the way people perceive things and this gets expressed in the way they speak - the role of language is revered in

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epistemological and theoretical perspective. Kearney (1991 p. 277) explained that Ricoeur's famous phrase "the symbol gives rise to the thought" expresses the basic premise of hermeneutics: that the symbols of myth, religion, art and ideology all carry messages which may be uncovered by philosophical interpretation. Hermeneutics, Kearney continued, is defined accordingly as "a method for deciphering indirect meaning, a reflective practice of unmasking hidden meanings beneath apparent ones" (Kearney, 1991 p. 277). This method has been applied to the 12 Steps to ensure that the reader has a context. As an example, Step 3 of the 12 Step programme states: "Made a decision to turn our will and our lives over to the care of God *as we understood Him*" (AA, 2001 p. 59). This statement contains values that the reader needs to be aware of in order to participate critically in this thesis. Through a hermeneutic approach, and with the help of commentators such as Kurtz (1991), it is revealed that the statement addresses the issues of surrender, the Freudian role of ego, spiritual faith, anti-religious sentiment, semi-secular structures and existentialist conviction – all of which have implications for the organisational manager aspiring to follow the 12 Steps.

Problems with this research methodology include the distinctive areas of conflict of reification, sedimentation and conformity. The problem of reification (Marcel, 1964) includes accepting things as quite simply the truth, the way things are, without challenge or question. However, some sense of reification is required for effective sobriety - the values of humility and service desensitise the ego of the alcoholic in the 12 Step process (see AA, 1953 p. 73). Gabriel Marcel went on to warn that reification includes "closed systems which imprison us" (Marcel, 1964 p. 35) and this is also applicable to sedimentation - the layering of interpretation upon previous interpretations and conformity which brings with it the dangers of William Blake's "mind-forged manacles" (Blake, 1794).

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Such concerns drive the phenomenological approach to respect the matters at hand themselves without these corrupted by-products of social constructionism. Husserl (1931) explained that "phenomenology invites us to set aside our previous habits of thought and see through and break down the mental barriers which these habits have set along the horizons of our thinking…to learn to see what stands before our eyes" (cited in Crotty, 2010 p. 28). Therefore, it adopts a slightly more positivist approach in trying to discover meaning that is already there, albeit with more scientific humility then fundamental positivism. As an interpretive activity, it involves some critique and objectivity of subjective social experience. In this way, Heidegger (1975) strongly argued that both phenomenology and hermeneutics are ontology. Along with this approach, many forms of phenomenological practice have evolved, each with a different emphasis on experience, phenomenon, reduction, bracketing and intentionality (Speigelberg, 1982).

As a phenomenologist, Marcel (1964) was keen to represent the reality of the individual. He repeated stated that experience is a mystery and in doing so raised challenges related to ontology. Relevant to this research, Albanese (1989) saw the organisational management role as a mystery whilst Galanter (2007, p. 226) explained these ontological complications in trying to define AA's spirituality. The Enlightenment's need for logical explanation is a wholly inappropriate approach to the inexplicable. A more relevant ontology found in ethnography, hermeneutics and phenomenology is needed.

What post modernism, as a philosophical setting, appears to allow the researcher to do is to lose epistemological divisions and structures, better reflecting a world of massification, pluralism and individuality (Derrida, 1981). It does not reject all other epistemologies but borrows from them to create a distinct research map which is more 'fit for purpose' in today's world. It does not exclude honouring the basic research journey of Compte's positivism. Indeed, post modern

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epistemology describes many research projects because it describes the journey and not the

methodology, which is where ontological difference may be revealed.

Post modernism therefore enables a multidisciplinary creative approach. However, critics

of post modernism can accuse it of a lack of scientific value and philosophical empiricism –

"ambiguity reigns where once there was clarity" as Crotty suggests (2010, p. 194). This caution

is validated in considering the fledgling inquiries into SI such as Zohar and Marshall's (2000)

proposed explanation of the concept. Crotty goes on to counter argue that in terms of

contemporary setting, "today is a messy moment for social research" (2010 p. 216). In

consideration of research philosophy, there appears to be many inherent conflicting and

complementary influences, representing individuality and diversity that provide the energy

required for human progression. These epistemological influences, the natures of AA, business

psychology and SI would advise a creative and flexible approach to methodology found in post

modernism. There are different phases to post modern psychology which directly deal with

underlying epistemological philosophy and it is only in the second phase of post modernism that

this research rests: the first phase of post modernism focuses on deconstructing modernism,

while the second phase is beginning to develop alternative epistemologies and methodologies

(Hoffman, Hoffman, Robison and Lawrence, 2005), demonstrating an epistemological pluralism

which does not privilege any one way of knowing. As an approach, post modernism suggests

that multiple epistemologies and methodologies should be utilized – a mixed method approach.

This accommodates the dual epistemological position of this research – to respect both the 12

Step programme and, academically, to study it application. Building upon this pluralism, post

modern psychology scrutinises the ability to know ultimate truth and uses multiple and

interdisciplinary methodologies in its attempts to know (Hoffman, 2004). Using a single

methodology is regarded as limiting and simplistic.

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3.2. Methodology

Crotty (2010) states that ethnographic inquiry "in the spirit of symbolic interactionism, seeks to uncover meanings and perceptions on the part of the people participating in the research, viewing these understandings against the backdrop of the people's overall world view" (p. 96). In line with this approach, the researcher tries to see things from the perspective of the participants. This theoretical perspective and methodology informs this research.

It is important to clarify that a post modern paradigm, through its flexibility, allows any pre-modernist possibilities to be considered; if pre-modernism concerns that which came before industrialisation or the positivism of the Enlightenment (see Crotty pp185-6), matters such as spirituality may well be aligned with that epistemology. However, as with AA's birth following the Wall Street Crash and Great Depression of the 1920s and 30s, which sets its firmly in a social constructionist framework, this research takes place in context of the global financial crisis of 2007 (Shiller, 2008) and any subsequent study is in context of that post–industrial setting; the sample of AA participant managers are well aware in their own world of that happening.

How does such an epistemological, ontological and methodological pedigree dictate a specific research plan? In referring back to the research questions stated at the end of the last chapter, academic triangulation is achieved by using these specific methods: Interpretative Phenomenological Analysis (Smith, 1996); Workplace Observation (Lucia and Lepsinger, 1999) and administering the Integrated Spiritual Intelligence Scale (ISIS) psychometric questionnaires (Amram and Dryer, 2008). In turn, the data acquired through these processes enabled discussion of the work-related psychological concepts relating to managerial competencies. As a provocation for the academic research process, the following *a priori* theory was adopted: 'using the 12 Step programme of AA complements general management competencies as defined by New (1996)'.

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3.3. Chosen research methods

In order to test the stated research objectives and questions (p. 128), the following methods were employed to generate data for analysis, discussion and further heuristics:

3.3.1. Qualitative method 1: Interpretive Phenomenological Analysis (IPA) (Smith, 1996).

This method is born out of both interpretive and phenomenological perspectives that, in turn, derive from a constructionist epistemology. Because the research is centred on managers using the 12 Steps of AA, IPA correlates with ethnographic inquiry as an appropriate ontology, entailing observation and interpretation (Clark-Carter, 2004). However, there is now a post modern point of departure in that IPA involves a more quantitative approach – but not exclusively. This places IPA within the chosen constructionist epistemology in that it acknowledges Crotty's (2010) observation that constructionism is a partnership between the subject (the sample) and the object (the 12 Steps and GMCs) which generates meaning. The literature reviewed and epistemological considerations discussed earlier in this chapter identify academic ambiguity and conflict in this thesis' focii and the post modern setting for this research has been chosen as the most suitable for addressing Derrida's (1981) need to accommodate pluralism such as by using alternative epistemologies to uncover truth.

IPA research methodology is essentially a qualitative process which uses an ideographic focus; this helps to explore individual perceptions and make sense of certain phenomena in a specific context (Smith, 2004). The phenomena explored in an IPA focus on specific experiences of individuals such as major events in their lives or their understanding of specific relationships. Cross sample themes and clusters are then identified in a slightly more positivist organising structure by referring to numerical frequency of phenomena in the data.

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IPA was developed from work by Smith, Harre and Van Langenhove (1995) and has a specific procedural approach to help establish theories. It has been influenced in its development by phenomenology first put forward in 1936 by Herserl (Fade, 2004) - this method honours Heidegger's (1962) hermeneutical phenomenology.   IPA has its origins in health psychology because those associated with its development worked in this field. This association supports the belief of AA that alcoholism is an illness (AA, 2001) and the arguments that spirituality increases wellbeing and health (for example Amram, 2007; Coward and Reed, 1996; Maltby et al., 1999). Smith and Osborn (2003) claimed that the method is particularly useful in dealing with complex issues. Fade (2004) further argued that ensuing methods such as IPA are particularly useful to help clarify and develop theories and models which could help inform organisational policy; for this reason, it is increasingly being used in the field of occupational psychology (Hefferon and Gil-Rodriguez (2011 p. 756).

Fiske and Taylor (1991) identified other research relatives of IPA which have been associated with other areas of qualitative phenomenological psychology such as discourse analysis, standard thematic analysis and content analysis. However, unlike these methods, IPA respects some empirical processes in terms of frequency of phenomena and factor analysis techniques to acknowledge the objective. This places the method in a constructionist epistemology in that it marries the subject with the object. Furthermore, its aim is to recruit participants in order to explore an area of research to develop a comprehensive interpretation of the data. IPA research tends to focus on examining similarity and difference in a smaller group of participants (Smith and Osborn, 2003).

Like most research techniques associated with psychology, IPA is not perfect and has generated some criticism. These criticisms reflect Marcel's (1964) concerns about reification, sedimentation and conformity. For example, research using IPA is attempting to understand and

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access the real world of the participating individual – however, this approach is dependent on, and complicated by, the preconceptions of the researcher that are required to initiate the study (Smith, Jarman and Osborn, 1999). It is also limited by the communication skills of the participants in that they need to describe their perceptions in a way that the researcher can reflect on. In turn, this limitation then highlights the interviewing skills of the researcher to access information as well as their objectivity in organising the data.

Other concerns about this research process raise matters relating to pre-conceived hypotheses – bearing in mind that IPA should be lead by the participants, in theory. Smith and Osborn (2003) suggested that IPA does not use a predetermined hypothesis; rather the aim is to explore - flexibly and in detail – a specific area. However, no research would take place without some area of interest by the researcher who should have some idea of the areas that they wish to explore, such as business psychologists. This includes having an awareness of the literature surrounding a subject and its current context and concerns. This turns the reflexivity statement made in the last paragraph at the end of the first chapter of this thesis from a possible limitation into a research strength (p. 11).

A significant way of accommodating concerns about the quality of an IPA intervention would be expressed in interview design factors and further quality can be assured in the process by ensuring representative and relevant sample recruitment, using good interview techniques and clear objective coherent coding of phenomena and referring any findings back to the literature (Hefferon and Gil-Rodriguez, 2011). In the analysis process, Fade (2004) advised that the interpretation of conversations should be lead by themes derived from: prevalence (frequency of reference); articulacy (ability to explain coherently to others); immediacy (ease of recall and identification); precision (clarity of commitment) and manner (passion). In turn, these observations support the origin of the scientific management approach developed by Flanagan

(1954) via the critical interview technique that explores the ontological perceptions of the individual - in this case the world of the AA participant manager. Cognitive interviewing (Willis, 1999) accommodates these concerns so as to minimise error in research processes using interviews to generate data.

Turner, Barlow and Ilbery (2002) used 12 participants in their study of sufferers of osteoarthritis as they felt that at this point data saturation occurred (defined in this instance as no new themes emerging) – however, small norms can reduce the potential for confounding data which could be essential. Any conclusions drawn about sample size are project specific and this needs careful consideration before drawing any conclusions (Flowers, Smith, Sheeran and Beail , 1997). Smith (1999 p. 424) argued that "from an idiographic perspective, it is important to find levels of analysis which enable us to see patterns across case studies while still recognising the particularities of the individual lives from which those patterns emerge". Therefore, the data obtained from the research provides possible structures for future reference by other researchers.

3.3.2.   Qualitative method 2: Workplace Observation (Lucia and Lepsinger, 1999).
Cassell and Symon (2004) suggested that qualitative research is context-dependent. By placing this research method in the workplace, this method directly addresses concerns about constructionist epistemology and 'poetry-seeing eyes' (Fish, 1990) whereby participants may over-analyse, exaggerate or misrepresent both the subjective and the objective. It prevents or reduces these concerns by actually observing participants in action and in naturalistic settings on location in organisations rather than in artificial settings. Therefore this observation element involved a number of subjects from the sample who were able to facilitate the researcher accompanying them through a working day. During this time, a structured framework informed by critical interview technique (Willis, 1999) was used to explore the relevance of the 12 Step programme whilst conducting their organisational function. It tested the Step 12 call on

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followers "to practice these principals in all our affairs" (AA, 2001 p. 60). The recordings of the researcher form part of the data analysis.

Denzin and Lincoln (2000) explained that such observation is a widely used methodology in many disciplines, such as sociology and social psychology and is a popular form of ethnography. Its aim is to gain a close and intimate knowledge of a given group of individuals such as a religious, occupational or cultural group or a particular community – in this research project, members of Anonymous Alcoholics - and their practices through an intensive involvement with people in their natural environment. This is usually over an extended period of time. Denzin (1989 and 2000) has written extensively about both qualitative research methods within the social sciences and AA. His studies have centred around both ethnographology and participant observation (Denzin, 1987 and 1997). O'Halloran (2003) argued that it is possible to categorize Maxwell's (1984) The AA Experience as an example of an ethnographic approach using participant observation and the use of knowledgeable informants.

A key principle of the method is that the researcher should try to operate within the world of the participant, even if only as an outside observer. Overt observation, however, is limited to contexts where the group – or in this case the sample - understands and permits it. Critics, such as Douglas (1976), of overt participant observation argued that study is subsequently restricted to the public fronts socially constructed by actors. Social scientists have questioned the degree to which such observation can give accurate insight into the minds of other people (Rosaldo, 1986). In response researchers have attempted to refine processes and conduct observation exercises in a more quantifiable basis, such as grounded theory (Glaser and Strauss, 1967) or IPA (Smith, 1996).

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Although such observation is commonly seen as qualitative research, by conducting this intervention after the more positivist IPA intervention, the researcher was able to accommodate concerns about the validity of this observation method by more detailed and insightful interaction with the people in the sample, cutting through how things might look to how they really are (DeWalt, DeWalt and Wayland, 1998). As a direct extension of the post modern setting, interdisciplinary research design and phenomenological bias of this research, it allowed the IPA data to be cross-referenced with the reality of being a manager to reveal any discrepancies between the aspiration of the 12 Step programme and the reality of of applying it in the workplace. Furthermore, whilst New's (1996) GMCs provides a universal construct because of the high level of granulation, this Workplace Observation method supports Boyatzis (2008) reservation in the literature that such competencies can only be applied effectively in context of the job and organisation (see Figure 2.6. on p. 105 this thesis).

3.3.3.   Quantitative method 3: ISIS psychometric questionnaire (Amram and Dryer, 2008).

Earlier in this chapter, it was established that post-modernism enables a mixed-method approach to research in attempt to uncover relevant and valid data – ultimately the truth. Therefore. the use of a questionnaire was chosen to complement the qualitative IPA and Workplace Observation methods. This provided a positivist juxtaposition. It was chosen as a method as a provocation for comparison to help uncover, clarify and strengthen any arguments and conclusions drawn from this process. In this way, it manifests as a method to address Marcel's (1964) concerns that phenomenology may produce distorted realities because use of the ISIS (Amram and Dryer, 2008) complements the idiosyncratic positions of the sample with an additional lens. It respects also the research caveats raised in the previous chapter about evidencing SI through psychometric properties. The ISIS also acknowledged that post modernism in psychology does not dismiss all other epistemologies and ontology; rather it

appears to dismiss the boundaries between these approaches in a complex world (Hoffman et al, 2005).

Maltby, Day and Macaskill (2013) claim that measurement is a cornerstone of modern psychology and that psychological tests are of crucial importance to research. However, these tools are notorious for a range of situational, construction and administration errors (Kline, 2000). In order to counteract these numerous sources and margins of error, psychometric tests must be objective, standardised, reliable, valid and differentiate fairly. Subject to these standards, however, a skilled psychological researcher should be able to use tests to provide a stimulating discourse from relevant data.

Along with a lack of a common definition explained previously, there is also a great deal of disagreement over the measurement of SI and its related competencies – indeed, the question remains in consideration of post modern epistemology and the nature of 'mystery' (Marcel, 1964), whether it should be measured at all in empirical terms. However, the literature revealed several questionnaires that have been developed and these have been scrutinised for statistical significance to ensure that any instrument was selected upon the grounds of reliability and validity for this specific sample. In context of the ISIS (Amram and Dryer, 2008), this measure was proven to be reliable (Cronbach's alpha 0.97) and valid; to test validity, Amram and Dryer (2008) tested their framework for correlations with 3 other related instruments (Index of Core Spiritual Experiences, Satisfaction With Life Scale and Inspirit) with correlations ranging from .48 to .78.

The use of psychometrics has lead to a growth industry in the field of occupational psychology and business consultancy (Furnham, 2008). Ensuing commercial motivation has increased concern about the effective and ethical use of such tests by organisations. In an attempt to minimise these negative factors, strict qualification guidelines are currently used by

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the British Psychological Society which include the understanding and implementation of a thorough ethical policy statement to protect people's wellbeing, data and confidence in the tests. Along with anonymity issues, these ethical issues guided all processes within this thesis and were subject to clear bespoke monitored ethical policies such as university research guidelines.

3.3.4. Summary of methodology. With an estimated over 90% of its world-wide membership in work (AA, 2011), anonymous alcoholics working in a management capacity have a story to tell about how they take their programme into work and if or how it helps them to fulfil their role. This research, driven by a post modern constructionist epistemology, a participant-centred ontology and a robust qualitative-led triangulated research plan aims to provide unique academic data on the fundaments of being, meaning and work.

Beyond the epistemological and ontological theoretical issues explored in this chapter, there are other practical challenges within the research to date which go on to highlight specific areas of contribution that this thesis might make. Firstly, the research of alcohol and drug dependency explores effective recovery via various routes through mapping different samples in various stages of their recovery: the existing research does not take successful recovery as the starting point for further research – in this case those that follow the 12 Step programme successfully in terms of sobriety. This is possibly symptomatic of research trying to prove effective recovery techniques – literature reviewed suggests that this search drives the fields of study. However, this research is not concerned about effective recovery techniques – it accepts that the AA participant managers in the study consider themselves securely in a recovery programme which is working for them and explores the legacy of this position in their organisational roles as managers.

Secondly, the research into alcoholism in the workplace is problem focused on areas such

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as employee assistance programmes and related welfare policies. This research does not treat alcoholism as a problem; it treats alcoholism as a spring board into a spiritual programme that changes the lives of those that follow it and posits a general hypothesis that following the 12 Steps actually leads to better management – at least in the case of the sample – and in turn this can lead to more effective organisations. It reverses the research trends of what organisations can do for those with dependency issues to what can those with dependency issues can do for the organisation.

Another major concern with the research is that of defining and validating SI and proving that it has a role to play for organisational managers. The Gardner - Emmons - Zohar debate covered in the literature demonstrated a lack of epistemological consensus, whilst many such as Burack (1999), Garcia-Zamor (2003), and Krishnakumar and Neck (2002) went on to promote the practical use of SI in the workplace. This study of a group of anonymous alcoholics who enact management roles identifies their voice on the matter and explains it *in situ* through an ethnomethodological approach (O'Halloran, 2003).

Finally, there is a lack of such research data about recovering alcoholics in organisational management roles probably because any managers who follow the 12 Steps of AA are just that – anonymous – and thereby defy research. By working with the sample, this research uniquely goes inside the world of the anonymous alcoholic who is an organisational manager.

3.3.5. Ethical overview. Having established the methodological choices, dealing with a sample of AA participant managers raises ethical concerns. The literature reviewed in chapter 2 reveals that the thoughts, emotions and behaviours that can lead to active addiction in this population are complex. Therefore, this research ensured the following ethical considerations.

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The research aims and designs were considered and approved as ethical by university ethics protocols. The sample was identified because they had a self-reported 2 years minimum sobriety and were not active alcohol 'misusers'. Their sobriety had strong foundations. Specifically, the research also focused on the 12 steps programme only in context of workplace roles. This is evidenced in the semi-structured interview questions (Table 3.1 on page 151) and Workplace Observation Report (see appendix I on page XLI).

Epistemologically, the research was based on the assumption that the 12 Step programme worked for the participants. The research does not challenge the efficacy of the 12 Steps in this thesis. The constructionist position of the research design leads to an emphasis of the perceptions of the participants being paramount – not challenged. The IPA method demonstrates this. It puts the participants and their opinions in the driving seat. Therefore, the possibility of negative affect was reduced.

In regard of method 2 – Workplace Observation - usual ethical protocols might dictate an approach to the employing organisation from the researcher for permission to conduct the method. In the case of this sample, all approaches were made through the AA participant manager to allow them to protect their anonymity and allow them to judge whether participation in this method – and asking for their employer's approval – was appropriate, necessary or too risky. Additionally, the request for participation in this method described the study broadly as being concerned with observing managers in context of general management competencies. This wording protected the anonymity of the sample. Without such an approach to informed consent, this method would not have been possible.

Other specific ethical considerations explained in the forthcoming method section include: the use of pseudonyms at all stages; the deliberate lack of personal identifying data;

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appropriate data protection systems; ensuring clear pathways to withdraw consent at any

stage of the research collection; supervision of the research by appropriately experienced

academics on behalf of the university and, finally, the deletion of any possible

compromising data such as names, signatures, places and times.

In addition, the 12 Step programme used by the participants is comprehensive and

provides devices – such as the role of a sponsor/mentor - to help deal with any negative

affect. Ultimately, this thesis respects Traditional 12 of AA (1953) that promotes anonymity

as the foundation of the 12 Step programme.

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3.4. Methods and Samples

It is important for the validity of these methods that the sample is appropriate and clearly defined; in this case, participants were selected on

- geographic location

- a minimum of 2 years sobriety within the 12 Step programme

- holding a current management position

- willingness to participate

- sufficient english language usage to participate in the study.

The sample formed 3 populations – one for each of the methods. The sample for method 2 ($n3$) was drawn from the larger sample in method 1 ($n12$). Likewise, the sample for method 1 ($n12$) was drawn from the larger sample of method 3 ($n25$). This is displayed in Figure 3.1.

Figure 3.1.   *Sample recruitment process*
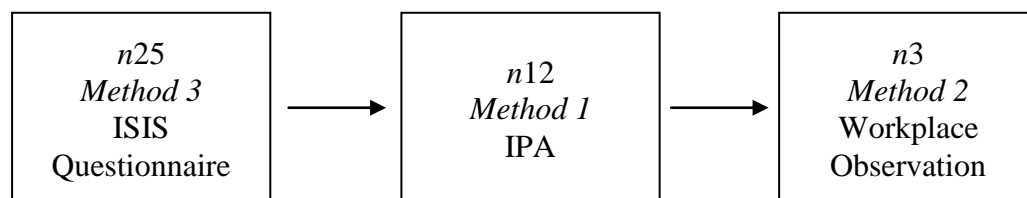
3.4.1.   Method 1 qualitative IPA (Smith, 1996)

3.4.1.1. Population of sample. 12 AA participant managers were recruited from a sample of 25 AA participant managers from method 3. Invitations to participate were distributed to the managers who completed the ISIS (Amram and Dryer, 2008) questionnaire and selection was based on: the ability to protect AA's Tradition 12 of anonymity (AA, 1953); the perceived value of interviewing the individual manager (as this sample needed to reflect a range of positions and

management level – therefore similar managerial roles from the same sector were avoided) and logistical practicality based on available time and location. 8 women and 4 men participated.

3.4.1.2. Process. The individual interviews were recorded and transcribed verbatim (see Appendix C: Example of IPA interview transcription p.IV). Once transcribed, the audio files were destroyed. The transcripts were analysed twice in Microsoft Word using IPA techniques to identity, explore and establish phenomena and clusters. The transcripts have been kept securely until this thesis is approved – the data will then be destroyed. The findings of the interviews have been contrasted with research reviewed in the literature. The findings are discussed in the forthcoming chapters.

3.4.1.3. Confidentiality. In line with the ethical considerations explained earlier in this chapter, it was unnecessary to use personal identity for this research which ensures a degree of confidentiality and data protection compliance. No dates, times or specific locations have been mentioned in transcripts – any identifiable data have been removed. During the interviews and in the transcripts, pseudonyms have been used; this anonymity continues throughout the discussion and subsequent chapters. A signed confidentiality agreement was imposed with the transcriber (See Appendix D: Transcriber confidentiality agreement p.XXXIII). Participation in the interviews was accepted as informed voluntary consent.

3.4.1.4. Initial Briefing. Participants were told before each interview the broad aims of the research to ensure informed consent. Contact details of the supervising tutor and researcher were made available to all participants so that they could pursue any matters arising that could not be resolved immediately by the researcher.

3.4.1.5. Consent. Each participant signed a consent form (See Appendix E: IPA

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participant consent form p.XXXIV). All participants were able to withdraw from the research at any stage by contacting the doctoral supervisor or researcher, identifying themselves by their pseudonym.

3.4.1.6. Interview structure. In light of the concerns about interviewers confounding the responses of participants, critical interview prompts (Willis, 1999) were used to stimulate the interviews to promote discussion and appropriate disclosure by the participants. The order and exact wording of each item were adapted to each conversation whilst trying to remain consistent. The questions in Table 3.1. were used as a guide by the researcher in all IPA interviews:

Table 3.1.   The IPA Interview questions

i.   Can you confirm that you follow the 12 step programme of AA and for how long?
ii.   Can you explain what you do, your role and the sector you work in?
iii. In what ways do you supervise, manage or lead others?
iv.   Can you provide an example of how your work entails each of the following 8 generic management competencies? *(each GMC reviewed)*
v.   Can you explain if or how each step of AA's spiritual programme applies to your work as a manager? *(each Step reviewed)*
vi.   How does your work as a manager conflict with your 12 Step programme?
vii. What makes a good manager?
viii. How important are the 12 Steps to your role as a manager?

The interviews used a semi-structured format and provided an in depth analysis of GMCs and the 12 Steps. In addition to phenomenal antecedents, causal mechanisms and outcomes, the dialogues explored previous management behaviours of the sample of managers (prior to following the AA programme) and what the sample deemed to be good management behaviours in other workplace managers. The interviews commenced with

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validation of the overarching constructs - New's (1996) GMCs and 12 Step (AA, 2001) utilisation - and the ensuing citations confirmed application of both constructs in each subject's managerial role.   The interviews then went on to explore how the constructs interacted and explored any potential conflicts.

3.4.1.7. Coding and referencing system. Each citation that referred to a phenomenon was identified by a unique code to enable qualitative data analysis.   For example, the following reference MIC193-5/PBI translates as:

MIC =   Mick (pseudonym of AA participant)

193-5 =   Line reference in Mick's transcript

PBI =   The 'phenomenon' reference for *personal behaviour inventory*

Other referencing suffixes, beyond those identifying the individual phenomena, were used in the analysis to represent specific clusters, individual Steps or a specific GMC.   These suffixes are:

/S1   Step 1 reference (for example NOE675/S1)

/N1   GMC 1 action management reference (for example RHI34-7/N1)

/GMB Good Management Behaviour reference (for example HAM90/GMB)

/PMB Previous Management Behaviour reference (for example SAL1209/PMB)

Pseudonyms were abbreviated using the following key:

Noel = NOE	Ron = RON	Hugh = HUG	Hamilton = HAM
Quentin = QUE	Sally = SAL	Maddie = MAD	Rhian = RHI
Bob = BOB	Claudia = CLA	Mick = MIC	Paul = PAU

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3.4.2.   Method 2: Qualitative Workplace Observation. Review of the literature had found no previous studies that had observed AA participants in their work life as organisational managers. Therefore, to explore the theory of spiritual intelligence (SI) used in the ISIS (Amram and dryer, 2008) with the 25 AA participant managers, along with the lead IPA (Smith, 1996) process, this method helped to triangulate the research methodology with an actual observation of 3 AA participant managers in context of New's GMCs (1996) and AA's 12 Steps (2001).

3.4.2.1. Population of sample. In order to ensure in depth and confidential individual observations, 3 participants were recruited from the IPA sample (*n*12). The group were selected because of their management role, their reported sobriety and number of years in the 12 Step programme, practical considerations and their willingness to participate in a research project. Of the 12 IPA participants, a total of 4 were approached to identify the eventual sample of 3. Geographical location was also a factor to enable selection of local people. A trial participant helped to validate the format. The trial participant was female who was unable to participate fully in this method owing to concerns about anonymity and AA's Tradition 12 (AA, 1953). By allowing the AA participant manager to veto whether it was appropriate to participate in this way (i.e. is it safe for me to do this?), ethical considerations were met (as opposed to going through their employer as might be the usual protocol). The eventual 3 male participants had a mean of 15 years in the programme and worked as senior managers in construction, the arts and social welfare. In order to protect anonymity, the participants were sent official requests simply to observe them in their management role to assist a study relating to general management competencies (see Appendix F: Workplace observation request p.XXXV).

3.4.2.2. Interview technique. Using critical interview technique (Willis, 1999) and adapting the "Day in the work life" competency observation framework outlined by Lucia and

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Lepsinger (1999, p. 79), an observation template was produced and used for reporting on this method (See Appendix I: Workplace observation report p.XLI). Use of this template addressed concerns about the reflexivity of the researcher raised by Fade (2004) and protected the epistemological concerns of misinterpretation in constructionist and phenomenology raised by Marcel (1964).

3.4.2.3. Process. The individual observations consisted of pre and post work interviews and an 8 hour working day observation. The researcher was introduced to any colleagues of the participant as a researcher exploring general management competencies. Notes were made throughout the day and were constructed into a research reference document at the end of each day (see Appendix I: Workplace observation report p.XLI). The reporting document was analysed twice in Microsoft Word using thematic techniques to identity, explore and establish evidence of how the 12 Step programme was used by the manager in their organisational role. To facilitate this research goal, phenomena and clusters from the IPA process and the two superordinate constructs of New's GMCs (1996) and AA's 12 Steps (2001) were used as parameters. The findings of the observations have been contrasted with issues raised in the literature in the discussion chapter.

3.4.2.4. Confidentiality. It was unnecessary to use personal identity for this research which ensured a degree of confidentiality and data protection compliance. No dates or locations have been mentioned – any identifiable data has been left blank in documentation. During the observations and in the notation records, pseudonyms have been used; this anonymity continues throughout the discussion and subsequent chapters. This is a manifestation of the ethical considerations explored earlier in this chapter.

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3.4.2.5. Initial briefing. Participants were told before they participated in this element of the research the broad aims to ensure informed consent. Contact details of the supervising tutors and researcher were made available to the participants. The invitation request outlined these considerations and was emailed to the participant asking for participation in a Ph.D. research study exploring general management competencies (see Appendix F: Workplace observation request p.XXXV).

3.4.2.6. Consent. Participation in the observation was accepted as informed voluntary consent. All participants were able to withdraw from the research at any stage by contacting the tutor or researcher, identifying themselves by their pseudonym.

3.4.2.7. Structure. The observations provided an in depth analysis of management roles. They explored how the manager integrates the 12 Steps with their organisational function through New's GMCs (1996). The following structure was used to stimulate the observation and to promote discussion. In order to accommodate dynamic rapport building, the order and exact wording of each item were adapted to each observation whilst trying to remain consistent and reflexive in the questioning technique. The follow structure was used on each observation day:

- introduction and briefing

- today's work agenda

- preparation for the day

- role context

- observation of management activities

- post-work review

- 12 Step utilisation

- observed evidence of New's (1996) GMCs.

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3.4.2.8. The observation.   The observation days enabled the researcher to consider antecedents, causal mechanisms and outcomes of working the 12 Step programme in a practical managerial situation. This method enabled the researcher to explore how New's (1996) GMC's and AA's 12 Steps (2001) were used on a daily basis within the workplace setting. The observations consisted of pre and post-work interviews which dovetailed with a shadowing protocol; the researcher accompanied the subject about their work activities on each day and, when appropriate, discussed what had been observed with the AA participant manager shortly after any intervention.

To protect ethical considerations, it was agreed with the participant that the researcher would remove themselves from any situations that the participant deemed confidential. The need for confidentiality at work did arise with a participant on a number of occasions when the researcher left specific meetings and discussions so as not to hinder the managerial process. These situations related to an unprecedented staff conflict situation or sensitive client matters. Such instances were followed by discussion between the AA participant manager and the researcher to establish broadly what the situation involved so that consideration of the constructs under research could be accommodated. The observation report was written by the researcher at the end of each observation day and evidences any such situations (see Appendix I (p. XLI).

3.4.2.9. Referencing system.   In order to create a valid reporting system, a reference template was created and used for each observation report. Pseudonyms of the participants are abbreviated using the following key: Noel = NOE, Ron = RON, TJ = TJ. After each name, the letters OB identified that the reference related to the observation method. Then, each relevant reference was coded with a section number from each report (there were 29 sections in each report) and a suffix was then added to denote what the reference was: in the case of a reference

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to a Step, the suffix 'S6' would represent a reference to Step 6; in the case of New's (1996)

GMC construct, the suffix 'N1' would refer to New's first GMC of action management. As

an example, the reference NOE/OB/7/S6 refers to:

NOE   =   Noel   (pseudonym for AA participant manager)

OB   =   Observation method

7   =   Linear numerical section reference to citation used in observation report

S6   =   Step 6 example.

3.4.3.   Method 3: Quantitative ISIS questionnaire (Amram and Dryer, 2008)

3.4.3.1. Population of sample. The purpose of this research method was to measure the SI

of the AA participant managers against the only appropriate existing norms for the Integrated

Spiritual Intelligence Scale (ISIS - Amram and Dryer, 2008) construct.

3.4.3.2. Selection. AA participant managers were recruited at AA meetings open to the

general public in 3 regions. Invitation letters to participate (see Appendix G: Invitation to

participate in ISIS qualitative study p. XXXVI) were distributed after each meeting attended by

the researcher and 25 participants in managerial positions were recruited (see Table 3.2.

Research participants) to meet the G power significance with a .8 significance factor (Cohen,

1992). The modal age category for the group was 32 - 65. Each participant completed the ISIS

questionnaire (see Appendix H: ISIS Questionnaire p.XXXVII) and returned it to the researcher

via the post in pre-addressed and stamped envelopes. Completion of the questionnaire was

interpreted as informed voluntary consent. 100% participation was achieved from the sample,

although one invitee declined to join the sample, questioning the ability of academia to measure

spirituality.

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3.4.3.3. Confidentiality. Tradition 12 of AA (AA, 1953 p. 110) was given primacy in this

research to protect the identity of individuals using the AA 12 Step programme and operating as

part of the AA fellowship. To maintain confidentiality, no identifying information was

collected. Participants were identified through pseudonyms in the data. Data relating to the

variables of ages, years in programme, gender, management position and employment sector

were collected also.

Table 3.2.   Research participants (n25)

Pseudonym	Gender	Age	Years In AA	Management Position	Sector
Doreen	F	50	7	Logistics Manager	Military
Sal	F	39	9	Senior Project Manager	Social Welfare
Alan	M	47	10	Team Manager	Sports
Hugh	M	65	12	CEO	Higher Education
Neil	M	58	23	PR Director	Oil Multinational
TJ	M	43	3	Dance Producer	Arts
Rhian	F	42	23	Regional Director	Health Services
Paul	M	40	21	Catering Manager	Education
Adriene	F	37	2	Management Consultant	Banking
Tim	M	32	2	Management Consultant	Telecoms
Josie	F	52	27	Director	Travel Agency
Claudia	F	33	5	Senior Project Manager	Housing
Les	M	61	8	Team Manager	Social welfare
Daryn	M	38	8	Project Manager	Civil Engineering
Kerry	M	40	11	Film Maker	Arts
Graham	M	49	5	Director	Construction
Maddie	M	35	2	Project Manager	Local Government
May	F	33	8	Credit Controller	Commerce
Quentin	M	46	20	Regional Manager	Residential Lettings
Noel	M	55	29	Senior Team Manager	Social Welfare
Karl	M	53	10	Director	Construction
Hamilton	M	48	12	Business Manager	Urban Regeneration
Bob	M	44	4	Warehouse Manager	Charity Retail
Mick	M	43	2	Senior Partner	Legal
Ron	M	53	13	Commissioning Manager	Construction

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3.4.3.4. The comparison norms. Hypotheses were posited using comparison scores against the 4 existing norms detailed below. The academic development of the ISIS generated these comparison norms that were grouped according to two axis factors – subjects nominated for spirituality and subjects nominated for business acumen (defined as business leaders by Amram and Dryer, 2008 p. 12). These populations varied across the 2 independent variables and for each factor there were 2 categorical levels: a population nominated to be high on the factor and another population not known to be high on the factor. Amram and Dryer (2008) did not presume that any sample group was nominated to be low on either factor. They used snowballing (Heckathorn, 1997) and peer recommendation to identify participants which met their criteria for 'high' spirituality, defined as those "who were distinguished by the application, manifestation, and embodiment of spirituality in their daily lives in ways that enhanced their functioning and wellbeing, i.e. believed to be spiritually intelligent" (Amram and Dryer, 2008 p. 11); this 'high spirituality' group including spiritual teachers, professors, religious leaders, spiritual guides and coaches. Factors such as career success, academic prowess and organisational status relating to leadership and management were used to identify individuals supporting their concept of business acumen. Specifically, these participants were organisational leaders and managers or students on a "top rated" advanced MBA post graduate course. To identify individuals for the embodiment of both factors – spirituality and business acumen - participants were recruited from business leaders who embodied spirituality with vocational success nominated by others for meeting both criteria.

Amram and Dryer (2008) needed to compare the ISIS scores of these groups with the scores of a comparison group of participants not nominated for either factor. This comparison group was recruited through convenience sampling, invitations to associates, advertisements through email lists and word of mouth. Therefore, in theory, these participants would vary on the factors of SI and business acumen and were representative of a general US population. This

group of participants was not thought to have low embodiment of spirituality or low levels of

business acumen; Amram and Dryer simply had no evidence about their embodiment of

spirituality in daily life one way or the other.

The 4 norms were therefore used as comparison groups against the sample of AA

participant managers. This is displayed in Table 3.3.

Table 3.3.   *The ISIS sample and comparison norms*

Sample 1: AA participant managers (*n*25) - the age range was 33 - 65.
Norm 1: spiritual leaders (*n*17) - individuals nominated for high spirituality and not nominated for business acumen; 5 men, 7 women, and 5 who did not report gender. The modal age category was 45 - 54 with 7 participants reporting their age in this category.
Norm 2: general U.S. population (*n*210) – individuals not nominated for spirituality and not nominated for business acumen; 59 men, 116 women, and 35 who did not report gender. The modal age category was 35 - 44 with 72 participants reporting their age in this category.
Norm 3: business leaders embodying spirituality (*n*15) - individuals nominated for high spirituality and nominated for high business acumen; 9 men, 5 women and 1 who did not report gender. The modal age categories were 35 - 44 and 45 - 54 with 6 participants reporting their age in these categories.
Norm 4: advanced MBA students (*n*21) – individuals not nominated for spirituality and nominated for high business acumen: 15 men, 5 women, and 1 did not report gender. The modal age category was 18 - 24 with 16 participants reporting their age in this category.

3.4.3.5. Hypotheses. Using the existing norms and the sample of AA participant

managers, the following hypotheses were used for this research method:

- *Hypothesis 1*. Sample 1 would have higher SI than Norm 2 (general U.S. population not

  nominated for spiritual intelligence and not nominated for business acumen)

- *Hypothesis 2*. Sample 1 would have higher SI than Norm 3 (business leaders nominated for

  spirituality intelligence and nominated for high business acumen)

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- *Hypothesis 3.* Sample 1 would have higher SI than Norm 4 (advanced MBA students not nominated for spiritual intelligence and nominated for business acumen)

- *Hypothesis 4*. Sample 1 would have lower SI than Norm 1 (spiritual leaders nominated for spiritual intelligence and not nominated for business acumen)

This final method completes a triangulation approach to data gathering and analysis. In this way, the ISIS forms the post modern, mixed method element if the research that 'best fits' the complex and ambiguous focii reviewed in the literature. This final objectivist element is accommodated for in constructionist epistemology (Crotty, 2010) and respects the overarching field of psychology, in which this thesis sits, in that the field uses scientific methods to support efficacious approaches to work.

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3.5. Possible limitations of the study.

As with all research projects, this business psychology study has limitations and these can create confounding issues surrounding the data and ensuing discussion. These limitations originate from structural components of the thesis and these are now explored and include:

- epistemological approach

- assumptions about the sample

- assumed differences of the sample from other managers

- restrictions of the sample

- limitations of the qualitative IPA

- limitations of qualitative Workplace Observation

- limitations of the quantitative ISIS questionnaire.

3.5.1. Epistemological approach. The philosophical domain of epistemology seeks to clarify how knowledge is established. In order to clarify the academic route chosen to establish knowledge, the epistemology and ensuing ontology must be identified in order to contextualise the methodology and techniques used in this research project. As established in the previous section, this thesis adopts a post modern qualitative-led epistemology whilst encompassing an element of empirical methodology to complement the triangulation approach to generating data. This mixed method approach is justified as this thesis is the first of its kind to enquire into the relationship between AA's spiritual programme (AA, 2001) and GMCs (New, 1996). This broad academic playground demands clarity and this study provokes the very heart of epistemology and ontology in its quest for truth: the intrinsic difficulty in this study is that people with a spiritual faith (such as the sample) believe they know a truth and the scientific community largely starts with the opposite premise – this provokes an empirical and qualitative dichotomy.

By further choosing to frame the research within a social constructionist world to honour

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the origins of AA, the philosophical emphasis on phenomenology aspires to capture idiosyncratic perceptions that may reveal common phenomena and this approach is appropriate for this type of enquiry (Haralambos, Heald and Holborn, 2004): phenomenology aims to uncover specific psychological phenomena at a deep level that enables meaning to be constructed by identifying specific mechanisms and pathways that take place (Biggs, 2003). Whilst an empirical approach is highly valid once phenomena has been captured, it is arguably an ineffective approach for this thesis that seeks firstly to uncover and qualify what is going on in the sample; it is after this stage that identified factors can be measured quantitatively for further knowledge. Relevant to this phenomenological approach will be discovering psychological emotions, cognitions and behaviour in the workplace that are setting specific and socially constructed. It is assumed that this will relate to spirituality which the positivist school has repeated failed to grasp owing to fundamental epistemological problems – it is repeated argued by the qualitative school that the concept of spirituality cannot – and some argue should not – be measured empirically (Emmons, 2000a; Galanter, 2007; Zohar and Marshall, 2000).

Relevant arguments supporting the philosophical position of this thesis would include:

- the causal factors and variables experienced by the sample are specific to this enquiry and, as yet, the findings may not be generaliseable to other studies. Therefore empirical replication - a demand of academia - is not currently possible. This is not to say that this study (specifically, its sample) cannot be reproduced – in theory it can

- the post modern mixed method approach will generate data that is only valid in context of this specific research methodology and design

- the phenomenological approach enables the use of small samples to provide insightful data and phenomena

- knowledge identified as an outcome of this research project is generated through the use of research questions identified in the last chapter rather than being led by hypotheses. Minor hypothesis are used when possible i.e. in the third method – the ISIS questionnaire

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(Amram and Dryer, 2008) - as norms exist against which the AA participant managers

enable comparison

- the epistemological and ontological approach of this study accommodates the belief that

  the researcher cannot but influence findings from their own insight, interest in the subject,

  knowledge of the sample's settings and these influences are seen as an integral part of the

  enquiry.

For these reasons it is deemed that the approach taken is highly suited for an initial enquiry

into the issues addressed by the research questions. In particular it should be noted that chosen

methods such as IPA are seen as highly suitable for generating theory which can lead on to

further academic research possibly of an empirical nature (Hefferon and Gil-Rodriguez, 2011).

The integrity of the qualitative approach is secured through the authentic experiences of the

sample and the ability of the researcher to interpret the world of the sample to create

understanding. The phenomena uncovered by this enquiry may well be new to the academic

world – i.e. studying New's (1996) GMCs in specific context - and as yet there are no bespoke

empirical tools to enable this investigation.

At the same time, there are counter arguments which need to be considered: firstly, this

approach uses a specific sample which is anonymous - therefore the ability to replicate the study

will need great care, if not synchronicity. An empirical approach demands a larger sample in

order to ensure the option of replication to a wider population. A second counter argument,

therefore, is that by using other established empirical constructs considered in the literature, no

new knowledge would be generated that would act as a spur for further research. The adopted

phenomenological approach aims to generate new knowledge that can be used as such as a spur.

Further reasoning for rejecting a solely empirical quantitative-led approach is uncovered in the

literature on intelligence: the concept of SI is still a fledgling construct and key higher order

domains have not been agreed. They are still being explored. The second reason why other

existing SI questionnaires were rejected is that King's (2008) model of SI is the only other model

considered to be empirical and this has only been used on samples of university undergraduates -

this is unsuitable as a comparison to the sample chosen for this study. For this reason, the ISIS

was chosen as the closest existing construct to anything bearing an empirical match because it

does have a large comparison norm that includes business leaders and managers who are deemed

to be spiritual.

Finally, as a business psychologist with past experience of addiction and dependency

problems, the researcher has idiosyncratic understanding which is compatible with the chosen

methodology and research tools.

These academic choices justify the reasons for leading on a phenomenological approach to

the research design and, in summary, consider:

- spiritual phenomena are not quantitatively measurable yet

- key emotions, cognitions, attitudes and behaviours have not yet been established

  academically in the context of this specific sample in their context and setting

- the size of sample is not large enough to enable meaningful statistical generalisation

  required for a qualitative study

- as factors and variables have not yet been established, it is not possible to generate

  hypotheses upon which to base empirical enquiry

- the researcher has unique experience which may well influence the area and depth of

  research.

Haralambos et al., (2004) acknowledged that non-empirical research designs have been

developed that accommodate for a lack of psychological data and information as well as

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questioning the ability of the empirical research not to confound samples and findings. For this reason, qualitative approaches have consequently been developed that implicitly reject the assumption that psychological or social information are measurable things that can be extracted and examined in isolation. Finally, the stated concerns about the reliability and validity of self-reported measures undermine empirical approaches whilst this very self-reported nature is key to the qualitative approaches adopted in this study. Whilst the empirical philosophy and ensuing methodology uses hypothesis testing on *a priori* theory, the research sample is so specific that it cannot be generalised to be compared with other samples out of context of this research. In acknowledgement of this limitation, there will be little grounds for reliability and validity testing beyond use of the third research method, the ISIS, which does have some preliminary statistical credibility.

3.5.2. Assumptions about the sample. There is an assumption that the sample of 25 managers all held the management positions reported and the length of sobriety reported. The levels of supervision, management and leadership varied greatly from chief executive officer status of an organisation turning over hundreds of millions of pounds through to managers of small departments. However, the very concept of a GMC framework is based on common degranulated competencies in a valid distinguishable and generalisable form.

The gender representation of the sample (40%) was chosen to best as possible represent the AA UK membership gender ratio reported as 35% (AA, 2011). This number does not represent gender ratios in management positions.

3.5.3. Assumed differences of the sample from other managers. A further assumption about the sample participating in this research is that there will be a difference between them and other managers, in that it is anticipated that the 12 Steps will uniquely impact upon their GMCs.

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However, some of these differences may be shared with other non-AA managers that follow a spiritual path from those managers that do not; for example, there may well be similarities with managers who follow a specific religious denomination. However, it is assumed that, by following the 12 Step programme there will be unique identifiable phenomena and variables amongst the AA participant managers that would not be identifiable in other non-12 step programme followers. For example, the anonymity criterion and primary purpose are unique from other spiritual groups. This assumption will be tested particularly through the comparing of their ISIS scores with the existing norms used by Amram and Dryer (2008) in their preliminary pilot study. Arguably, this is not a limitation but a deliberate feature of this study.

3.5.4. Restrictions of the sample. The sample and comparison norms were all chosen within qualifying criteria including invisible influences of the Tradition 12 (AA, 1953) which demands anonymity. Within the open meetings of AA attended for recruitment, approaches to potential participants were both targeted and random: of the 25 AA participant managers who formed the sample, the 12 IPA participants may well have been influenced to participate further in the second method by either their guarantee of anonymity or the fact that they personally did not care about their anonymity. In turn, the 3 Workplace Observation participants drawn from the 12 IPA participants only volunteered because the official research participation request phrased the study as "concerning general management competencies" (see Appendix F p.XXXV). Those participants in the sample who felt their anonymity might be threatened in the workplace were unable, understandably, to participate in the Workplace Observation method.

Another possible limitation concerns organisational climate with regard to the global financial crises of 2007 (see Shiller, 2008). This context led to specific comments by the participants in the IPA and workplace observation methods about GMCs (New, 1996) such as change management and coordination. Whether the findings are confounded by any climate will

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be considered in context. Whether the data produced by the research is significantly limited to specific organisational climate or not cannot be clarified without further studies during, say, flourishing economic times.

3.5.5. Limitations of the methods.

3.5.5.1. Limitations of method 1 qualitative IPA. In consideration of the limitations of IPA as a method discussed in this chapter, Salmon (2003 p. 26) posited, "results of psychological research reflect the researcher as much as the researched". Therefore, it is important that this qualitative method reports enough detail to enable readers to understand any such confounding issues (Fade, 2004). Possible areas of such concerns about the researcher's abilities would include reflexivity, a lack of professional experience, their political beliefs, limited research skills and a lack of rapport with participants.

In order to overcome some of the limitations, Smith and Osborn (2003) recommended a semi structured interview approach to evidence gathering – this emphasises the role of the researcher as a facilitator of the telling of others' stories in a meaningful way which supports the approaches of social constructionism and phenomenology. Therefore, the use of critical interview technique (Willis, 1999) has been adopted in the qualitative methods of this research to minimise such confounding possibilities. As an idiographic approach, IPA respects the sample as the experts and the researcher as the recorder (Fade, 2004). Obviously a researcher's approach will influence ensuing dialogue but that should not be to an extent which clouds the narrative. For this reason, the analysis of any transcripts from interviews was thoroughly reviewed and objectively analysed - including identifying any poor interview techniques by the researcher. Brocki and Wearden (2006) acknowledged that as a qualitative research method, IPA will inevitably produce different accounts from different interviewers and analysts, but a well structured study should identify key phenomena.

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Yardley (2000) acknowledged the need to be lead by research heuristics and then by the voice of the participant, postulating that reliability is, possibly, an inappropriate criterion for measuring qualitative research if the research aim is to generate several interpretations. The data extracted from the IPA interview process with the AA participant managers in this study was scrutinised for themes and clusters emerging in the phenomena, focusing on the data from a particular viewpoint (Smith, 1999) as suggested in the introductory chapter. This is in keeping with IPA's recognition of the researcher's interactive and dynamic role (Hefferon and Gil-Rodriguez, 2011).

3.5.5.2. Limitations of method 2 Qualitative Workplace Observation. No suitable template exists from previous studies to help facilitate and record data emerging from this method. Therefore, suggested observation structures were considered to help inform the creation of the method used. Of all the templates considered, this was mostly informed by Lucia and Lepsinger's (1999, pp79-80) work on managerial competency frameworks and observation techniques. Additionally, in order to ensure adherence to Tradition 12 of AA (AA, 1953) demanding anonymity, approaches to participants had to be made under the auspices of a bespoke business psychology study of GMCs. As a further limitation, elements of the Workplace Observation method which required manager/subordinate confidentiality relied on retrospective reporting by the AA participant manager. Finally, no female manager was able to participate in the Workplace Observation method. However, the draft structure was created in consultation with one of the female sample to ensure that no confounding gender issues were accidentally built in to the design of this method.

3.5.5.3. Limitations of method 3 Quantitative ISIS questionnaire (Amram and Dryer, 2008). Using a questionnaire as the third method has its own limitations. These include:

- questions may be misinterpreted by the sample in a way not intended by the developers

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- given responses by the participants cannot be clarified or probed further

- the participants were not supervised during the completion of the questionnaire and there is no way of knowing if the answers given are idiosyncratic

- the raw data from the pilot study in 2008 are not available for further scrutiny and Amram and Dryer (2008) acknowledged that the findings were only preliminary

- there is no way of knowing if any of the sample and norms used by Amram and Dryer in the 2008 preliminary study using the ISIS followed AA's 12 steps owing to the anonymity issues addressed in Tradition 12 (AA, 1953)

- responses to the questions in the questionnaire were not given separately from each item; therefore the wording of previous items could impact on responses in a compounding manner.

Potential confounding issues raised about self-reported measures in this quantitative element of this mixed method study were raised in accompanying instructions (See Appendix J: ISIS Instructions p. L) and these were distributed with the questionnaire in order to clarify understanding.

3.5.6. Summary of the research design. A range of decisions has been made to address implicit limitations. Firstly, the epistemological approach taken has been chosen to help uncover phenomena and variables (and the psychological pathways associated with these) in what is deemed to be a preliminary applied research study of how the 12 Steps of AA effect the GMCs of organisational managers. A social constructionist philosophy leading to a phenomenological approach has been chosen to build on and uncover knowledge. By leading with the IPA method (Smith, 1996), the following Workplace Observation method (Lucia and Lepsinger, 1999) enabled identified phenomena to be explored further and animated by studying a sub sample of the respondents in the workplace. In respect of the empirical tradition, the third method used the ISIS questionnaire (Amram and Dryer, 2008) to juxtapose the leading

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methodology and to test findings, helping to clarify conclusions drawn from this research - not least of all about spirituality as an independent intelligence. A summary of the research design is:

- preparatory research into the main fields identified as relevant to this thesis: the 12 Steps of AA, spirituality at work, SI and GMC frameworks

- study design stage to identify epistemology, ontology, methodology and methods

- main qualitative research stage, in which the AA participant managers were interviewed.

- further qualitative Workplace Observation stage whereby a small sub sample of the participants was studied in their work role to help reinforce and identify findings

- quantitative research stage using the ISIS questionnaire, assessing the sample against norms generated in the development of the instrument (Amram and Dryer, 2008).

The sample has been chosen specifically because of its limitations - it is a unique group of participants and by studying them further knowledge is sought. The use of norms from the preliminary study of the ISIS (Amram and Dryer, 2008) helped to explore whether this sample has unique properties with regard to spirituality and intelligence - for example by comparing the AA participant managers with other business leaders nominated for spirituality.

The limitations explored have been factored into the design process in order to identify and minimise any confounding issues; having examined the possible limitations of the epistemology, research methodology and design, it is important to acknowledge that such limitations and the subsequent approach to minimising confounding issues through the research design are not uncommon in such a thesis. The research findings and results will now be outlined in detail.

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Chapter 4

FINDINGS & RESULTS

4.1. Method 1 Qualitative Interpretative Phenomenological Analysis (IPA)

4.1.1. Findings.   A total of 57 distinct phenomena were identified (see Appendix K: Master IPA referencing index p.LI) and these are organised in a specific manner for academic purposes. 12 Step related phenomena were identified and clustered in themes and non 12 Step related phenomena were identified and clustered in themes. This exact process of identifying, defining, naming, organising and clustering the phenomena in these findings – the interpretation in IPA - is now explained. (From this point forward, the IPA phenomena are italicised for clarity).

4.1.1.1. Interpreting the IPA data. The individual interviews were analysed twice and contents of research interest were highlighted at face value (see Appendix C: Example IPA transcript analysis p.IV). Discreet phenomena were then identified in the data. This extensive range of phenomena included antecedents, causal mechanisms and outcomes associated with AA's 12 steps (2001) and New's GMCs (1996). To this end, the range of phenomena included behavioural protocols such as the *personal behaviour inventory* (n41 citations), philosophical and ontological positions such as *powerlessness* (n17), social phenomena such as *empathy* (n19) and technical performance references such as *forthrightness* regarding communication style (n21). The single most cited phenomena was *personal behaviour inventory* (n41) and the least cited phenomena was *gratitude* (n4). Whilst some of the individual phenomena are self explanatory, such as *honesty* (n7), others, such as *powerlessness* (n17), need to be clarified for the reader to consider in the forthcoming chapters.

4.1.1.2. 12 Step related phenomena. The initial analysis revealed 36 discreet 12 Step related phenomena (see Table 4.1 on page 180). These phenomena ranged from spiritual themes

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such as *belief in higher power* (*n*18), mechanistic themes such as *prayer - guidance* (*n*25) and

phenomena relating to various levels of transcendence such as *meditation* (*n*11), through to more

social abilities such as the ability to show *empathy* (*n*21) and *compassion* (*n*14) for subordinates.

More explicit transactional phenomena such as a *forthrightness* (*n*19) and *contractual*

responsibilities (*n*19) were also identifiable. Other phenomena touched on philosophical

standpoints such as *ethicality* (*n*17) and *honesty* (*n*7) and also a celebration of *difference* (*n*18)

and *equality* (*n*14).

These 12 Step related phenomena emerged as separately identifiable concepts in the

idiosyncratic responses of the sample. These phenomena can be defined discreetly even though

they may be closely related; for example, the phenomena of *empathy* (*n*21) is interpreted from

the data as the ability to put oneself in another's position as Rhian explained: "I'll relate better to

them, you know, on a kind of human level" (RHI527-8/EMP), whereas the phenomenon of

compassion (*n*14) is interpreted as an ability to empathise with what another person is feeling

because of common experience and take some sort of action to support them, as animated by

Hamilton: "That's how it works…you know…caring for others" (HAM540- 41/COM).

Several phenomena related to prayer and meditation: *prayer-guidance* (*n*25) is used

to identify when the participants used prayer to ask for help regarding a specific challenge;

prayer-serenity (*n*13) explains when the participants cited responses describing their quest

for peace of mind, often using AA's signature Serenity Prayer (AA, 1950) such as

Hamilton at work: "very often I say the serenity prayer before I go to an important

meeting" (HAM325-6/PG). The phenomenon of *meditation* (*n*11) explains the

participants' attempt to reduce anxiety by calming their cognitions through focusing on an

element of the 12 Step programme such as the *humility* (*n*10) facilitated by Step 7. This

process often involved reflecting deeply on a specific prayer, physical relaxation

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techniques and momentarily withdrawing from a situation as Bob explains: "It gives me time to breathe" (BOB395-341/MED). Finally, *prayer-set up* (*n*9) explains the participants' habitual dedication to prayer without a specific goal in mind beyond 'tuning in' to their Higher Power. This mechanism was commonly carried out in the morning or "upon awakening" as suggested by AA (2001, p. 84).

The interviews explored the nature of the relationship with a Higher Power such as a God figure. As idiosyncratic interpretation is a focus of the IPA method (Smith, 1996), it should be pointed out that there were slight variations in the definition of a Higher Power throughout the semi-structured interviews: Claudia, when asked whether she had a Higher Power in her life, explained: "I do though I don't know what it is really" (CLA380-96/S2). Sally defines her Higher Power as "a feeling; it's a knowledge. I don't actually have a big visual image" (SAL434-6/HP). Quentin is also ambiguous in his definition saying "I don't seek to interpret very much. I simply believe that this is not all there is" (QUE278-9/HP). Rhian's response when asked what this power was: "I've no idea. I really don't know" (RHI334-5/HP) and she continues to explain that she simply believes that "there is something and that is outside of me" (RHI41-2/HP). Paul explains that initially, as an atheist, he came to see AA's fellowship itself as a greater power than himself - a small group of individuals that collectively could help him return to sanity that he could not do on his own (PAU465-80/HP). At the this stage of his recovery, however, he now disclosed a strong faith in God: "my belief ... is concrete" PAU532/HP).

The participants all explained an almost constant conscious connection with that Higher Power and this facilitated *gratitude* (*n*4), as explained by Hamilton: "I'm incredibly grateful for the responsibility that I have and the opportunities that I have and I believe that is God given to me because I do believe I've been given a second chance"

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(HAM395-7/GRA). A further outcome of a relationship with the divine was explained

through the concept of *optimism* (*n*4), believing in unfailing divine support and care. This

phenomenon enabled the managers like Ron to have faith that, whatever happened at work,

as long as he exercised *honesty* (*n7*) and was committed to *doing one's best* (*n*15), "I know

that everything will be okay" (RON567/OPT).

Several of the phenomena related to psychological conditions: their relationship with

ego is captured in the phenomena of *ego reduction* (*n*13) defined by Sally as being "right

sized" (SAL678/HUM) in her interactions. The sample's ability to be aware of their

personal human limitations (*n*22) is frequently cited in the data, and their emerging *self*

confidence (*n*8) as a result of following the programme is also reflected in their ability to

admit any mistakes they may make at work explained in the phenomena of *open mistakes –*

self (*n*12). Paul's explanation showed a layering effect whereby the 12 Step process leads

on to new levels of philosophy such as being open about fallibility in a spiritual sense:

"I'm a human being. I'm not a God. I'm not perfect and nor am I going to be. I'm an

individual that is going to make mistakes and I'm confident in the fact that that's okay"

PAU844-7/OMS).

The most significant phenomenon in terms of frequency was the ability and

commitment to taking regular, if not permanent, *personal behavioural inventory* (*n*41)

directly traced back to The Oxford Group's protocol of confession reviewed in chapter 2.

This self-focused process appeared to be an antecedent to a strong sense of *humility* (*n*10)

and, without sounding contradictory, a renewed sense of self worth explained through the

phenomenon of *self confidence* (*n*8) as Sally articulated: "I have the ability sometimes to

feel very confident within my own skin" (SAL862-3/S3).

These processes of self discovery, the central relationship with a God figure such as a Higher Power and the strong sense of managerial responsibility shared by the participants appear to be connected to the phenomenon of *fearlessness* (*n*20) – interpreted as the management or removing of fear – which is cited as a feature of the programme by AA in Step 4 (see AA, 1953 p. 51) as Hamilton explained: "once I've made those decisions, I am very fearless about seeing them through" (HAM441-9/FEA). In turn, the opportunity for personal growth facilitated by the 12 Steps – through phenomena such as *fearlessne*ss - is captured in the sample's commitment to *personal development* (*n*16) at work, as Mick articulated: "time in the programme has shown me that I need to change and progress" MIC736-7/PD.

The awareness of self and the subsequent 12 Step tools that the participants use to manage their own affective and cognitive processes (and subsequent behaviour) becomes the foundation upon which the sample can then relate to others at work. Phenomena relating to these relational issues included *empathy* (*n*21), *compassion* (*n*14), *difference* (*n*18), *equality* (*n*14) and a commitment to *others' development* (*n*8). These positive perspectives were summed up by Noel's attitude: "when we really step back, we realise that the majority of human beings actually do want to be positive and creative" (NOE317- 8/OD). In turn, this increased valuing and understanding of other human beings is evidenced through tolerating *open mistakes – others* (*n*5).

Further analysis was required to separate phenomena that broadly relates to power and control. *Powerlessness (external)* (*n*17) is used to encapsulate matters that relate to cosmic significance (or lack of significance) as explained by Quentin: "I'm nothing" (QUE555/POW). *Powerlessness* is a phenomena that received different explanations from the sample. The definitions ranged from specificity of alcohol through to universal

destiny. For example, Quentin's initial response applied it to being powerless over alcohol specifically (QUE394-5/POW) whereas Paul applied his interpretation to life in general: 'Step 1 talks about just alcohol but as far as my life is concerned powerlessness involves people, places and things' (PAU340/9/POW). However, the participants concurred that this concept also had a broader application in that they were unable to influence destiny – Mick's response exemplifies this: 'I'm powerless in that I can't guarantee a particular outcome' (MIC271-2/POW).

This concept of *powerlessness* leads on to the sample accepting *personal human limitations* (*n*22) describing individual capability as Claudio explains: "I can't do everything and I can't do it perfectly at work" (CLA678-9/PHL). In turn, this phenomenon is different from *acceptance of real self* (*n*9) that attributes quotations about the sample's knowledge of themselves as they truly are and, essentially, being comfortable with that person; for example, Rhian talks of accepting who she is: "I got to a point where actually what I realised was that my low self esteem - whatever you want to call it - is part of me" (RHI480-1/S6). Other related but discreet phenomena in the data includes *self management* (*n*7) which describes the significance of "being responsible for my own actions" (NOE703-4/SM) and taking responsibility for these actions, as opposed to *controlled reactions* (*n*15) which describes the sample's ability to identify, reduce or remove negative affect; Sal describes this phenomenon as: "at that moment in time I can't react. I cannot react and sometimes the best that I have been able to do is excuse myself and walk away" (SAL413-14/CRE). *Sphere of control (n9)* provides a heading for statements in the findings about accepting the boundaries between what the sample could and could not influence as managers at work. There is a suggested relationship in this acceptance with the outcome of *stress reduction* (*n*18). Hugh explains these 2 phenomena simply: "I know I can't change you and that's very empowering" (HUG404-19/S1).

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Possibly related to these phenomena is the concept of *daily basis* (*n*9) which enables the participants to focus on immediate achievement – proximal goals - rather than future achievement or past failures. This is a fundamental philosophy and technique of the 12 Step programme, as summarised by Paul: "the 12 Step programme comes back to living in the day" (PAU428-9/DB).

In an organisational context, several phenomena emerged from statements directly relating to management function and there was a noticeable number of references exposing a commitment to performing to one's potential under the phenomenon of *doing one's best* (*n*15). *Technical performance* (*n*10) describes aspects of performance at work such as Maddie's claim of: "I think maybe I'm more efficient" (MAD535/TP). *Contractual responsibility* (*n*19) describes the participants' sense of duty to their employer to fulfil their transactional role and, as Sal says: "The buck will stop with me. If the team does something wrong, I will take it on the chin" (SAL160-1/CR). Hugh (HUG555-575/FR) comments on dismissing or disciplining subordinates and several quotations provided examples of *forthrightness* (*n*19) that all the managers articulated. For example, Rhian unashamedly described: "I'm quite tough in terms of challenging people about, 'What are you bringing to the table like?'" (RHI708-9/FR) and Noel was constantly "holding others to account" (NOE334-6/FR).

This *forthrightness* may be linked to, but is separate from, a commitment to *honesty* (*n*7) that Hamilton explains has primacy in the work environment: "above anything else is honesty" (HAM828-9/HON). In turn, this phenomenon is separate from *professional integrity* (*n*10) that encapsulates a sense of an individual's need for to be a positive influence in the workplace. *Inspiring staff* (*n*17) was an important goal for the managers in the sample – with a particular emphasis on motivation as animated by Hugh: "I try and motivate by giving good feedback and

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by being kind of supportive" (HUG309-10/IS). *Ethicality* (*n*17) as a phenomenon exposed issues of morality, such as Bob's sense of right and wrong: "if I ask someone to do anything, I'll make sure it's for the right reasons" (BOB457-8/ETH).

The greatest number of citations was evident under the phenomenon of *personal behaviour inventory* (*n*41) which describes processes employed by all the managers to monitor their own actions and speech – their behaviour. Paul describes this effect of the AA programme on self monitoring: "the programme for me is a constant monitoring" (PAU834-5/PBI) and Quentin uses this self evaluation to his management decisions: "I have to examine quickly but thoroughly my motives in dozens of decisions a day" (QUE331-2/PBI).

These 12 Step related phenomena are compiled in Table 4.1. below.

Table 4.1. Raw 12 Step phenomena

1. Belief in HP (relationship with omnipotent deity) (*n*18)	**2. Doing One's Best** (working to best ability) (*n* 15)	**3. Compassion** (feel other's experience) (*n* 14)	**4. Contractual Responsibility** (fulfilling management role) (*n* 19)	**5. Daily Basis** (keeping things in the day) (*n* 9)	**6. Difference** (valuing difference between people) (*n* 18)	**7. Forthrightness** (direct addressing of issues) (*n* 19)	**8. Ego Reduction** (universal context – 'right sizing') (*n* 13)
9. Empathy (understand other people) (*n* 21)	**10. Ethicality** (sense of right or wrong) (*n* 17)	**11. Equality** (valuing all people as equals) (*n* 14)	**12. Fearlessness** (managing or removing fear) (*n* 20)	**13. Gratitude** (giving thanks) (*n* 4)	**14. Honesty** (commitment to truth) (*n* 7)	**15. Personal Human Limitations** (aware of own perameters) (*n* 22)	**16. Humility** (acting without ego) (*n* 10)
17. Inspiring Staff (motivating and leading others) (*n* 17)	**18. Professional Integrity** (authenticity and reputation) (*n* 10)	**19. Open Mistakes -Others** (encouraging transparent errors) (*n* 5)	**20. Open Mistakes - Self** (encouraging transparent errors) (*n* 12)	**21. Optimism** (all will be well) (*n* 5)	**22. Others' Development** (encouraging personal and professional growth) (*n* 8)	**23. Personal Development** (encouraging personal and professional growth) (*n* 16)	**24. Personal Behaviour Inventory** (listing all wrong actions and thoughts) (*n* 41)
25. Powerlessness (external) (in context of universal creation) (*n* 17)	**26. Prayer – Guidance** (asking for help) (*n* 25)	**27. Meditation** (clearing of thoughts to receive insight) (*n* 11)	**28. Prayer – Serenity** (asking for peace of mind) (*n* 13)	**29. Prayer – Set Up** (ritualistic habit) (*n* 9)	**30. Stress Reduction** (promoting calmness) (*n* 18)	**31. Acceptance of real self** (knowing who I really am) (*n* 9)	**32. Self-confidence** (belief in own abilities) (*n* 8)
33. Controlled Reactions (stopping instinctual responses) (*n* 15)	**34. Self-Management** (controlling one's self) (*n* 7)	**35. Sphere of Control** (understanding limits of personal effectiveness) (*n* 9)	**36. Technical Performance** (improved management competence) (*n* 10)				

4.1.1.3. Identification of 12 Step related clusters: Interpreting and categorising these

phenomena into groups that are intuitive to the aims of this research thesis required analytical

choices to facilitate the academic journey over simplistic clarity. It may have been possible to

group the phenomena under psychological mechanistic headings and, equally, it may have been

possible to provide headings that only relate to the literature of AA. However, this would have

been presumptive and narrow. Instead the IPA process allows the researcher to let the data

suggest how the clustering process maps out (Smith, 1996). The themes and clusters emerged

from the findings and have not been externally imposed for structural convenience. What the

IPA demands is the identifying of themes that may serve the research process and, in particular,

academic discussion. To this end, possible clusters were identified and then further analysis

enabled 6 superodinate 12 Step-related themes to be established (see Table 4.2 on page 186

below): *Higher Power* (*n*74), *Personal Power (n*86), *Self Management* (*n*145), *Valuing Others*

(*n*72), *Managerial Role* (*n*73) and *Truth* (*n*55). The interpretation of these clusters in the

findings will now be explained.

Higher Power (*n*74). The cluster heading of *Higher Power* (*n*74) relates to the relationship

between the AA participant managers and a power greater than themselves. It manifests as a

grouping to include the primary belief in an external power - commonly within the sample a God

deity - through to the phenomena that relate to prayer as established earlier in this chapter. The

phenomena of *gratitude* (*n*4) and *optimism* (*n*5) are also expressed in this cluster - *gratitude* (*n*4)

being expressed as giving thanks to God for recovery from alcoholism, being given a second

chance and for what might be termed as blessings (job, family, health and friends). The *belief in*

a higher power (a synonymous discreet phenomenon organised under this cluster) led also to the

phenomenon of *optimism* (*n*5) that best describes the common attitude amongst the sample that

God will look after them whatever happens in their life as long as they follow the AA principles

of truth, service and responsibility.

Personal Power (*n*86). The phenomena grouped under the theme of *Personal Power*

contained immediate and more subtle definitions of the individual being both powerful and being

powerless: *powerlessness (external)* (*n*17) appeared to have primacy within this cluster in

realising one's value in context of universal creation (miniscule yet miraculous) - the definition

of this phenomena by the sample is that in the cosmic context, and in the context of believing in

a universal creator and God figure, the individual human being is in fact powerless in terms of

universal destiny.

With this belief in place, the sample goes on to accept their *personal human limitations*

(*n*22) and use this as a basis for living their lives and interactions with others. The

acknowledgement of this human fallibility then enables the individual managers to understand

the limits of their personal effectiveness - and therefore what they are responsible for - under the

phenomena of *sphere of control* (*n*9).

Having contextualised their power as individual human beings and its integral limitations,

the participants all experienced a 'right-sizing' of ego under the phenomena of *ego reduction*

(*n*13). This 'resizing' of the ego is essential to recovery (see AA, 1953 p. 76). In turn, having

reduced their ego and begun interacting with other human beings on a more level playing field,

the outcome is expressed in the phenomena of *humility* (*n*10) which, through the interviews,

would appear to be defined by the sample as being aware of their weaknesses and strengths.

Finally within this cluster, the defining of the true power of the individual enables the

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sample of managers to take responsibility for *doing one's best* (*n*15) - working to their potential which Mick explained: "I have various abilities - God given or whatever. All I can do is utilise those abilities as well as I can" (MIC257-9/DOB). Basically, it is within the sample's power to work to their capacity and they have a responsibility to do that within the philosophy of the 12 Step programme.

Self Management (*n*145) is the largest cluster in the findings and includes key mechanisms of both the recovery process and the effectiveness of the sample as organisational managers. The synonymous individual phenomenon of *self management* (*n*7) expresses the taking of responsibility by the sample for managing themselves and their lives as a result of the 12 Steps.

The AA participant managers approach to this cluster is underpinned by the phenomenon of *daily basis* (*n*41) which explains the proximal goal approach to life shared by the participants. This was found to be a key attribute of the entire research participants: by approaching life on a microcosmic level, it was interpreted that the participants immediately experienced manageability of their lives. This concept is founded in AA's philosophy of 'not having one drink at a time' as opposed to 'not having a drink ever again'. This explicitly promotes proximal goal setting over distal goal setting.

The largest phenomena in terms of frequency - *personal behaviour inventory* (*n*41) - is the main technique used by the sample for *Self Management*. This ability to identify and monitor personal behaviour coupled with the phenomena in the cluster of *Truth* (*n*55) leads on to the ability to demonstrate *open mistakes – self* (*n*12). This admittance is also facilitated by the phenomenon of *fearlessness* (*n*20) in that the participant is able to experience reduced levels of

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fear as a result of their relationship with a power greater than themselves and the phenomena of *optimism* (*n*4).

The taking of responsibility for themselves by applying the techniques learnt through the 12 Step programme results in a commitment to *personal development* (*n*16) and the outcomes experienced by the sample appeared to be increased *self confidence* (*n*8) and, significantly, *stress reduction* (*n*18). Meditation is the final phenomena in this cluster that is an antecedent also to *stress reduction* (*n*18) and *controlled reactions* (*n*15) at work.

Valuing Others (*n*72). Interactions with other people are influenced by the 12 Step programme according to the findings. Fundamentally, the way a participant treats another person relates to spiritual principles generated under the cluster of *Higher Power* and the acceptance of *personal human limitations* under the cluster of *Personal Power*. The outcome of these other clusters would appear to be the placing of a much higher value on other people and their humanity. This is expressed through the phenomena of *equality* (*n14*), the valuing of *difference* (*n*18) (as not only fundamental to human value but also a creative source for the workplace) and the ability to demonstrate *empathy* (*n*21). This increased valuing of other human beings is expressed ultimately in the phenomena of *compassion* (*n*14) that implicates taking action to support another; translated to the workplace, *compassion* is integral to tolerating (or even encouraging) *open mistakes - others* (*n*5) also captured in this grouping.

Managerial Role (*n*73). This cluster defines more specific work-based phenomena: *contractual responsibility* (*n*19) - basically honouring the transactional nature of an employment contract - sits naturally alongside the phenomenon of *technical performance* (*n*10) which describes proficient competency levels suitable for their organisational role.

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Management style is also indicated by the participants' responses within the IPA process along with management responsibility – *forthrightness* (*n*19) describes an approach shared by the managers. This did not suggest a dictatorial aggressive style, more a commitment to communicate in a concise, clear and immediate manner - it does not preclude respect for subordinates. On the contrary, the phenomenon of *others' development* (*n*8) within this cluster was seen in the findings as central to the sample's role at work. Along the same lines, *inspiring staff* (*n*17) is seen as part of the managerial role within an effective relationship with subordinates.

Truth (*n*55). This emerged as another distinct grouping. The phenomena under this umbrella share philosophical foundation but are subtly different: the phenomena of *honesty* (*n*7) in this grouping is related to *ethicality* (*n*17) which expresses a broad consideration of right or wrong in decision-making processes. In turn, *acceptance of real self* (*n*9) is a condition coded under this cluster of *Truth* (*n*55); the suggestion is made by using the word *real* within the title of this phenomenon. Finally, it was important to the sample that *Truth* (*n*55) was established as a managerial behaviour in the way that they modelled the standards that they required of other people - this phenomenon of *professional integrity* (*n*10) relates to data about role modelling.

The clustered 12 Step phenomena are organised in Table 4.2. below.

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Table 4.2.   Clustered 12 Step phenomena

Higher Power (*n*74)	Personal Power (*n*86)	Truth (*n*55)	Managerial Role (*n*73)	Valuing Others (*n*72)	Self Management (*n*145)
1.Belief in HP (relationship with omnipotent deity) (*n* 18)	**25. Powerlessness (external)** (in context of universal creation) (*n* 17)	**14. Honesty** (commitment to truth) (*n* 7)	**4. Contractual Responsibility** (fulfilling management role) (*n* 19)	**11. Equality** (valuing all people as equals) (*n* 14)	**5. Daily Basis** (keeping things in the day) (*n* 9)
29. Prayer - Set Up (ritualistic habit) (*n* 9)	**15. Personal Human Limitations** (aware of own parameters) (*n* 22)	**31. Acceptance of real self** (knowing who I really am) (*n* 9)	**36. Technical Performance** (improved Management competence) (*n* 10)	**6. Difference** (valuing difference between people) (*n* 18)	**24. Personal Behaviour Inventory** (listing all wrong actions and thoughts) (*n* 41)
26. Prayer - Guidance (asking for help) (*n* 25)	**35. Sphere of Control** (understanding limits of personal control) (*n* 9)	**10. Ethicality** (sense of right or wrong) (*n* 17)	**7. Forthrightness** (direct addressing of issues) (*n* 19)	**9. Empathetic** (understand other people) (*n* 21)	**12. Fearlessness** (managing or removing fear) (*n* 20)
28. Prayer - Serenity (asking for peace of mind) (*n* 13)	**8. Ego Reduction** (universal context – right sizing) (*n* 13)	**20. Open Mistakes - Self** (encouraging transparent errors) (*n* 12)	**17. Inspiring Staff** (motivating and leading others) (*n* 17)	**3. Compassion** (feel other's experience) (*n* 14)	**34. Self-management** (controlling one's self) (*n* 7)
13. Gratitude (giving thanks) (*n* 4)	**16. Humility** (acting without ego) (*n* 10)	**18. Professional Integrity** (authenticity & reputation) (*n* 10)		**19. Open Mistakes -Other** (encouraging transparent errors) (*n* 5)	**27. Meditation** (clearing of thoughts to receive insight) (*n* 11)
21. Optimism (all will be well) (*n* 5)	**2. Doing One's Best** (working to best ability) (*n* 15)			**22. Others' Development** (encouraging personal and professional growth) (*n* 8)	**33. Controlled Reactions** (stopping instinctual responses) (*n* 15)
					23. Personal Development (encouraging personal & professional growth) (*n* 16)
					32. Self-confidence (belief in own abilities) (*n* 8)
					30. Stress Reduction (promoting calmness) (*n* 18)

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4.1.1.4. Identification of non 12 Step phenomena and clusters: A secondary analysis of the IPA findings identified further phenomena that did not explicitly relate to the 12 Steps but related to themes describing positive management qualities and the sample's pre – 12 Step behaviour at work. These themes are coded separately (because they do not relate to following the 12 Step programme) under the additional clusters of *Good Management Behaviours* and *Previous Management Behaviours*. These phenomena help facilitate exploration of how AA participant managers carry out their organisational function; firstly, the semi-structured interview included a question asking participants to cite what they perceived as positive management competencies - qualities that they would like to see in managers above them in the organisational hierarchy (*Good Management Behaviours*). Secondly, the sample automatically cited phenomena relating to how they behaved at work as managers before they adopted the AA programme (*Previous Management Behaviours*).

- *Good Management Behaviours (Non 12 Step).* These phenomena included several exact behavioural replicas of the 12 Step related phenomena already described and have been differentiated by the suffix GMB for *Good Management Behaviour* after the name of each phenomena (see coding and referencing system on page 152 and Table 4.3. below). Attributes described in this group mirrored several of the participants own behaviours and attitudes: as an example, *forthrightness GMB* (*n*6) is, according to the data, a positive quality in a good manager. This phenomenon occurred twice in the data – once to describe the sample's own 12 Step informed behaviour and the second time to describe the non 12 Step behaviour of a hypothetical good manager.

There was a call for the hypothetical 'good manager' to show *empathy GMB* (*n*6), demonstrate *kindness GMB* (*n*4) and *fairness GMB* (*n*2). The quality of *humility GMB* (n4) was also identified; at face value this may appear to clash with the phenomena of

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forthrightness GMB (n6), but participants suggested that being direct in addressing issues does

not negate being humble – on the contrary the sample regarded Good Management Behaviours

as acting without immediate self regard through the outcome of *humility GMB* (*n*4). This is

supported in the data by a desire for the hypothetical manager to demonstrate *honesty GMB*

(*n*4) in all their dealings and demonstrate *open communication GMB* (*n*4).

        With regard to technical management competency, several of the phenomena related to

effectiveness and efficiency: being *goal driven GMB* (*n*6) and *technically competent GMB* (*n*3)

exemplify the need of the sample to be led by credible managers. Motivational phenomena

appear in the description of a 'good manager' as being *enthusiastic GMB* (*n*4) and the

importance of being a *role model GMB* (*n*3).

Table 4.3.   Good Management Behaviour phenomena   (Non 12 Step)

1. Forthrightness GMB (*n* 6)	2. Empathetic GMB (*n* 8)	3. Enthusiastic GMB (*n* 4)	4. Fairness GMB (*n*2)
5. Goal driven GMB (n4)	6. Honesty GMB (*n*4)	7. Humility GMB (*n*4)	8. Kindness GMB (*n*4)
9. Open Communication GMB (*n*4)	10. Role Model GMB (*n*3)	11. Technical Competence GMB (*n*3)	

- *Previous Management Behaviours (non 12 Step).* A secondary coincidental outcome of

the semi structured interview process was that it enabled phenomena to emerge that explained

how the participants behaved in a management capacity prior to their adopting the 12 Step

programme. These phenomena are coded under the themed cluster of *Previous Management*

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Behaviours (using the suffix –PMB after each referencing code) (See Table 4.4. p.190: Previous Management Behaviour phenomena). By drawing out these phenomena, it is possible to consider a change process experienced by the sample from a pre-12 Step state through to their current stage; as an example, the previous management behaviour of *dishonesty PMB* (*n*5) changes to *honesty* (*n*7). In terms of frequency, the greatest of these previous management behaviours was classified as *underperformance PM* (*n*17) which included a range of behavioural statements about technical performance such as Mick's confession: "I wasn't a very good timekeeper" (MIC570 /UP/ PMB). The phenomenon of *dictatorial PMB* (*n*8) also related specifically to an aggressive managerial style exemplified by Bob's approach to subordinates: "This is the way you're going to do it. No argument about it, go and do it. Why haven't you reached this target? Why haven't you done this?" (BOB788-91/DIC/PMB).

The other 9 phenomena in the group relating to *Previous Management Behaviours* all related to personal functions such as cognitive or affective conditions, rather than technical management functions. *Fear PMB* (*n*8) was commonly experienced as a constant affective state by the then active alcoholic manager. Ironically, for a sample experiencing high fear and low self esteem, *conflict PMB* (*n*12) was commonly reported as a outcome of their work relationships as Claudia bluntly explains: "I was erratic and violent, aggressive, inconsiderate, selfish - all of those things all of the time" (CLA526-9/CON/PMB). Hugh concurred: "I would be terrified all the time […] and you've got to have a coping mechanism; if you're crazy and if you're inferior and if you're afraid of everything, you're going to cope but the coping's going to be violence" (HUG1196-1205/CON/PMB).

It is not surprising perhaps that the phenomenon of *lost control PMB* (*n*6) features in the cluster of *Previous Management Behaviours*. It explains a lack of ability to choose

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behaviour; as an example, having arguably caused conflict at work, the sample cited that they would then also paint themselves as *blameless PMB* (*n*6) for any problems in the workplace. This position may be related to a *self centred PMB* (*n*10) focus which includes statements about ego, such as Noel's example "I was too caught up with the self and what I wanted" (NOE717-8/SC/PMB). Finally, the outcome of these previous experiences revealed increased *stress levels PMB* (*n*4) and a consensus on having *poor focus PMB* (*n*14): "I couldn't think straight", states Maddie (MAD345/PF/PMB).

Table 4.4.   Previous Management Behaviour phenomena (Non 12 Step)

1.Blameless PMB (*n* 6)	2. Conflict PMB (*n* 12)	3.Dictatorial PMB (*n* 8)	4. Dishonesty PMB (*n* 5)
5. Fear PMB (*n* 8)	6. Lost Control PMB (*n* 6)	7. Poor Focus PMB(*n* 14)	8. Self- centred PMB (*n* 10)
9. Stress Levels PMB (*n* 4)	10. Under Performance PMB (*n* 17)		

4.1.1.5. Application of New's (1996) GMC framework: Having defined the meaning of the phenomena and the clusters in the findings, the application of New's (1996) GMCs will be now be evidenced in the data prior to the next discussion chapter.

In response to the concerns in the literature review about the validation of generic management competencies frameworks owing to the importance of context on competencies (Albanese; 1989, Antonacopoulou and Fitzgerald, 1996; Boyatzis and Saatcioglu, 2008; Bramley, 1999; Campion et al., 2011; Hayes et al., 2000), the first part of the semi-structured interview for method 1 focused on confirming the application of each of New's (1996) GMCs

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with the sample. Each manager was asked in a linear fashion to provide practical examples of how their management role demonstrated each of the GMCs (the coding technique for the referencing this process is explained on p.156).

These findings confirm the application and generalisablity of New's (1996) construct. All of the participants agreed that the model described their work function comprehensively and identified the essential nature of management competencies and the importance of GMCs for organisational effectiveness. The responses of the sample also provided evidence of the application of New's (1996) competency framework at different levels of management responsibility.

- *GMC 1 Action management - encompasses deciding on action and standards, monitoring progress and the taking of corrective action in relation to results (New, 1996).* This applied to all the sample in their current roles, from Rhian, in her role as a senior manager in a large organisation with over 1000 employees (RHI 22-42/N1), through to Quentin, who managed a local town office for a residential lettings agency with a team of 5 employees (QUE34-43/N1).

Several of New's (1996) competencies such as action management, include multiple elements. This first competency was broken down into 3 separate elements: firstly, deciding on actions and standards which implicates the cognitive decision-making process; secondly, monitoring progress of those actions which implicates a supervisory function and, thirdly, the taking of corrective action - intervening in the actual delivery of the work to ensure that the specified goals and standards were reached. As an example of corrective action, Hugh (HUG555-575/S3) has taken New's (1996) description to the ultimate extreme – dismissing people.

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- *GMC 2. Change management - the willingness to take responsibility and accept change.* New (1996) defines this competency using the words willingness, responsibility and acceptance - concepts which the followers of the 12 Step programme identify with strongly. Indeed, all the managers identified change as a permanent factor within the organisational setting and explained their responsibility to be willing, responsible and accepting of change - whether they agreed with it or not. Change was also cited in context of internal cultural change. Other changes at work cited by the participants broadly followed a PESTEL model (Scholes and Johnson, 1999) explaining political, economical, social, technological, environmental and legal change factors which effect the workplace. For example, Paul states that change is a workplace 'constant' (PAU57-64/N2).

- *GMC 3. Co-ordination - the ongoing integration of actions and people (New, 1996).* This GMC facilitated discussion about management style – how the sample enacts coordination. The participants revealed both a participative and consensual approach to coordination. Partnership working is also a common feature of organisational work and it was identified that coordination is required also across multi-party projects by several of the managers.

In coordinating the work of their teams, the discussions revealed an overlap with the GMCs of motivation and leadership in how the sample coordinated actions and people. Several of the participants explained difficulties in integrating 'the right person with the right job' as this required insight into the subordinate (their emotions and cognitions) by the manager; therefore, as well as correlating in this way with other competencies such as motivation, coordination implied deft interpersonal negotiation skills and included examples of conflict management such as Bob, who explained this GMC as juggling personalities and tasks to avoid interpersonal problems (BOB105-17/N3).

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- *GMC 4. Creativity - the ability to visualize and effect changes with appropriate insight and originality (New, 1996).* Creativity with the deployment of resources – including people - was a common GMC for the participants in the findings. Business development was also cited in relation to creativity for those participants working in the commercial sector such as Bob (BOB123-132/N4) and Hamilton (HAM87-103/N4), particularly in the light of the global financial crisis of 2007. This global situation received many comments during the interviews.

Figure 4.1.   *GMC interdependency*

GMC 1.
Action
Management

GMC 2.
Change
Management

GMC 3.
Coordination

GMC 4.
Creativity

GMC 6.
Motivation
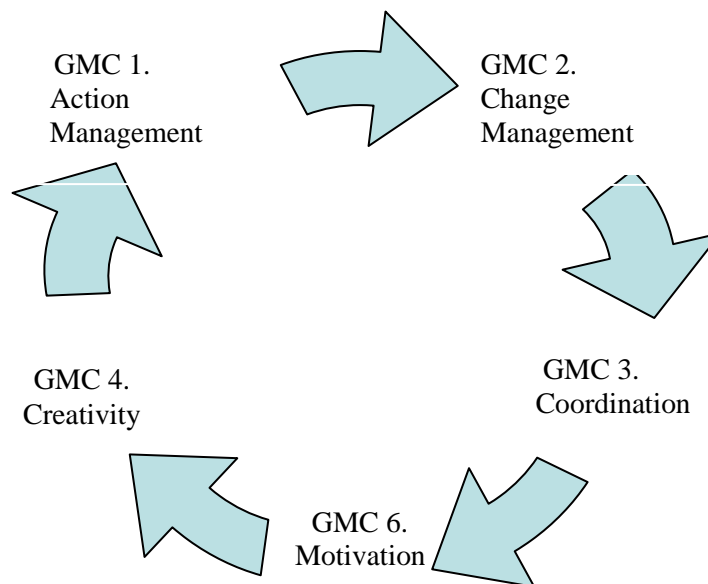
Creativity was seen as intrinsic to the role of the manager. As further evidence of the interdependent nature of New's (1996) framework, creativity was seen to inform the GMCs of motivation and planning. Creativity suggested that the GMCs, even though the framework has been granulated to 8 separate components, are at least interdependent, if not a matrix of competencies. The following interview extract from Quentin demonstrates also this overlap between the GMCs of action management, change management, coordination, motivation and creativity as shown in Figure 5.1. GMC Interdependency above.

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Researcher: In what areas of your work might you need to be creative?

Quentin: A tenant is buying a house and wants to end their tenancy; they've given notice under a break clause and the day before - a few days before - the next tenant's due to move in; number one tenant loses his house. Something goes wrong with the purchase and so he can't move out. So [...] we ideally need to…keep that tenant where he is, put the new one somewhere else that we're managing or persuade that one to go anyway and put that one where he thought he was going and so on (QUE104-118/N4).

- *GMC 5. Leadership - The effective influence on other people in relation to a purpose or goal.* New's (1996) definition of leadership is generalised to causing positive movement towards the purpose or goal of the organisation and applied at all managerial levels in the sample. This influence of the manager over their team revealed a common style among the AA participant managers of an inclusive approach that resonates with consensual, participative and transformational leadership theories.

Whilst the sample leant towards a participatory style of management, this was set within a transactional goal to fulfil their job descriptions. For example, Claudia clarified what her overall role as a manager was with a transactional answer: "to achieve organisational standards: to achieve targets, KPIs, goals; to work with other agencies" (CLA160-64/N5).

The use of goals under the GMC of leadership was mentioned by the entire sample, with examples including individual goal setting, collegiate goal setting and explicit financial goals for those managers, such as Hamilton (HAM110-19/N5), working in the commercial sector. Several of the sample also saw an overlap with the GMC of motivation in the way they influenced others to achieve goals.

- *GMC 6 Motivation – the building of commitment, and the awareness and ability to*

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stimulate and control others successfully (New, 1996). As an example of the consensus of the

sample about the importance of this GMC, Hugh validated the relevancy of this competency:

when asked whether he was concerned with the GMC of motivation, he responds succinctly:

'It is my job" (HUG300-302/N6).

The challenge facing managers to 'stimulate' others towards what might be seen by

some as an undesirable goal was also discussed – motivating senior colleagues and difficult

subordinates implicated the need for a wide range of motivational techniques. These included

a commitment to staff development. Paul demonstrated a creative approach to the developing

subordinates' motivation when he creates a competitive training exercise to improve the

quality his team's work (PAU232-31/N6). Ron's "Employee of the month" prize (RON335-

50/N6) is a more recognisable stimulation of employees' motivation and he also used the

prospect of promotion (RON335-50/N6).

Whilst all the participants recognised the need to motivate others at work, a significant

controversy emerged through New's (1996) use of the technical phrase "control others" – this

touched a group nerve in a way that seemed to infer a lack of human dignity. Claudia

represents the consensus when she explained: "I prefer not to use the word control because

control for me can be bad because it can lead to confrontations. Monitor, yes - in a work

environment - but I would prefer to persuade and lead people rather than control" (CLA169-

73/N6). Quentin embellished on the possible negative impact of controlling others: "I think

control should be kept to a minimum. Control is almost always resented by the controlled"

(QUE145-158/N6). Rhian, as the only exception, did not balk at the suggestion of controlling

others: when she is asked whether she needs to exercise this in her job: 'I do. Yeah.

Absolutely'. (RHI146-155/N6). In contrast to this suggested confrontational style, Noel

emphasised the importance of motivating others primarily through role modelling and

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example: 'If you've got to encourage people to work in a particular way, you have to be able to model that kind of working yourself' (NOE146-59/N6).

- *GMC 7. Organisation - determining resources, and how to organise and apply them in the light of the perception and evaluation of alternatives (New, 1996):* All organisations face the challenge of managing the major resource areas of money, people, time, data and equipment. With the management of time arguably coming under the New's eighth competency of planning, responsibility for organising these other resources was identified by the participants with practical examples. The GMC of organisation was revealed to be a demanding competency with many of the sample committing a significant amount of time to resource management, particularly in light of the contemporary global financial crisis. Participants explained that as managers they are now being asked to get results with less resources – possibly increasing demand on the GMC of creativity. In his commercially driven organisation, Hamilton summarises: "the tributaries always flow back to the same point, which is money" (HAM143-151/N7). For Noel, working in social welfare, New's 'consideration of alternatives' touched upon organising difficult human situations in contrast to fiscal resource organisation: he cited an example of organising the care of an individual with a chronic dependency problem: "an example of that is that two carers of one particular gentleman are two other addicts and right now that's the best we can do' (NOE177-8/N7).

Combining these last examples of the GMC of organisation, the relationships between the GMCs of action management and creativity in the determining, application and evaluation of alternatives reveals another interdependent relationship amongst the GMCs.

- *GMC 8. Planning – analysing and deciding relevant goals and potentials as well as the sequence of sustained action necessary (New, 1996).* The AA participant managers

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immediately validated New's (1996) competency as critical to effective organisations. A participant criticised New for not specifying the importance of evaluation (HUG345-57/N8). All the participants cited plans that they are either part of or responsible for. These processes were influenced primarily by budgets. Sally (SAL243-55/N8), Claudia (CLA228-53/N8) and Rhian (RHI220-227/N8) all followed financial cycles which authored their main planning activities. This impact of budgeting on the planning process is accompanied by several organisational work plans used by the sample: Quentin talks of quarterly and monthly plans (QUE183-190/N8), whilst Maddie's organisation has a 10 year strategic plan within which her department's targets are embedded (MAD268-73/N8). Paul works within a "5 year rolling plan" (PAU303-7/N8) within which his department's work is embedded.

Within New's (1996) definition of planning are concealed a number of what might be termed 'lower order' competencies in the granulation process but, nonetheless, the sample saw them as essential to the management function: analysing information, decision making, goal setting and commitment to the plan are all implied in this macro GMC.

Practical examples of each GMC were sought also in the Workplace Observation method and these examples are referenced later in this chapter. The IPA and Workplace Observation findings revealed New's GMC framework to be largely task-focused with a noticeable absence of subtle people management skills. Whilst they accommodated the management function, the GMCs do not suggest skills required for effectively managing people.

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4.1.1.6. Influence of the 12 Steps on the AA participant managers at work.

Table 4.5.   *12 Steps influence on AA participant managers*

Name	Manager Position	12 step influences on managers
Claudia	Senior Project Worker	*'Really important. Really important. But like I say it doesn't take away your responsibility to do what you are paid for'.* CLA981-2/S12
Maddie	Climate Change Officer	*'Absolutely. They do. They provide a holistic framework within which I work. They have..... how can I..... I mean that's putting it quite bluntly but they provided subtle links..... through all of these things they've provided another dimension to all of these competencies that simply didn't exist before'.* MAD814-834/S12
Mick	Senior Law Partner	*'...the 12 Steps help me in every single aspect of my life from the moment I wake up until the moment I fall asleep. It's bound to help me more in certain aspects than in others but I can't think particularly of any single aspect where it's of no help at all'.* MIC683-6/S12
Paul	Catering Manager	*'I was brought up with no tools basically and the 12 Step programme gives me all the tools I need'.* PAU884-5/S12
Sally	Senior Project worker	*'I think it makes it easier'.* SAL852-68/S12
Hugh	CEO	*'Everything I do is with people and everything happens through people. So the 12 Steps is my recipe for those human interactions'.* HUG1150-55/S12
Ron	Senior Comm. Manager	*'You see it says 'as a result of these steps' - and I think it's a result of doing what I'm doing that's made me into a more experienced [MANAGER]. The experience comes into it as well. I'm able to draw now on experiences that I've had throughout my life and use them to make me a better manager'.* RON1097-1107/S12
Rhian	Director of Services	*'It's the best thing ever. I wouldn't be doing this without it. I mean I absolutely wouldn't..... I knew this job was going to be very, very tough for me. I did it in [PLACE] but I knew it was going to be really, really hard and without them..... I don't really think you'd survive'.* RHI713-16/S12
Quentin	Regional Manager	*'To me it's not just supremely practical but it's essential because if I let go of bits and pieces of it, I suffer and then those around me suffer so it's completely practical. It saves me time, energy and stress. I believe it saves my colleagues time, energy and stress'.* QUE582-95/S12
Noel	Senior Team Manager	*'It's a hundred percent different and it's a hundred percent better than would have been the case had I not done this'.* NOE703-24/S12
Hamilton	Senior Project Manager	*'The 12 Steps saved my life and got me into AA and when I leave the rooms it doesn't mean that they stay there until I go back. They're part of my everyday life...everything that I do is based around the 12 Step programme. Incalculable. Incalculable. No doubt'.* HAM788-799/S12
Bob	Warehouse Manager	*'By using the tools that I have been given by this programme, I know now how to... I don't want to use the word behave better, but I know how to conduct myself better'.* BOB294-7/S12

In addition to confirming the application of New's GMCs with the sample, the semi-structured interviews also sought to uncover the overall influence of the 12 Steps on the participants at work. The influence was found to be paramount as evidenced in Table 4.5. above.

4.2.   Method 2   Workplace Observation

4.2.1. Findings. All of New's (1996) GMC's were observed in some capacity and the findings from this qualitative ethnomethodological approach are now established. 12 Step utilisation in the managerial role was also investigated through this method and findings are also established in this section.

4.2.1.1. Observed general management competencies. This Workplace Observation study produced evidence that each of the participants (Noel, Ron and TJ) enacted all 8 of New's (1996) GMC's. The GMCs of creativity and change management were the most elusive attributes to observe and this is explained below.   All the remaining competencies of action management, leadership, motivation, coordination, organisation and planning were apparent in the observed management duties.

With regard to New's first GMC, action management, each observation day largely consisted of a series of related situations - managing immediate tasks as they occurred to ensure successful work including monitoring or avoiding potential mistakes. The client review meeting managed by Noel, (NOE/OB/17/N1), the on-site engineering test led by Ron (RON/OB/14/N1) and a production meeting supervised by TJ (TJ/OB/12/N1) are examples of this competency.

New's competency of change management was slightly more elusive in providing evidence. At a macro level only 2 clear pieces of evidence emerged: Noel in regard to his organisation's tendering process for a new 3-year contract to provide services (NOE/OB/17/N2) and TJ's renegotiation of future funding arrangements for his organisation (TJ/OB/14/N2). Discussions about these matters were recorded in the data.

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Coordination as a GMC was readily observable - basically seeing the AA participant managers 'juggle' staff with task allocation. For example, a specific conflict situation that occurred on the day when Noel was being observed required him to decide 'who should do what' in order to manage an unprecedented problem amongst his subordinates (NOE/OB/17/N3). More generally, all of TJ's meetings required him to approve staff/task allocation as he was the senior supervising employee. All of Ron's duties that were observed required him to check which subordinates were carrying out what tasks.

In some ways, the GMC of creativity was the most difficult competency to evidence. Whilst there were micro examples in every conversation observed by the researcher (where a course of action was suggested that might evidence being creative in decision-making options and choices), major creative demonstrations were not apparent. Arguably TJ, working in the arts sector, required a high level of creative competence in order to produce artistic programmes of work such as the observed project production meeting (TJ/OB/12/N3). However, as New's (1996) GMC construct is a generic model that applies to all managers, this last observation is technically irrelevant in the data as the competency was not displayed by all 3 participants.

In contrast to the GMC of creativity, the competency of leadership was readily observable as the AA participant managers in this study led their teams throughout the day. The observation revealed that leadership covers myriad activities for those in a management role: Noel was required to lead his staff through an unprecedented interpersonal conflict situation (NOE/OB/17/N5), Ron needed to take responsibility for a large-scale engineering test (RON/OB/14/N5) which had changed somewhat from the planned approached (senior partners were unable to attend at the last moment) and TJ was the autonomous manager

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throughout the day attended by the researcher. Each of these managers explicitly fulfilled the role as the senior manager on duty during the observation days.

New's GMC of motivation, as with the competency of leadership, was also readily observable. Each of the managers taking part in the study led meetings with individuals that directly related to the motivation of staff. Noel met with 2 undergraduate work placements during his observation day in which he ensured that they were 'energised' for their forthcoming work experience opportunities (e.g. NOE/OB/16/N6). Ron's scheduled team meeting included him enabling one of his subordinates to leave work early for a family related matter and it was observed that he did this as part of a reward mechanism for his subordinate's positive work performance (RON/OB/18/N6) whilst TJ himself led a training workshop for emerging artists during which he was observed to enthuse and advise younger dance practitioners (TJ/OB/18/N6).

The management of resources is captured under New's GMC of organisation. Again, this competency is synonymous with the manager's role and was evidenced throughout each day. More specifically, Noel was required to make decisions about the care provision for several individuals coming under his organisation's services (NOE/OB/18/N7), whilst the afore mentioned on-site engineering test conducted by Ron required him to make decisions about resource allocation (Ron/OB/14/N7); TJ's administration duties involved budget allocation decisions (TJ/OB/13/N7).

Finally, the competency of planning under New's (1996) construct was consistently apparent in this study; work placement meetings (NOE/OB/16/N8), team meetings (Ron/OB/18/N8) and explicit organisational planning meetings (TJ/OB/14/N8) frequented

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each observation day. The Workplace Observation data regarding the application of New's

(1996) GMC construct is collated in Table 4.6.

Table 4.6.   *Observed general management competencies*

A day in the life of AA Participant Manager			
	Examples of observed general management competencies (New, 1996)		
	Noel	**Ron**	**TJ**
GMC 1 **Action management**	Client review meeting NOE/OB/17/N1	On site test RON/OB/14/N1	Production meeting TJ/OB/12/N1
GMC 2 **Change management**	3 year tendering process NOE/OB/17/N2	No evidence	Meeting with funders TJ/OB/14/N2
GMC 3 **Co-ordination**	Staff conflict resolution NOE/OB/17/N3	Site electrical commissioning RON/OB/15/N3	Staff meeting TJ/OB/18/N3
GMC 4 **Creativity**	No evidence	No evidence	Production meeting TJ/OB/12/N4
GMC 5 **Leadership**	Staff conflict resolution NOE/OB/17/N5	On Site test RON/OB/14/N5 Team Meeting RON/OB/18/N5	Staff meeting TJ/OB/18/N5
GMC 6 **Motivation**	Work placement Meeting NOE/OB/16/N6 Staff discussion NOE/OB/16/N6	Team Meeting RON/OB/18/N6	CPD Workshop TJ/OB/12/N6 SEN project meeting TJ/OB/18/N6
GMC 7 **Organisation**	Client review meeting NOE/OB/18/N7	On Site test RON/OB/14/N7	Administration TJ/OB/13/N7
GMC 8 **Planning**	Work placement Meeting NOE/OB/16/N8	Team Meeting RON/OB/18/N8	Meeting with funders TJ/OB/14/N8

4.2.1.2. 12 Step utilisation in the managerial role. This study also produced

evidence of 12 Step utilisation at work by the AA participant managers. However, unlike

New's 8 GMC's, the AA construct was more difficult to observe. This is because the 12

Steps are not concurrent to the management function and include preparatory processes

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such as praying in the morning before work and finite historic processes such as conducting a 'fearless moral inventory' in Step 4 some years ago. Yet the influence of all the 12 Steps on emotions, cognitions and actions appeared to be all pervasive for the sample.

The 'powerlessness' of Step 1 was established each day by the participants as part of their preparation for work. This step was addressed through prayer, meditation and readings. This preparation included explicitly reminding themselves of their condition as alcoholics who had been powerless over alcohol and were still powerless over universal destiny. For example, Noel meditated each morning on this concept (NOE/OB/5/S1). In a linear sense, the Step 1 process provided the foundation for the managers in going into work. It helped then focus explicitly on their own performance.

Step 2 implies the establishment of a relationship with a Higher Power and the need to rely on this entity. This relationship applied throughout the day for the sample. Again, Step 2 was manifested through the prayer process in the morning and repeatedly throughout the day (for example: TJ/OB/5/S2); this prayer was directed towards God by each of the sample in this study. Step 3 - basically allowing God to be responsible for how the day was to unravel rather than the individual trying to manipulate it - was evidenced also in the preparation for the day; as an additional example, Ron made direct reference to God during his observation day (RON/OB/25/S3) regarding a meeting with his boss and then secondly in context of the on-site engineering test. Basically, Step 3 at work appeared to prevent the managers from becoming distressed by unexpected situations through the day and allowed them to focus on their own response to those situations. However, Step 3 provides a good example of the difficulty of evidence: each of the managers had 'turned the day over to the care of God' but this concept is physically invisible beyond the praying process.

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The only reference to Step 4 during this study was made by Ron in context of his meeting with his boss (RON/OB/25/S3). This lack of evidence during the observation days is because Step 4 is a historic process for the AA participant managers who had several years of sobriety. They had conducted the moral inventory of Step 4 years ago. However, this process will have established behaviours that were evidenced later during the study in context of Step 10. It also implicates the fundamental 'taking of responsibility for one's own actions' as a future behaviour having conducted the inventory of Step 4.

Several Steps provided no evidence through the observation study: Step 5 regarding confession of past 'wrongs', Step 8 regarding listing people that the AA participant manager had previously 'wronged' and Step 9 regarding the making of direct amends to those people. Whilst actions associated with these Steps were not apparent or observed, again their benefit to the participant seems to be in taking responsibility and establishing behaviours that then become apparent through transactions with all people at work such as apologising and being compassionate.

However, the 'character defects' referred to in Step 6 of the AA programme were mentioned repeatedly by both Noel and TJ (for example NOE/OB/15/S6 and TJ/OB/8/S6). By mentioning these during their observation days, it provided evidence that the participants were aware of these 'default negative characteristics' during transactions with other people at work. They were mindful that their negative characteristics did not control their behaviour. All the participants also reviewed these 'defects' at the end of the day, again as part of the Step 10 process.

Step 7 was evidenced on 2 occasions. Once by Ron regarding a team meeting when he explained that he was 'checking his behaviour' during discussions (RON/OB/26/S7) and

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then by TJ in his morning preparation ritual when he prayed that his ego would be 'right-

sized' during the day (TJ/OB/27/S7). Specific behaviours related to the word 'humbly' (used

in the wording of the Step and the concept of humility is established in the literature as a key

principle for the AA programme) were not deemed to be explicit during the observation days

beyond a general approachable manner shared by the 3 participants with their subordinates

and their constant checking of their own behaviour. This is because behaviours associated

with those qualities have yet to be specified in a consensual manner in the literature.

However, the sample's constant concern about their behaviours, their frequent use of prayer

through the day and the reviewing of their performance together suggested humility – that is

being humble enough to take responsibility for their own actions, being acutely conscious of

their work duties, showing regard for all their colleagues and recognising their powerlessness

in a universal context.

Step 10 was referred to frequently by the participants during the day with particular

reference to reviewing their performance.   For example, in the morning they might have

reviewed their previous behaviours from the day before or in the evening they reviewed the

day at work; in addition the sample reviewed their conduct in specific situations: for example,

during lunch Ron went back to his car for a break where he reviewed his morning

performance (RON/OB/5/S10) and, secondly, TJ reviewed his conduct in reference to his

meeting with his organisation's funders during the day (TJ/OB/14/S10).

The 'conscious contact with a Higher Power' such as God evoked in Step 11 was also

referred to by each of the AA participant managers in the study. Explicitly, Ron spoke of

taking God into a meeting with him that was observed by the researcher (RON/OB/5/S11), TJ

referred to praying during his lunch break in the toilet (TJ/OB/27/S11) and Noel in context of

his preparation for work in the morning (NOE/OB/5/S11). Each of the sample prayed several

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times during the observation day using AA prayers (for example see appendix N p.LXII) calling for serenity, humility, restraint and service to others.

Finally, Step 12 calls on the participants to practice the principles of the AA programme in all their affairs and to carry messages to other human beings that may be suffering either in context of alcoholism or in a general welfare sense. Generic evidence appeared in Noel's career choice to work in the care sector (NOE/OB/28/S12), TJ was conscious of applying the 12 Step principles through his work activities such as during his collaborative office work with his administrator (TJ/OB/8/S12) and Ron was conscious of aspiring to follow the 12 Steps during the day ahead in his morning preparation for work (RON/OB/5/S12). Evidence about the 12 Steps arising from this method are collated in Table 4.7. 12 Step utilisation below on page 209.

What is clear in the findings is that observing the 12 Steps in action is difficult because they involve internal spiritual, cognitive and affective processes that largely rely on the AA participant manager reporting on those internal processes. This limitation is discussed in further detail in the next chapter. Interestingly, the more observable action-based Steps such as Step 5 ('admitting to ourselves, God and another person the exact nature of our wrongs'), Step 8 and Step 9 (identifying the need for, and the making of, an amends) were not evidenced on any of the observation days. This does not mean that these Steps were not influential in the manager's behaviour (praying is a clear manifestation of Step 5 whilst Steps 8 and 9 demand sympathetic and empathetic consideration of others); what this finding revealed is that some of the Steps can present themselves as both one-off interventions and also as recurring event. The Steps can be viewed as both a linear process and a concurrent matrix process whereby the Steps inform each other in a symbiotic manner. As an example, Step 10 requires the taking of the daily inventory and this process is born out of the Step 4 process – the taking of a moral

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inventory. In this manner, Step 4 is an antecedent of Step 10 and both are causal paths to improved functioning. In a similar manner, Steps 1, 2 and 3 are an antecedent of Step 11 and all the proceeding Steps are antecedents of Step 12. Crucially, with regard to academic research and epistemological and ontological issues, whilst the observation days focused on that which was observable (socially constructed and phenomenal), the research does not exclude the non-physical affective and cognitive 12 Step process that is discussed throughout chapter 5.

This method exposed the fundamental importance of following the 12 Step programme in performing managerial competencies for the sample - indeed, it was observed that the 12 Step programme provides the first principle in their organisational role. The phenomena identified with working the 12 step programme through the IPA process were readily observable on all observation days; under the 12 Step cluster of *Higher Power,* prayer was a practical ritual cited by each of the sample utilised pre, mid and post work (for example TJ/OB/27/S11). The IPA *Personal Power* cluster was evident in meetings and professional relationships, with the participants keen to check their professional mandate and personal abilities and capabilities (for example, RON/OB/27/S10). The IPA cluster of *Truth* governed the quality of personal transactions and information-processing (for example RON/OB/18/N6). The IPA cluster of *Valuing Others* was apparent in leadership and motivational concern for others – including the concern for the holistic wellbeing of staff, life balances and stress reduction (for example NOE/OB/17/N5). The cluster of S*elf Management* was observed as the primary outcome at work of the 12 Step programme - the subjects confirmed pre-work meditation to focus on personal affective, cognitive, behavioural and spiritual processes, whilst the taking of a *personal behaviour inventory* was observed during lunch breaks and post work reviews of personal behaviour were conducted (for example NOE/OB/13/S10).

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Table 4.7.   _12 Step Utilisation_

Workplace Observation - A Day In The Life of AA Participant Manager			
	12 Step (AA, 2001) Utilisation		
	Noel	**Ron**	**TJ**
Step 1 We admitted we were powerless over alcohol— that our lives had become unmanageable	Prayer – Set up NOE/OB/5/S1	Prayer– Set up RON/OB/5/S1	Office work TJ/OB/13/S1 Prayer – Set up TJ/OB/27/S1
Step 2 Came to believe that a Power greater than ourselves could restore us to sanity	Prayer– Set up NOE/OB/5/S2	Prayer– Set up Ron/OB/26/S2	Prayer– Set up TJ/OB/27/S2
Step 3 Made a decision to turn our will and our lives over to the care of God _as we understood Him_	Prayer – Set up NOE/OB/5/S3	Lunch Ron/OB/17/S3 Meeting with boss Ron/OB/25/S3 On site test	Prayer– Set up TJ/OB/5/S3
Step 4 Made a searching and fearless moral inventory of ourselves	No evidence	Meeting with boss Ron/OB/25/S4	No evidence
Step 5 Admitted to God, to ourselves, and to another human being the exact nature of our wrongs	No evidence	No evidence	No evidence
Step 6 Were entirely ready to have God remove all these defects of character.	Administration NOE/OB/15/S6 Evening review NOE/OB/17/S6	No evidence	Office work TJ/OB/8/S6 Prayer– Set up TJ/OB/27/S6
Step 7 Humbly asked Him to remove our shortcomings	No evidence	Team Meeting Ron/OB/26/S7	Prayer – Set up TJ/OB/27/S7
Step 8 Made a list of all persons we had harmed, and became willing to make amends to them all	No evidence	No evidence	No evidence
Step 9 Made direct amends to such people wherever possible, except when to do so would injure them or others	No evidence	No evidence	No evidence
Step 10 Continued to take personal inventory, and when we were wrong, promptly admitted it	Administration NOE/OB/13/S10 Evening review NOE/OB/27/S10	Personal phone call Ron/OB/27/S10 Morning prep Ron/OB/5/S10 Evening review Ron/OB/5/S10	Meeting with funders TJ/OB/14/S10 Evening review TJ/OB/27/S10
Step 11 Sought through prayer and meditation to improve our conscious contact with God _as we understood Him_, praying only for knowledge of His will for us and the power to carry that out	Prayer – Set up NOE/OB/5/S11 Evening review NOE/OB/27/S11	Prayer– Set up Ron/OB/5/S11 Team meeting Ron/OB/26/S11	Prayer– Set up TJ/OB/5/S11 Lunchtime & office work TJ/OB/27/S11
Step 12 Having had a spiritual awakening as the result of these steps, we tried to carry this message to alcoholics, and to practice these principles in all our affairs	Work choice- meaning and service NOE/OB/28/S12	Prayer – Set up RON/OB/5/S12	Sponsee meeting TJ/OB/5/S12 Office work TJ/OB/8/S12 CPD workshop TJ/OB/27/S12

Finally, the IPA cluster of _Managerial Role_ was evident; Noel organised a staff lunch

party that demonstrated his regard for _inspiring staff_ (NOE/OB/16/N6), TJ's strong language

in the way he challenged his organisation's funders showed _forthrightness_ (TJ/OB/14/N8),

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Ron used his weekly 'commissioning meeting' to check his *technical performance*

(RON/OB/14/N8) and all 3 participants demonstrated an acute regard for their contractual

responsibilities through the observation days.

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4. 3. Method 3 Quantitative ISIS questionnaire (Amram and Dryer, 2008)

4. 3.1. Data analysis process. 25 AA participant managers returned completed questionnaires. All data were analyzed using SPSS 19.0 statistical analysis software. Reverse scored items were recoded such that high scores on all items theoretically provided evidence for SI. There were no cases of missing data. Available univariate statistics (including mean and standard deviation), frequency histograms and box plots were examined for all variables to explore potential problems, violations of assumptions and group differences. The data was shown for this study sample ($n25$) to be reliable (Cronbach's alpha 0.95).

4. 3.2. Cleaning the data. Tests of normality were conducted; variables passed Kolmogorov-Smirnov assumptions at .05 level and therefore parametric assumptions were used (see Table 4.8. Kolmogorov-Smirnov significance).

Table 4.8.   *Kolmogorov-Smirnov significance*

Higher Order Domains & variables	Statistic	df	Sig.
consciousness	.143	25	.200
meaning	.121	25	.200
transcendence	.086	25	.200
truth	.162	25	.088
grace	.145	25	.184
isis	.148	25	.164

4.3.3. Findings. Having cleaned the data and checked assumptions for the relevant analysis, a one sample t test found the mean ISIS score for Sample 1 to be 4.36 with a standard deviation of .469. See Table 4.9. One Sample Statistics Sample 1.

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Table 4.9. *One-sample statistics: sample 1*

	N	Mean	Std. Deviation	Std. Error Mean
Sample	25	4.3636	.46902	.09380

4. 3.4. Mean scores of different populations. Using the data provided by Amram and

Dryer (2008) the means of all 4 existing populations were compared and are shown in Table

4.10. Spiritual intelligence mean scores by population below.

Table 4.10. *Spiritual intelligence mean scores by population*

Population	*n*	Mean
Norm 1: Spiritual leaders nominated for spiritual intelligence and not nominated for business acumen	17	4.85
Norm 2: General American population not nominated for spiritual intelligence and not nominated for business acumen	210	4.31
Norm 3: Business leaders nominated for spirituality intelligence and nominated for business acumen	15	5.04
Norm 4: Advanced MBA students not nominated for spiritual intelligence and nominated for business acumen	21	3.64

4. 3.5. Hypotheses results. The hypotheses were formulated to explore whether the

sample of AA participant managers would have higher SI than a category of relevant norms

created using the only existing research to date using the quantitative ISIS questionnaire

(Amram and Dryer, 2008). Whilst other SI constructs and questionnaires were considered

(King, 2008; Nasel, 2004; Wolman, 2001; Zohar and Marshall, 2000), the existing ISIS norms

offered access to populations nominated for spirituality and business experience through

leadership and management positions – broadly reflecting the theoretical composition of the

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sample of AA participant managers. Therefore, to examine the relationships, a series of t-tests was conducted between the sample and existing norms. The results are stated in Table 4.11.

In the first instance, hypothesis 1 sought to test the ISIS scores of Sample 1 with Norm 2 (the general US population) using a one sample t test: the mean scores were 4.36 and 4.33 respectively; this marginal difference cannot be regarded as significant (t = .571, p = n/s), proving the hypothesis to be false.

In the next instance, this research sought to explore the smaller populations represented by norms 1, 3 and 4 - different sub populations formed according to their embodiment of business acumen and spirituality. However, hypothesis 2 was arguably the most contentious in comparing the AA participant managers against norm 3 (business leaders nominated for both the embodiment of spirituality and for business acumen) in order to explore theoretically similar populations. Norm 3, however, clearly outperformed all known groups that have used the ISIS to date with a mean score of 5.04 (p>.05), proving hypothesis 2 to be false – the AA participant managers population scored significantly lower SI than this population (t = - 7.211, p = >.01).

In a replication of the results from the Amram and Dryer (2008) research, hypothesis 3 was accepted: the norm 4 population of students on an advanced MBA at a top business school scored lower SI scores than sample 1 (t = 7.714, p >.01) (as it did against all other norms in previous research - see Table 4.10: Spiritual intelligence mean scores by population). Hypothesis 4 was accepted as the spiritual leaders in norm 1 (mean 4.85) outperformed the AA participant managers (t = - 5.186, p >.01). However, it is interesting to note that in the research to date, Amram and Dryer's (2008) population of business leaders nominated for their embodiment of spirituality, outperformed spiritual leaders nominated for their embodiment of

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spirituality but who were not nominated for business acumen. Simplistically, it might have

been expected that this latter group would outperform the former.

Table 4.11.   *ISIS hypotheses results*

• Hypothesis 1   Result: rejected

Sample 1 would have higher spiritual intelligence than Norm 2: (general U.S. population not

nominated for spiritual intelligence and not nominated for business acumen).

• Hypothesis 2   Result: rejected

Sample 1 would have higher spiritual intelligence than Norm 3 (business leaders nominated for

spirituality intelligence and nominated for high business acumen).

• Hypothesis 3   Result: accepted

Sample 1 would have higher spiritual intelligence than Norm 4 (advanced MBA students not
nominated for spiritual intelligence and nominated for business acumen).

• Hypothesis 4   Result: accepted.

Sample 1 would have lower spiritual intelligence than Norm 1 (spiritual leaders nominated for

spiritual intelligence and not nominated for business acumen).

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Chapter 5

Discussion

5.1. Psychological processes between the 12 Steps and GMCs

Having established the findings from the research methods and considered the wider literature, psychological processes revealed in the relationship between the 12 Steps (AA, 2001) and GMCs will now be explored as the first part of the discussion. This addresses key research voids explored in the literature review about specifying processes involved in the application of the 12 Steps at work. Once these psychological processes have been examined, they will then be compared with relevant business psychology theories relating to management. Towards the end of the discussion, the findings will also be explored in context of the concept of SI. Ultimately, this discussion tries to address the provocation: are there 12 Steps to better management?

During this discussion, extracts from the lead IPA method semi-structured interviews will be used where possible to support relevant academic observations. This positions the AA participant managers as the 'experts' (Fade, 2004) which supports the epistemological considerations stated in chapter 3. In this way, using qualitative data to support discussion purposes is deemed to be good practice. For clarity, IPA phenomena are italicised.

5.1.1. Management power from powerlessness. The concept of 'surrender' is raised in the literature by Tiebout in context of alcoholism (1949), the Oxford Group's theology (Pittman, 1997), Amran's (2007) preliminary SI construct and repeatedly by Wilson in his writings on the 12 Steps. This concept is revealed in the findings as fundamental to the participants in the way they approach their work role and is addressed directly in Step 1.

As explained by Hamilton below, the influence of Step 1 revolves around issues of

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personal power, *powerlessness* and acceptance. In turn, these act as antecedents and causal mechanisms effecting locus of control (LOC) (Rotter, 1966) and self efficacy (Bandura, 1977) relating to motivation (Locke, 2001).

> What I do find as you're trying to do Step 1, is that there are always situations in my business that I am powerless over, which is people, places and things – let alone resourcing; and that without accepting that powerlessness around those situations - which is very much Step 1 - the way that I would deal with it would be completely unmanageable. One of the great things funnily enough about Step 1 which gets on to acceptance, is that there are things that happen that I am totally powerless over (HAM230-9/S1).

For somebody who is bestowed with management responsibility, it might seem incompatible for Claudia to admit "as an individual, I accept that I am powerless over people, places and things. I'm powerless in some events" (CLA279-80/S1). Yet this critical admission explains a surrender process facilitated by the 12 Steps that the managers then draw in their management function. The *powerlessness* referred to by the research participants initially refers to alcohol - the inability to choose whether to drink or not - which is defined as a condition of alcoholism by AA (2001, p. 30). However, in spite of some idiosyncratic variation in the data, the programme ultimately suggests that the definition of *powerlessness* extends beyond alcohol and, ultimately, the *powerlessness* referred to is interpreted within a cosmic existential context such as the inability to influence universal destiny.

Noel explains that "the part that I am powerless over at the end of the day, is other people's actions" (NOE215-2/S1). For an organisation employing a manager, this may not be very reassuring at face value. However, as will be explored further in this chapter, it has implications for issues relating to LOC and in the enactment of *contractual responsibility* and *professional*

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integrity. The AA participant managers seemed comfortable with the paradox of personal

powerlessness and professional power; as a senior partner in a law firm, Mick addressed this

conundrum in his work responsibilities:

> I don't see it as a contradiction. As I said I'm powerless in that I can't guarantee a
> particular outcome. I don't do litigation but if I did litigation, I couldn't guarantee
> that a client would win his case. All I could do is advise him and present his case to
> the best of my ability. Now that's not a case of me being powerless, that's the case
> of me using my God given abilities to the extent that I can (MIC265-76/S1).

The participants' suggest also that Step 1 is both a finite process - something that was

done in surrendering to their alcoholism - and an infinite lifelong process. As an example,

Quentin (QUE230-6/S1) talks about Step 1 specifically with regard to the recognising that he

was powerless over alcohol and that he had surrendered to the fact that his life was therefore

unmanageable. The act of surrender may be a finite process, but universal *powerlessness* is held

in perpetua by the sample. The catering manager, Paul, when asked whether he was still

powerless and whether his life was still unmanageable some 20 years after adopting the

programme, explains:

> Yes to both. I mean the programme, fundamentally in itself, is a life long process.
> It's a lifelong process. It certainly not something that I'm ticking Step 1 as finished;
> there's no way that that's ever going to happen (PAU340/9/S1).

Ron interprets the Step 1 *powerlessness* feature as initially being alcohol specific that leads

to a new found sense of personal power: in his management role, he believes he does now have

power over people and places because he has organisational authority and the facility of choice.

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This means that he can exercise power to remove himself from certain situations; his response represents a new internal LOC that leads to increased *self-confidence* and self efficacy:

> If I don't like somebody, I can remove myself; I don't need to speak to that person, so the people thing goes out. Places – if I don't like to go to rollercoaster's, I don't. If I don't like to go to fun parks either..... I don't need to go to a place I don't feel comfortable (RON519-534/S1).

How does this initial lack of power addressed in Step 1 – which suggests a lack of control and contradicts management function according to New's (1996) competencies of motivation and leadership - sit alongside *contractual responsibility*? When challenged in the research interviews, respondents are keen to point out the difference between having power over people's responses and attitudes at work and power over contractual standards of employment. The extract from the interview with Hugh explores the *powerlessness* paradox – he believes he can hold both being powerless as an alcoholic and hold power as a manager at the same time through contractual and management functions; being powerless, according to the following passage, does not negate the manager's role to lead, motivate, organise and plan:

> What I can't do is change you. I can't expect to change you. So I mean I don't go home frustrated. I don't go home and think, 'Oh shit these people don't behave like I thought they should' or 'I didn't get my way; maybe I shouldn't have got my way,' [...] because I know that I'm powerless. The only thing that I have power over is putting processes in motion. I can do that. I have the power to do that because I have authority. I can put a process in motion like the planning process. I have no power though over the outcome (HUG421-8/S1).

Hugh later explains that ultimately the manager can remove someone who is compromising the organisation through underperformance – even though that does not mean he

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has a power to change the individual: "If it's [a subordinates performance] so irritating, it's so disconcerting in the workplace, I may have to get rid of you but I know I can't change you and that's very empowering" (HUG404-19/S1). In support of this position, Noel explains that his management responsibility required him to dismiss a subordinate because of incompetence "so I'm not powerless in that sense" (NOE29-232/S1). This demonstrates what is called in the phenomena *forthrightness* as an outcome of Step 1, suggesting assertiveness which is a key requirement if managers are to fulfil all New's (1996) GMCs effectively – and New acknowledges this in the literature on GMCs (New, 1996).

Whilst the sample acknowledged this inability to guarantee workplace outcomes or other people's reactions, attitudes to work, disciplinary performance and market conditions that may affect their work, what they do take responsibility for through the surrender process is their own performance; this is identified through phenomena such as *doing one's best* and *contractual responsibility*. In accepting a lack of power over others (and life in general) they accept full responsibility as an outcome of this process of Step 1 for their own thoughts, feelings and behaviours. A significant Step 1 outcome is an increased sense of personal responsibility – internal LOC whereby the individual places responsibility for their actions within their own *sphere of control* as opposed to placing responsibility on external beings or factors – an external LOC (Seligman, 1975). Rotter's (1966) concept of LOC is well cited as a behavioural moderator within work psychology theories (Judge and Bono, 2001; Spector, Cooper, Sanchez, O'Driscoll and Sparks, 2002; Ng, Sorensen and Eby, 2006) and is examined in later sections.

As well as promoting an internal LOC, other outcomes associated with the Step 1 process are explained by Sally as increased *empathy*: "I come across people who are powerless all the time and I can use this Step to understand, to empathise, even if their *powerlessness* over

whatever they are powerless over is not alcohol" (SAL309-10/S1). The 12 Step programme promotes the cluster of *Valuing Others* and its related phenomena: by having gone through a 'rock bottom' themselves and undertaking Step 1, the data suggest that the AA participant manager appears to operate from an increased sense of common humanity.

This ability, captured under the IPA cluster of *Valuing Others,* originates from the phenomena of *personal human limitations*, *sphere of control* and the *acceptance of real self.* Hamilton explains that these processes are brought about by the surrender process and the understanding of his *sphere of control*: "the truth is that there are situations […] that I'm totally powerless over: I'm powerless over organisations that may reject what I want to do; it's how I manage that which is the key to keeping things going" (HAM249-52/S1). Implicit in this increased internal LOC are the phenomena of *ego reduction* and *humility* – the AA participant managers cannot experience *powerlessness* without these criteria. The findings reveal that it is from this position of *powerlessness* that the follower begins to develop power - in the first instance, power over themselves. This resonates with Judge, Locke, Durham and Kluger's (1998) findings that internal LOC is an antecedent of core self evaluation leading to self efficacy.

Figure 5.1.   12 Step related psychological mediators between spirituality and ABR

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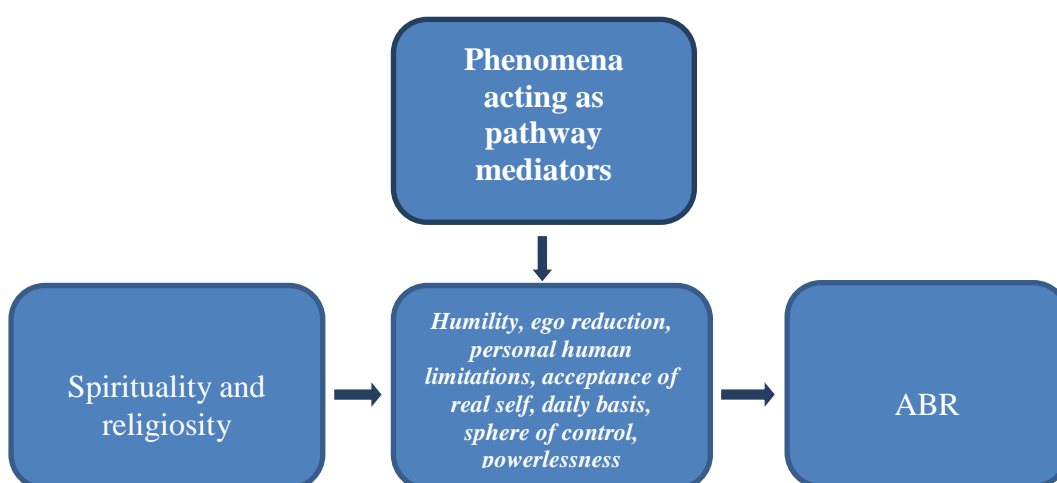
Carrico et al.'s (2007) acceptance based responding (ABR) research appears to apply in this analysis to the sample. ABR moves the sample from a state of unmanageability to manageability. In the model presented earlier in literature review (see Figure 2.1. p.40), this mechanism created by the 12 Steps leads to outcomes used the participants in their approach to their work role. However, the psychological factors explaining the link between spirituality and 12 Step recovery are not identified in the ABR model (Figure 2.1. p.40). As a result of the findings of this research, it is possible to add to the model by explaining this pathway from spirituality to ABR via the phenomena of *humility*, *ego reduction, personal human limitations, acceptance of real self, daily basis, sphere of control* and *powerlessness*. In this way, these phenomena can be seen as causal mechanisms leading to ABR as displayed above in Figure 5.1. 12 Step related psychological mediators between spirituality and ABR.

Consideration of the data from this research so far also suggest that through a causal pathway, an internal LOC and increased self efficacy also lead to the outcome of *stress reduction*. The sample describes feeling more relaxed, satisfied and more able to switch off from anxiety and this emanates from undergoing Step 1. Instead of fighting problems at work, they accept them; this acceptance then allows improved cognitive function and, therefore, better management function. Rhian explains these positive outcomes that allow her to function more effectively as a manager by experiencing *powerlessness* in Step 1:

> I'm calmer. I have stopped the trying to work it, manage it, control it, you know, lead it and it's...it's not the same as giving up and I was very frightened for many years about really letting go because I thought that's what it was and you just went in to some kind of huge extended depression or sort of the victim life you know; I actually resisted letting go because I thought that's what it meant but actually the more I've been doing this, the more I realise that you get into some sort of flow state where you actually are very, very effective. (RHI290-298/S1).

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The great conundrum revealed by Step 1 is that if the sample of managers accept that they are powerless and that their lives were unmanageable, how can organisations rely on such people to manage? How can an individual fulfil New's (1996) GMCs when the starting position is unmanageability? It is possible to infer from the findings that, having undertaken Step 1 and increased the understanding of their limitations, this humbling experience - through increased internal LOC and increased self efficacy - creates power for the individual going through those processes. Power over oneself is the outcome produced by the causal mechanisms of admitting and experiencing *powerlessness*. And the sample draws on this new power in their roles. This outcome is evidenced by Maddie who suggests that, by going through the Step 1 processes, she actually experiences greater power that can then be applied in the application of GMCs:

> *Researcher*: Does that control come from your powerlessness?
> *Maddie:* Yes. That recognition…
> *Researcher:* Go on…
> *Maddie:* Yeah. That recognition and the clarity and the dividing line it creates. The ensuing clarity that creates is empowering. Yes. (Mad352-6/S1)

5.1.2.   The ultimate support network for managers. In the literature on spirituality at work reviewed in Chapter 2¸ Neck and Milliman (1994) linked spiritual values with positive job performance although Schaefer and Darling (1997) found that a secular non-religious spirituality was most common. This may be because many research participants in previous studies revealed that they were afraid of even using the phrase 'spirituality' in the workplace (Mitroff and Denton, 1999b). However, Step 2 clearly wakens the AA participant managers' spirituality that the data reveals and this informs their management approach.

Having facilitated a sense of surrender, the findings reveal that the 12 Step programme now leads the AA participant managers into a stage of developing relationships with what they

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may deem to be a power greater than they are and at least starting to consider relying upon that power as a support network. The increased internal LOC, increased self efficacy and ABR are further strengthened by a spiritual dimension introduced in Step 2.

The spirituality at work literature is vague about the term God, giving the impression that it is contentious. However, Kinjerski and Skrypnek found that valuing a connection with a power greater than oneself was a basic component of being spiritual in the workplace. Step 2 brokers this relationship. During the Workplace Observation, Ron explained this ambiguity with the phrase "the God of my not understanding" (RON/OB/5/S2)

Paul goes further to explain that his Higher Power now is "a gut feeling; the subconscious" (PAU486-95/S2). Noel concurs with his definition of a Higher Power as a sense of conscience (NOE325/S2) and this referral to conscience when considering a Higher Power features regularly in the findings. This emergent sense of conscience leads to the outcome phenomena of *ethicality, honesty* and *professional integrity* clustered under the heading of *Truth* in the IPA.

Where there is consensus in the data is that all of the sample have a belief in a power greater than themselves and that, secondly, this power was related to benevolence – "a force for good" (CLA396/S2). The group also concurred that this power was a feature of their daily working life in organisational positions. Ron exemplifies this relationship explaining how he takes God in with him to work every day and engages in a dialogue with his Higher Power throughout his management duties (RON546-57/S2; RON/OB/15/S2).

This reliance by Ron on his Higher Power was also evidenced in the Workplace Observation method as displayed in Table 4.6: 12 Step Utilisation (Explicit) on page 203 which

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described his morning practice invoking his relationship and conscious contact with this Higher Power. He uses prayer to tune into his conscience and divine support network every morning. This finding was also uncovered in the observations of Noel (NOE/OB/5/S2) and TJ (TJ/OB/27/S2), who reported that upon opening his eyes he had recited the Lord's Prayer along with the AA Step 3 Prayer; the concept of this Higher Power or God is mentioned in Steps 3, 5, 6, 7 and 11 and the relationships between the sample and this Higher Power is shortly explored further.

In exploring how this relationship with a Higher Power supports the manager in their role, Sally gives evidence of her Higher Power supporting her in a critical incident at work when she was supervising a violent individual. During this challenging management intervention, which Sally found extremely disturbing, she took strength in the following phrase "I knew I was not on my own. It's just a knowledge; it's hard to explain." (SAL445-57/S2). Other ways in which this relationship manifests at work are given in Steps 3 and 11, whereby AA participant managers explain how God accompanies them to meetings (RHI642 -659/S11) and features during discussions with colleagues as Maddie explains:

> *Researcher*: Can you be in the situation seeking conscious contact with God? Can you be in a dialogue with somebody and…..
> *Maddie*: Yes.
> *Researcher*: And thinking…..
> *Maddie*: Yes I can. I can. I can. I can. There have been times where I've thought, 'You're an asshole' and I think 'you're talking crap.'
> *Researcher*: And then what happens?
> *Maddie*: I think, 'This is really unprofessional. I shouldn't be thinking like this because…this sounds really corny...we've all thought, 'this person's a good person', 'that person and that person have good intentions', 'that person's good at their job. I just need to understand that person better'. (MAD751-63/S11).

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Step 2 processes are also the start of the prayer mechanisms that make up several phenomena uncovered in the IPA. Prayer to this 'divine support network' is a regular practice of the AA participant managers in carrying out their organisational function and is explored in greater detail in context of Step 11 later in this chapter. Prayer interacts with the psychological mechanisms of LOC, self efficacy and ABR already established at this stage of the programme. In addition to the prayer process, meditation (see AA, 1953 p. 98 for definition) also serves as a causal mechanism which leads to the outcomes *of controlled reactions, ego reduction* and *stress reduction*. These echo the sanative outcomes found in the literature regarding the efficacy of prayer and meditation resulting in *stress reduction* (Maltby et al., 1999) whilst many writers associate general wellbeing with spiritual practices such as prayer (Abdel-Khalek, 2007; George, et al., 2000; Koenig et al., 2000).

The Step 2 reference to restoring sanity also uncovered further antecedents, causal mechanisms and outcomes; Claudia (CLA344-6/S2) and Mick (MIC344-50/S2) both talk about "stepping back" when things get challenging at work. Hugh explains how his relationship with his Higher Power leads to the outcomes of *ethicality, honesty, controlled responses* and *professional integrity,* explaining that he uses it to "guide the goodness in what you're doing" (HUG486-499/S2). He earlier explains that all are capable of the insanity of the 7 deadly sins, going on to describe colourfully how his relationship with a power greater than himself helps overcome this Jungian 'dark side':

> I have all of the seven deadly sins that can corrode what I'm trying to do as a leader and I don't know how else you overcome those things. I mean for sloth I might want to go skew off for this afternoon; I think that girl over in Facilities is cute, I'd like to go screw her if I could get hold of her. I'd like to figure out a way to…I run through $200 million a year…I'd like to steal some of that. I mean all these things that could come into your mind that I think...you know…to me it's a spiritual question. If you

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can guide the goodness and rightfulness of what you're doing and God can help you, and power you over the dark side so to speak which...I mean, there's always the dark side. (HUG486-499/S2).

Hamilton also acknowledges his 'insanity' by describing irrational or disproportionate responses to situations at work. He continues to explain how, in such a situation, he almost ends up in a fist fight with a sub contractor in a site car park in the rain. Potentially an act of gross misconduct by a manager:

It is very powerful…I do come back to the 12 Steps because I know how insane I can become because, like every other person, I am fear driven occasionally and I have an absolute fear that if things aren't done in a certain way - and sometimes my way - then the wheels are going to come off the wagon and I know I'm capable of going absolutely insane" (HAM310-26/S2)

Mick explains that the development of this support network from his Higher Power gives him the "sanity and serenity" (MIC344-50/S2) that enables him to conduct his management role. In this way, Step 2 is the antecedent to the cluster of *Self Management* by initiating the spirituality of the programme; for example, this new relationship with a Higher Power goes on to facilitate the processes of *meditation* that enables *stress reduction*, in turn leading to *controlled reactions* required for the effective management of others.

These *controlled reactions* to workplace situations reduce negative affect and, in turn, this promotes *ethicality* by allowing the AA participant manager to make cognitively informed, not emotionally informed, decisions. Furthermore, managers that self manage ultimately increase the likelihood of role modelling – a key quality of efficacious management (Adair, 1973; Bass,

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1990; Burke et al., 2006; Dansereau et al., 1975; Greenleaf, 1970). This is explored further in the next section in context of relevant managerial concepts.

5.1.3.   Defining management responsibility.

A characteristic of spiritual leadership was identified in the literature by Sanders (2003) in that spiritually-informed approaches to leadership move the leader to a different level of internal locus of control (LOC) (Rotter, 1966). The findings suggest that LOC – and in particular a strongly reinforced internal LOC – inform the sample's GMCs and integral sense of personal responsibility. This is facilitated by Step 3.

Mick's description of Step 3 processes below demonstrates its application to management function and, in particular, the decision making process – a function that permeates all of New's (1996) GMCs and enables the AA participant managers to fulfil *contractual responsibility*. At face value, Step 3 could imply that the seedling internal LOC initiated in Steps 1 and 2 is now reversed in the follower's decision to hand control of life over to an external party - namely the care of God. This suggests that internal and external LOC are neither dichotomous nor exclusive for the sample. However, in exploring this mechanism and its outcomes, there is evidence that the process simply reinforces the internal LOC previously established (See Figure 5.8: Variable locus of control experienced by AA participant managers p. 288). This is articulated by Mick:

> If we have a very important call to make on a personnel issue – maybe somebody's
> made a huge mistake or, not just a mistake, behaved in a wrong way and we have to
> decide, do we fire him or her? Do we take some other action? What do we do? And
> I try to hand that decision over. Not in the sense of handing it over in the sense of
> just absolving myself of all responsibility, but trying to seek guidance from a power
> greater than myself rather than acting in accordance with my own knee jerk reactions
> which experience has shown to be somewhat unreliable (MIC376-384/S3).

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Each of the sample was challenged as to whether Step 3 actually amounted to negating responsibility at work and the sample concurred strongly that this was not the case: Ron succinctly responds " I can't use God as a defence mechanism" (RON614/S3); Rhian clarifies that "to me 'handing over' isn't not doing anything" (RHI385-6/S3). Noel, with a self-reported 30 years in the programme, confirms that some people have misinterpreted this Step as a reaffirmation of an external LOC, "I think a lot of people have made huge mistakes on that score and you're quite right it can be a sort of cop out; people can use it as an excuse not to do things - that's not what it's about" (NOE290-7/S3).

What Step 3 seems to be about is seeking guidance from conscience, promoting *ethicality* and then *doing one's best* in context of the phenomenon of *personal human limitations*. The observation of Ron at work demonstrated his acknowledgement that, whilst he cannot control people, places and things, he is able to make management decisions and take responsibility for daily organisational processes: when a site test did not go to plan - because key people were unable to attend - he accepted that situation and took responsibility for still running the test, having assessed the pros and cons of cancelling: he took responsibility in that immediate daily situation. Claudia explains the subtle differences between "turning it over and handing it over" (CLA463-80/S3) – the difference being one of LOC: with "handing it over to the care of God", one negates internal LOC; with "turning it over to the care of God", one still assumes personal responsibility, albeit in context of God's plan.

The decision-making capacity of the AA participant managers, through Step 3, seems also to rest on the application of *ethicality* in their managerial role awoken in Step 2; when facing management decisions, the sample explained that the Step 3 processes encourage them to seek guidance from their conscience. Noel explains that "my understanding of God's will is in the

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sense of doing what feels right and the evidence then speaks for itself "(NOE323-36/S3). Paul

reinforced this divine support network as a key mechanism in the 12 Steps and provides evidence

of this ethical decision-making outcome shared by the sample:

> I had a sponsor who said, "All you need to do is make the decision," and that freed
> me immediately. It took all the pressure off for me to have to find all the answers on
> my own and the reality was that I was never alone. The reality was that, whether you
> call it intuition, subconscious or a gut feeling – whatever you want to call it - I began
> to trust in that and that is what I still believe - it's an external power feeding me the
> right answer (PAU512-18/S3).

Step 3 processes are explicit in AA's accompanying prayer (AA, 2001 p. 63) with the

wording explaining further phenomenal relationships:

> "God, I offer myself to you - to build me and do with me as you will. Relieve me of
> the bondage of self, that I may better do your will. Take away my difficulties, that
> victory over them may bear witness to those I would help of your power, your love,
> and Thy way of life. May I do your will always!"

Such prayer is found to be both a key antecedent and causal mechanism within

psychological pathways associated with the participants: it reinforces the *powerlessness* admitted

in Step 1, the importance of the relationship with a Higher Power in Step 2 and the removal of

self through *ego reduction* resulting in *humility.* This allows decision-making processes to be

based on conscience as opposed to fear driven affective behaviour. These processes are also

reinforced with the prayers associated with Step 7 (AA, 2001 p. 76), Step 11 (AA, 1953 pp101-

102), and AA's signature Serenity Prayer (AA, 1953 p. 130) – all of which are used by the AA

participant managers as explored in the later stages of this discussion (see Appendix N p.LXII).

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The data do not indicate that AA's 12 Step programme is a linear, simply structured process of recovery; it holds many paradoxes (such as the power gained from admitting *powerlessness* in Step 1), many ambiguities (such as the sample's inability to define a Higher Power in terms of an agreed concept) and subtle paradoxes as animated by Claudia: "now, it's like I understand that the best thing for me won't necessarily be what I want. So it's understanding that, then accepting it" (CLA439-41/S3). In this way a defined *sphere of control* is an outcome also of Step 3 utilised by the manager in the workplace.

In the literature reviewed in Chapter 2, New (1996) and Collins (2005) suggest that assertiveness is an essential management quality and the data reveal related approaches by the sample. It would be misleading to see the AA participant managers as passive organisational agents relying wholly on God; on the contrary, having experienced *ego reduction* in the decision-making process and relied on conscience, the importance of *contractual responsibility* shared amongst the participants is epitomised by Hugh's willingness to take management responsibility (requiring an internal LOC) for removing a colleague from post because of organisational politics - even though he was opposed to the termination:

> So it was kind of like 'square pegs and round holes' and a lot of small things that she
> should have simply understood that she had to comply with, she just didn't want to
> do because it wasn't her way. So I had to get rid of her, you know. And she didn't
> fail. She did an okay job as far as I'm concerned but these people [EMPLOYERS]
> didn't like her at all. It was really hard on me because she came here largely because
> she had confidence in me and I invited her and I had to pick up the shit and she had
> to go […] I mean it's not necessarily immoral it just isn't what I would call
> appropriate behaviour that I find myself engaged in it. […] I find that more here…I
> use the third Step I think in my work (HUG555-575/S3).

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What can be seen in this extract regarding Step 3, is it enabling Hugh to take his own personal position out of the organisational decision. Possibly, Hugh is deferring his personal ethics for what might be a greater good i.e. that of the organisation - the 'we' instead of the 'I'. In consideration of this, Noel explains Step 3 as the start of the breaking of egocentricity and narcissism and the promotion of collective good: "it's like tuning in a radio and you have to get tuned into a greater sense of purpose and a greater sense of awareness that, I'm not just here for myself" (NOE310-3/S3). Such influences also evoke an appreciation of diversity and this is considered shortly in context of organisational efficacy.

Step 3 also, in terms of psychological outcomes, results in *stress reduction* based on the knowledge that conscience was sought to inform decisions, *contractual responsibility* was fulfilled and that the individual manager had been *doing one's best* in context of *personal human limitations*. Hamilton explains this outcome:

> You have to put the action into everything that you do and providing you put the footwork in to the best of your ability, that's as best as you can do. I suppose that answers the question about the God thing. I know that I need to put in the effort to the best of my ability to achieve the results that I'm aiming to do. Providing I do that, then the rest is down to what the fates are going to decree. You can put together the most successful of project bids, be absolutely entitled to win on every single level and give 100% to that, but if something comes out - black swan, left field - to scupper it, now that's as best as I can do. That's God's plan. If I didn't accept that, then I couldn't do what I do in business" (HAM352-374/S3).

Step 3 is also the part of the spiritual programme that sees the beginning of behavioural changes through new cognitive processes and is a clear example of the profound transformation experienced by the sample through the AA programme. Notably, the egocentric, narcissistic, affective and irrational processes of the active alcoholic no longer inform management decisions.

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For example, decisions are no longer informed by Bob's constant blame of others (BOB793/BLA/PMB), Hamilton's "confrontational, no holds barred style" as a manager (HAM813-4/CON/PMB), Ron's desire to simply "be on the side that was winning", Sally's dictatorial style (SAL868/DIC/PMB), Maddie's dishonesty (MAD602-4/DIS/PMB), the all pervasive fear experienced by Rhian (RHI291-4/FEA/PMB) and the universal chronic self-centredness of alcoholics (AA 2001 p. 62) as explained by Hugh's previous management attitude of "just fuck everybody else"(HUG585-87/SC/PMB).

5.1.4.   The courage to manage. The ability to manage one's self is revealed in the IPA cluster of *Self Management* as a primary outcome of working AA's 12 Steps programme. In Chapter 2, the literature on intelligence revealed that the concept of emotional intelligence (EI) (Payne, 1985) centres on the ability to be aware of and manage emotions. The first component of Salovey and Mayer's (1990) model of EI is the ability to identify and name one's emotional states and to understand the link between emotions, thought and action. In context of the AA programme, such self survey may be traced directly the Oxford Groups protocols (Pittman, 1997). It is in Step 4 that the personal behavioural inventory emerges and this has profound influence on the sample's approach to management.

> *Researcher*: What does taking inventory mean to you?
> *Claudia*: Looking at where my character defects are coming into play; looking at where I've been wrong.
> *Researcher*: Okay.
> *Claudia*: Where I might have been unreasonable or actually looking at what positive I can do to rectify a situation.
> *Researcher*: Okay.
> *Claudia*: Kind of taking stock. (CLA367-75/S4)

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After introducing the mechanism of prayer in Steps 2 and 3, Step 4 establishes another practical behavioural mechanisms that is required of the 12 Step facilitation process - the *personal behaviour inventory* - that goes on to remove personal fear and encourage ethical behaviour. This 'taking stock' originates from the Oxford Group tradition of self survey and confession identified in the literature (Wilson, 1961) and facilitates significant psychological processes that impact upon the managers' philosophy and style in their organisational function: firstly, it stimulates the phenomenon of *humility* in actually owning up to faults and accepting *personal human limitations*; secondly, the process facilitates *ego reduction*; thirdly, it demands rigorous *honesty*; fourthly, it develops *empath*y and, ultimately, the cluster of *Valuing Others* through that association.

Figure 5.2.   *12 Step self management loop*

These processes initiated in Step 4 can be summarised by a behavioural management loop which starts with self awareness (the acknowledgement that one has feelings and thoughts and taken actions that may or may not be positive or negative) leading to the ability to self monitor

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(to be aware of these) and consequently - through the tools offered in the 12 Step programme -
the ability to self manage (*controlled reactions* and continual self evaluation) that impacts upon
the application of GMCs. This psychological process is displayed in Figure 5.2. 12 Step self
management loop and the model resounds with the psychological concept of emotional
intelligence (EI) (Payne, 1985). Noel explains the loop in the following manner:

> I believe that the ability to be aware is something that comes with time. The more
> one is tuned in, the more one becomes aware of conscience and, of course speaking
> for myself, the times when I've got into the most trouble (in terms of where I'm
> coming from as a manager) is when I have wanted my will at the expense of others.
> And often my ability to take inventory is a direct consequence of getting it wrong,
> you know. And when I have looked back sometimes when I have been a manager, I
> can sort of see that I got it wrong and I can see why I got it wrong. (NOE353-69/S4)

Figure 5.2. displays also another example of a causal learning loop (Argyris, 1971) found
within the AA programme, whereby the psychological outcomes form an interdependent cycle
that is self perpetuating; in this case, self management is facilitated by self monitoring that is
dependent on self awareness. This loop becomes embedded through Step 10 – "continued to
take personal inventory" (AA, 2001 p. 56).

Another example of this self evaluation is described by Mick: "I can identify
situations where I haven't pulled my weight; where I haven't been a team player; I haven't
utilised the abilities that I have got either to their fullest extent or sometimes at all" (MIC409-
11/S4). The semi-structured IPA interviews revealed that this process is embedded through the
latter Steps 9, 10, 11 and 12, helping to ensure the self awareness/monitoring/management
process is continual. As a result of this monitoring process, the AA participant manager is able
to develop *controlled reactions*, as Ron explains:

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Defects are easier for me to identify now over this period of time that I've been doing
this and I see them coming and I'm able to...not avoid them completely...I'm able to
deal with them in the appropriate manner. It doesn't lead me to enter the situation
where I'm going to take resentment against somebody, wasn't going to say something
that either I'm going to regret or the company is going to regret. (RON629-660/S4).

It is important to point out that, in terms of the competency literature, Hayes et al. (2000)
and Perren and Burgoyne (2002) believe that critical self-monitoring and self management are
key management competencies and the 12 Step programme process facilitates this desirable
ability through the taking of a personal inventory learnt in Step 4. This is a significant
psychological device that promotes the IPA cluster of *Self Management* and has an important
relationship to theories explored in the next section with particular reference to role modelling,
the servant leader concept (Greenleaf, 1970) and EI (Payne, 1985) as raised in chapter 2.

One of the key outcomes of the Step 4 process is brought about by the demand to be
fearless in the taking stock of the AA participant managers' own behaviours; for a recovering
alcoholic to do this, the key requirement is for *honesty*: indeed, the opening paragraph of the
chapter introducing the specific 12 Steps emphasises *honesty* repeated (AA, 2001 p. 58).
Through a developed relationship with a Higher Power facilitated by Steps 1, 2 and 3, the sample
explained the importance of being fearless in taking personal responsibility and its outcome in
aiding the manager to be fearless at work as Paul explained:

I know about my shortcomings, I know about what defects can come up and I know
how to deal with them but the words I like in Step 4...and it's never...it's rarely
talked about, is the fearless and thorough bit. I've seen what the results have been in
fearless and thorough. So I like to think that in my management style I can apply
that. (PAU570-89/S4).

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This experience of *fearlessness* then becomes a source of *ethicality, honesty, professional integrity* and *contractual responsibility* explained by Hamilton as outcomes of Step 4:

> I am often fearful around the decisions that I make because of the ramifications of them. But I'm also, once I'd made those decisions, I am very fearless about seeing them through. You know, I've made a decision and I believe, for all the right reasons, that it was the right decision to make. What I actually do, it gets back to the point of what I believe now, is the rationale and the integrity that I put into making those decisions, and it is not based upon the circumstances of when I was drinking and using. You know - it's the right reasons. (HAM441-9/S4).

Maddy explains that "fear is tied up with ego as well. If I just take myself out of the equation and just think about the work - don't think about me" (MAD446-489/S4). This also extends to making decisions which may not personally suit the AA participant manager but does suit the greater good - it facilitates *ego reduction* and promotes *ethicality* identified in the IPA as Quentin explains "when it's a decision about something that's hurting me, the fearless thing to do is to make the decision that will hurt me but which is the right decision" (QUE340-3/S4). This suggestion of deferred gratification is implicated in the concept of servant leadership (Greenleaf, 1970) that Zohar (1997, 2000, 2005) equates to spiritual intelligence (SI) in the literature.

The concept of fear is suggested within the AA programme as being the fuel of the active alcoholic (AA, 1953 p. 50). Hugh explains that the Step 4 process exposes the chronic levels of fear he was he was experiencing as an active alcoholic and manager:

> The main things that come out of the forth Step in my case are...it's not unusual, but fear: fear of rejection; fear of not measuring up and that type of thing; fear of being found out - just general fear. A lot of fear and also insecurities which are linked to

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the fear and then the myriad coping mechanisms that go with that. (HUG580-600/S4).

Such fear is not aligned with efficacious management. Noel explains that, as an outcome of working the programme, he now has no sense of fear at work. He explains below how his fear has been reduced and, as a result of the 12 Steps, he is now able to concentrate on the greater good - the team or the organisation. This enables a collective approach to management as espoused broadly by the organisational development movement in the literature (McGregor and Beckhard - see Beckhard, 1997) and in specific concepts such as McGregor's (1960) theory y, Bass's interpretation of transformational leadership (1985) and Adair's concept of action centred leadership (1973).

> Fear is that sense of uncertainly; that sense of great doubt about the self and I don't seem to have that around now […] It's something that comes with time because to be fearless – and it sounds a bit odd - but to be fearless requires the ability to take the 'I' out of it and not just see it as a sort of statement of some sort of...to impress or something like that but taking the 'I' and actually recognising what the 'I' is. When I started this process, the 'I' was the biggest thing in my life and then later the 'I' did have an existence but it's not that big. I realised that my greatest comfort is the 'we' and it's that recognition that the fearless part is to see myself as it is […] When people have come to trust you and when people are relying on you to make decisions and people are looking to you for direction...and in the past there have been times when I haven't had that direction. I was too insecure to provide that direction and people got confused. The fearless part is actually coming to realise that that was the case. The fearlessness is facing 'the self' as I am at the moment that I'm in. In recent times I find that the consequences of recovery are that, you know, in the organisation - in taking on a job that I wouldn't have been able to do before - I have found myself to be in a situation of fearlessness and the reason I can see that there, that fearlessness in existence, is I can satisfy myself with who I am right now without any feelings of insecurity, inadequacy or anxiety (NOE370-400S4).

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The technical processes for Step 4 are described explicitly in the book Alcoholics Anonymous (2001, p. 65) (see Appendix L: Step 4 Template - Antecedent to personal behaviour inventory p.LX). The Step starts with as a list of the people the alcoholic holds resentments against: "On our grudge list we set opposite each name our injuries. Was it our self esteem, our security, our ambitions, our personal, or sex relations, which had been interfered with?" (AA, 2001 p. 65). This thorough process pivots around examining one's own role in a situation - what personal insecurities were being affected - and is done with the help of a sponsor from the AA fellowship. AA describes the essential self evaluation element of this process (AA, 2001 p. 67):

> Putting out of our minds the wrongs others had done, we resolutely looked for our own mistakes. Where had we been selfish, dishonest, self-seeking and frightened? Though a situation had not been entirely our fault, we tried to disregard the other person involved entirely. Where were we to blame? The inventory was ours, not the other man's.

This self reflection encourages the taking of responsibility for past situations and is made possible by the increased internal LOC as an outcome of the initial Steps. By undertaking a thorough, honest, fearless and open *personal behaviour inventory*, the AA participant manager is creating an analytical template used consistently as a requirement of Step 8 (identifying those they have wronged), Step 9 (making amends to those that have been wronged) and Step 10 (continuing to take personal inventory). To lock it all in, the programme then suggests in Step 12 that "we practiced these principals in all our affairs" (AA, 2001 p. 59).

In summary, the outcomes expected from a successful Step 4 process (maintained by Step 10) are explained by Rhian with regard to the overwhelming fear experienced as a key motivational source for active alcoholics - "it right sizes it" (RHI432-440/S4). This, in turn, leads to *controlled reactions* and, as has already explained, this is in a causal pathway which

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informs *stress reduction.* This is an essential outcome considering that stress is identified as a

causal factor of alcohol dependence in the literature (Ferri et al., 2006). At the same time, the

honesty and *fearlessness* experienced through the Step 4 process, the *ego reduction* experienced

through the concept of *powerlessness* in Step 1 and taking oneself out of the decision-making

equation in Step 3, leads to greater sense of *contractual responsibility*. Basically, by becoming

responsible for themselves through an increased internal LOC (their behavioural, affective and

cognitive processes) - the participants feel that they are able to hold other people to account

within a professional environment for their organisational actions. This develops a

forthrightness as explained earlier: examples include Noel talking about "holding people to

account" (NOE521/FR), Rhian's refusal to put up with "whingeing" from subordinates (RHI710-

11/FR) and Paul's ability to take responsibility for his "side of the street" and still let other

people know what their responsibility was within a given situation (PAU819-21/FR). This

quality was animated during the workplace observation of TJ, who challenged his funders

assertively over their integrity about assisting the arts organisation he worked for: "you got to

mean this!", he demanded (TJ/OB/14/S4).

     Again, it is important to remember that the group do not claim to be exemplars of the

management function and New's (1996) GMCs – on the contrary, their levels of *humility* and

honesty were remarkable in the IPA (and may even have been detrimental in their ISIS scores -

or at least challenged the validity of the instrument, as explored later). The Workplace

Observation data revealed examples of possible personal prejudgment in a professional setting:

Noel's generalised accusation that the medical profession contribute to the problems of people

suffering with dependency issues through their prescription strategies (NOE/OB/13) and TJ's

comment about the lack of competence of his organisation's funders that was not supported with

any factual evidence and came over as a personal opinion rather than a professional observation

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(TJ/OB/3). Indeed, AA cautions that people who follow the 12 Step spiritual programme are "seeking progress not perfection" (AA, 2001 p. 60): this is a journey of personal growth for the AA participant managers. The sample are acutely aware of this.

As evidence of this fallibility and how it affects the managers, Maddy talks about the *ego reduction* experienced by undertaking Step 4 that, in turn, enables her to move on from herself and begin to value others – more evidence relating to EI - through an increased ability to feel empathy:

> I'd love to say I've taken my ego out of the equation. I haven't. It's still there but I'm aware of it and I'm aware when it flares up to the detriment of the project […]. I think I'm more attuned to that now and in the way I deal with other people…just an understanding of where they're coming from and what their feelings and motivations are as well. I touched upon that earlier […], the ego thing. It isn't all about me. In terms of how I deal with other people, you know, they've got other things happening. This sounds really glib and superficial but it was a bit like, you know, I'm not the centre of the universe which sounds like…well, no shit Sherlock; but in all honestly, going through the whole ego thing and looking at how that sort of permeates through other aspects of my life has kind of, as a result, cut through a whole layer of bullshit and that's been very liberating and that's, I think, made me more efficient and I'm not afraid to lead and just cut straight to business and, you know, just I think it's made me professional; it's perhaps given me more standing as a co-worker and a manager (MAD518-37/S4).

The humbling process described by Maddie results from the *personal behaviour inventory* and facilitates the *acceptance of real self* along with a commitment to personal growth identified in the phenomena: *personal development* and *others' development*. Figure 5.3. outlines the phenomenal outcomes of Step 4 and demonstrates the significance of experiencing this part of AA's programme.

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Figure 5.3.   *Step 4 phenomenal outcomes on AA participant managers*
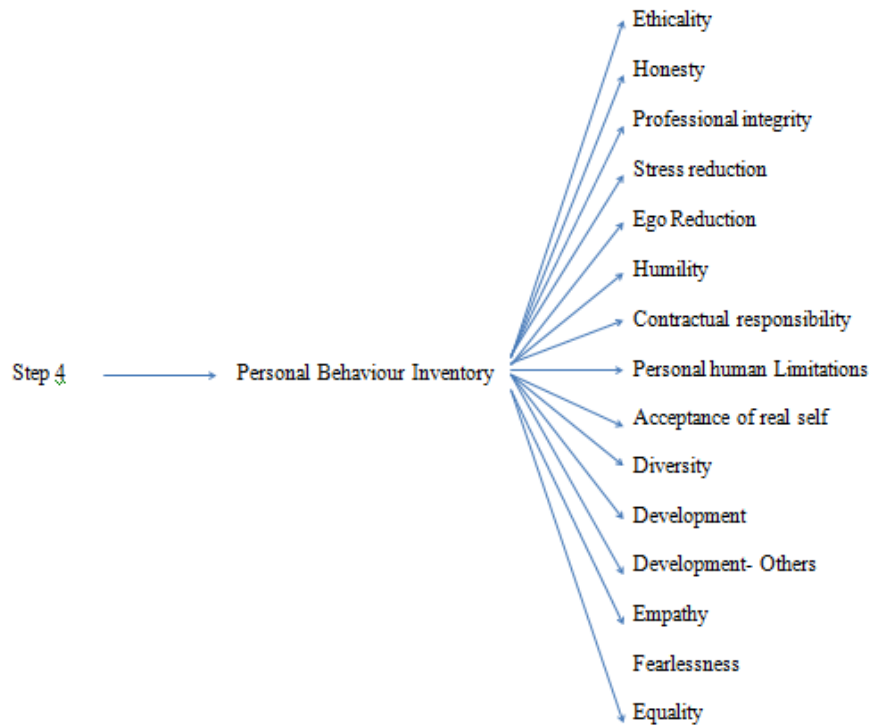
5.1.5.   Management transparency. Hogan's (2012) damning indictment of managers

cited in the introduction of this thesis – that most subordinates find their manager to be a

negative part of their work lives - conjures an image of machiavellian and narcissistic managerial

styles. Implicit in this observation may be the question whether managers as a group are honest

brokers or self-serving megalomaniacs? Step 5 of the AA programme challenges the

fundamental honesty of the sample as managers. In turn, the findings of this research suggest that

the quality of honesty impacts upon the sample's credibility as role models – an attribute

associated with efficacious management in the literature in context of transformational

leadership (Bass, 1985) and servant leadership (Greenleaf, 1970).

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Does the quality of *honesty* change when it is expressed in a private or open setting? Certainly AA (AA, 2001 p. 59) suggests that by verbalising past misdemeanours, character defects and shortcomings to oneself, another human being and God, the follower can face their true selves and continue their personal development; Step 5 increases personal responsibility through the process of 'admitting' and this promotes transparency which is then carried by the participants in their management roles, arguably making them role models.

The interviews and observations revealed that the Step 5 process identifies their *personal human limitations* and this identification process is facilitated by *ego reduction*; in terms of a causal pathway, a significant outcome of Step 5 is the *acceptance of real self* and *honesty*. This ability was demonstrated by Rhian (RHI480-4/S5) who understands that her insecure nature is part of who she is intrinsically and acceptance of it allows her to move beyond it; this is the application of Carrico et al's ABR research (2007) considered in the literature at a personal level. In turn, this acceptance, described within the programme, has a liberating effect as Paul describes: " I'm human and I'm fallible and I guess accepting that allows me to do all kinds of things with the freedom of…I don't know… not giving myself such a hard time" (PAU665-8/S5).

The individuals contributing to this research did not claim that by admitting human fallibility they were absolved. Bob says of Step 5: "I did feel that it worked…I didn't feel absolved of everything but I felt like I was lifted" (BOB530-536/S5). It would appear that this process enables the participant to face themselves as they truly are – a definition of *humility* implied by AA (see 1953, pp74-7) – by the vocalising of that realisation with another human being and a Higher Power. The personal *powerlessness* admitted in Step 1, the divine support network identified in the Higher Power of Step 2, the acknowledging both external and internal

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LOC in Step 3 and taking responsibility for one's own actions facilitated by Step 4, now enables

the concepts of self regard and self efficacy to develop. In this way, Step 5 puts human fallibility

on the table, as such, and this becomes a basis for a management philosophy operating from the

position of collective fallibility - a togetherness explored shortly through the concept of 'We-

ness' introduced earlier in this discussion.

The *acceptance of real self* can, in turn, be seen as the mechanism leading to the cluster of

Valuing Others as human beings: the emergence of *empathy*, the valuing of *equality* and

difference and *compassion* for other human beings now emerges at this stage of the AA spiritual

programme and is used by management sample as a cornerstone of their management style.

Maddie clearly describes this emergence of *Valuing Others* and its integral phenomena as a

result of undertaking Step 5:

> Just sort of a process of humbling and putting one's self on a par with others really
> and sort of being no better or no worse […] I think that's the admitting and the
> coming to terms with who I am and what I've done and accepting who I am. It's just
> sort of meant that there's a greater tolerance I think. (MAD553-568/S5)

Step 5 highlights the pathway between the AA participant managers' understanding their

personal human limitations and then extending this humanity to others as mediated by *empathy* -

a further suggestion of enhanced EI (Payne, 1985). As suggested by the last interview extract,

this pathway acts also an antecedent to the phenomena of *open mistakes - self* and *open mistakes*

- others; human fallibility is a given and does not cease in the workplace. The standard expected

by the AA participant manager is *doing one's best*, not perfection, shared with a commitment to

personal growth and development. These findings again echo with the philosophy of the

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organisational development movement and associated management theories (McGregor and

Beckhard – see Beckhard, 1997) mentioned in chapter 2.

An additional outcome of the *empathy* espoused by the participants is an appreciation of

difference; New's (1996) GMC of creativity is fed by the AA participant managers' *Valuing*

Others in that, if all individuals within a team contribute to team goals, the working environment

is a richer source of ideas, facilitating inclusion of the individual and, ultimately, success through

enhanced team efficacy. The nature of this relationship between the behaviours of the manager

and creativity considered in the wider literature is explored further in the next section as it is

linked to efficacious management (Barczak, Lassk and Mulki, 2010).

As well as the significant influence towards consensual and participatory management

styles, there is further psychological relief found in the Step 5 process - notably that of further

stress reduction; Quentin explains of Step 5: "it just released me the strength of the struggle"

(QUE607-8/S5). Building on the *personal behaviour inventory* developed in the Step 4 process,

the next part of the AA programme applies rigorous *honesty* (AA, 2001 p. 46) in confronting

one's own previous misdemeanours and holding oneself to account. Noel explains the outcomes

of the Step 5 self examination process in terms of *professional integrity, contractual*

responsibility and the modelling of organisational standards:

> You know, if I say 'I'll do a, b and c' then I'll do a, b and c. But if I don't do a, b
> and c I won't pretend. I won't find some excuse. I will come and say to you, 'Look
> […] I said I would do certain things but I haven't followed it through and these are
> the reasons.' I won't shy away from it. I think that's where I've succeeded in the
> past [...] Poor management is where people do things or indicate that they will do
> things and they don't follow it through and then they'll come back and they don't say
> anything about why. That just creates confusion (NOE419-28/S5).

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The process explained by Noel suggests that the modelling of standards by managers is essential to all GMCs and especially leadership. It moves the AA participant manager, such as Bob, from previous behaviours of negating responsibility and blaming others - 'Teflon Bob…before nothing stuck to me' (BOB797/BLA/PMB) - to a position of being 'clearer and clearer about my parting things - much clearer' (RHI473-4/S5). Again, the findings suggest a leaning towards the management concepts of role modelling and idealised influence (Bass, 1985) seen as a key mechanism in other concepts raised in the wider literature: leader member exchange theory (Dansereau et al., 1975), transformational leadership theory (as defined by Bass, 1985) and the concept of servant leadership (Greenleaf, 1970). These relationships are, therefore, explored further in the next section of this discussion. These concepts have been found to be related significantly to team efficacy with the manager acting as a moderator of subordinate motivation and team productivity through such role modelling behaviours (Barbuto and Hayden, 2011).

5.1.6.   Extreme management development. There appears to be a void in the literature on managerial competencies – notable that managers are fallible human beings. This may be because the literature, and subordinate opinion, possibly finds it difficult to accept that managers all have their faults. As a programme, the 12 Steps centres around accepting human frailty – 'defects of character' in AA parlance - and then addressing it in a proactive manner so as to minimise negative outcomes through a new commitment to *personal development*. This applies to the workplace.

Defects of character are described within the AA literature (AA, 1953 p. 66) as "the point at which we depart from the degree of perfection that God wished for us here on earth…or, if you wish, our sins". In the language of open AA meetings attended as part of this research,

character defects have been described as reflex responses from a point of insecurity, the 7 deadly

sins and default negative personality traits.

Through the data, Step 6 explains further changes in the sample; indeed change seems to

be the central outcome of this process, as Claudia describes the meaning of Step 6 as " be willing

for God to take away those defects for me…willing to change" (CLA637-40/S6). In order to

accommodate change, the AA participant manager sets out to remove both self concern and their

default negative behaviours to enable *personal development* at an extreme level – this is not

covered in the literature on management competencies. Hamilton addresses his character defects

every morning helping to set up the phenomenon of *controlled reactions* throughout his working

day by acknowledging his *sphere of control* and *personal human limitations*:

> Every day before I do anything, I hit my knees and say a prayer and I genuinely ask
> every day to relieve me of the bondage of self. In other words, let me go through
> thea day but those defects, those things that come from the tip of my tongue, that
> they stay on the tip of my tongue and they don't come out; I do that daily (HAM506-
> 14/S6).

As a senior law partner Mick also explained during this semi-structured interview that he

prays every morning to "have the defects removed and have the willingness to release those that

I still cling to; that's part of my daily programme routine and it applies in the office just as

applies in every other facet of my life" (MIC477-496/S6).

Step 6 further reinforces the 12 Step self management loop (see Figure 5.2. p. 233). Paul

attributes Step 6 processes to the springboard that will enable him to rearrange these defects and

'allow me to experience to be able to grow and learn and leave those defects behind" (PAU670-

90/S6). His relationship with his Higher Power is central to the process identified in the discrete

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phenomena of *self management*: "In relation to defects of character - I believe the closer I walk with God the further away my defects go…on a daily basis, they're in the background as long as I'm doing the right thing" (PAU670-90/S6). In this way, Step 6 also effects the sample's *Managerial Role* through the clustered phenomena of *ethicality, honesty, professional integrity* and, ultimately, *contractual responsibility*.

Hugh sees character defects as the underlying source of discomfort when he is at work in a management function; as a practising Buddhist, Hugh uses language of both his religion and the 12 Step programme to explain his need to be aware of, monitor and manage his character defects:

> With the 12 Steps there are certain pathways..... so I mean I tend to view most shortcomings as unbridled desire and unrequited desire and things that stem from that want and the behaviour that comes from it [...] So when I find myself getting worked up over something or feeling really bad about something, then I try to dig back into it and try to sort of pull the layers apart and see what's at the bottom of it. Like I say, more times than not it's my character defects - somebody's pulled those chains (HUG717-26/S6).

The Step 4, 5 and 6 processes promote the cluster of *Self Management* by identifying and admitting undesirable qualities; Maddy explained: "I'm more aware of them now; that admitting process gets it to the surface and I think they do stay there… they're more likely to bubble to the surface as I've gone through the process of confessing them " (MAD580-91/S6). As was established in Step 5, it is possible see the relationship with self – such as the *acceptance of real self* (see Figure 5.4. p. 248: Acceptance of real self as an outcome of AA's 12 Steps) further facilitated in Step 6. Rhian talks of her low self-esteem that is intrinsic to her personality and that she accepts this as part of her identity:

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What I realised was that my low self - whatever you want to call it - is part of me. I can't...you know... I can't wish it away and the only way I can remove it, so it doesn't drive me, is by a spiritual solution. You know, that's absolutely what Step 6 means to me because having struggled, you know, [...] to understand my childhood and why I was made the way I was and why I've got all these different bits of me and...and then I'd try and be better and then be perfect....I'm never doing that. I'm never going to be like that again. And then what I realised is that I actually need a spiritual removal of these […] so that they don't.....so it doesn't drive me in my life, you know (RHI480-491/S6).

This *acceptance of real self* is revealed in the data as the key mechanism for improved relationships with others - such as subordinates at work - via the IPA cluster of *Valuing Others*. This suggests a relationship with management theories such as those under the rubric of the organisational development movement (Beckhard and McGregor – see Beckhard, 1997).

Figure 5.4.   *Acceptance of real self as an outcome of AA's 12 Steps*
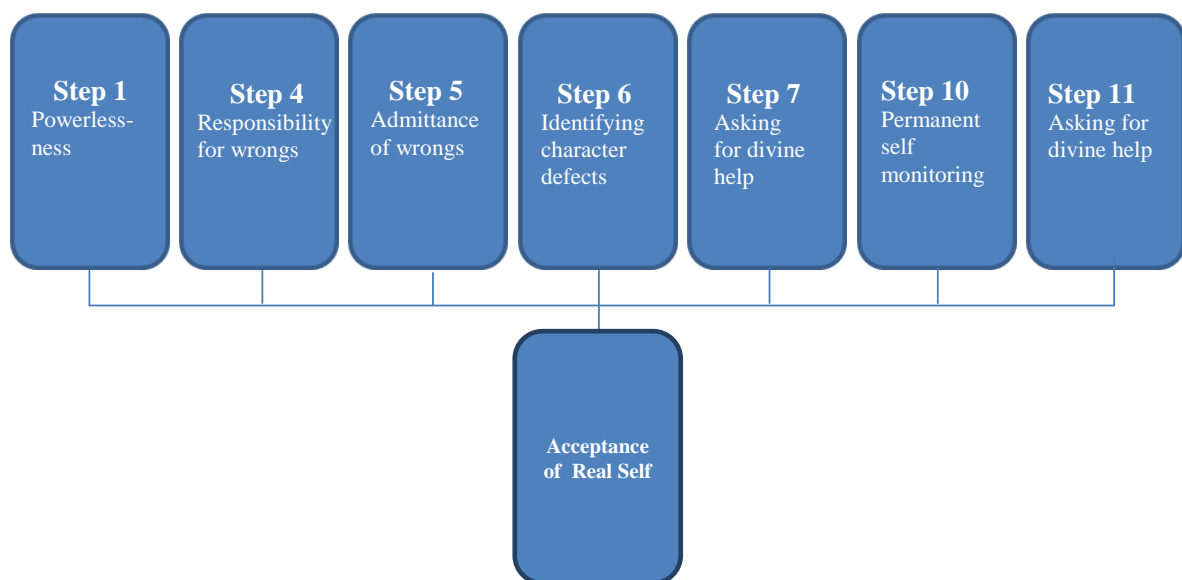
5.1.7.   The humble manager. Of note in the literature, Collins (2005) identitied *humility* in leadership as a key quality associated with the very best organisational leaders and positions it in a model alongside willingness. In his 5 level leadership model, he describes the pinnacle of Level 5 'as an executive in whom genuine personal *humility* blends with intense professional will' (Collins, 2005 p. 136). However, he is exacting in its application to chief officer level only and not to general management (that he categories as Level 3 leaders). Owens and Hekman (2012), however, state that *humility* is desirable at all levels of leadership and identify salient associated behaviours: admitting mistakes, spotlighting follower strengths and modelling teachability. These last observations are strikingly relevant to the findings of this research. The data reveals *humility* to be a paramount outcome of following the 12 Steps.

 "My Creator, I am now willing that you should have all of me, good and bad. I pray that you now remove from me every single defect of character which stands in the way of my usefulness to you and my fellows. Grant me strength, as I go out from here, to do your bidding. Amen." Step 7 prayer (AA, 2001 p. 76).

The Step 7 prayer quoted above explicitly seeks to remove character defects. However, there is some ambiguity in Steps 4, 6 and 7 around the subtle differences between a moral inventory, defects of character and shortcomings. Maddie defined shortcomings as "you know, things like cutting corners I suppose and being slack" (MAD598-611/S7). She goes on to cite examples of dishonesty such as "fiddling the timesheet or whatever… browsing Facebook all the time…stabbing people in the back and that sort of thing". Paul defined shortcomings in context of his relationship with God: "shortcomings to me is where in the past I have not done things, I've had experiences that have fallen short, if you like, of what I believe my Higher Power probably wants me to do, what people believe that I'm capable of" (PAU700-12/S7). Bob interprets his own shortcomings in terms of technical skills and competencies as his "inability to do certain tasks at work" (BOB551-2/S7). Sally interprets shortcomings as an extension of her

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character defects: central to these in her case, and commonly amongst the sample, is an overblown sense of ego - possibly evolving from excessive fear and insecurity as explained in Hugh's previous citation (p. 236-7).

Irrespective of this ambiguity, Sally explained that the Step 7 process is about developing humility through *ego reduction* and her *acceptance of real self*:

Part of understanding of who I am is to be 'right size'. So today, I know my strengths and I know my weaknesses and to ask with humility means to ask…for me... to ask 'right size' [...]. So I have to ask with humility 'right size'. Not to say I'm a terrible person and not to say I'm superior to others. I'm not inferior or superior. I have a role that means I might have to take on extra responsibility but as a person I'm not superior to anybody else (SAL678-87/07).

Claudia builds on this definition and interprets her shortcomings along the lines of *personal human limitations* and her acceptance of these, and asking her Higher Power to help with these: in Claudia's case it also results in greater self regard because, through the 12 Step self management loop (see Figure 5.2. p. 233) , her ability to identify her shortcomings includes identifying those things which are detrimental to her own well-being: "the biggest thing of knowing my limitations is knowing how much work I can put in; how much rest I need. That's massive for me now and it's only been in the last, say, 2 years, knowing that I can't do everything and I can't do it perfectly at work" (CLA672-85/S7). This increased sense of *compassion* towards the self appears to lead to *empathy* with others and a positive attitude towards human error at work by her subordinates through the phenomena of *open mistakes – self* and *open mistakes-others*: "I believe in allowing people to make mistakes as well because we learn from them; it doesn't matter because it can be rectified" (CLA683-5/S7).

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In addition to the *ego reduction*, the *acceptance of real self*, the acceptance of *open mistakes* (*self* and *others*) along with the commitment to *personal development*, Step 7 directly provokes the phenomenon of *humility* to the AA participant manager in its first word, "Humbly". All of the phenomena listed in Table 4.1 (p. 180) can be related to the single phenomenon of *humility*. The concept of *humility* has been being nurtured through the first 6 Steps through: admitting *powerlessness*; acknowledging a power greater than oneself and relying on that power for guidance; facing one's moral inventory by being honest and open in that inventory; then identifying defects of character and shortcomings and being ready and willing to have these removed. AA now suggests "humbly" in Step 7 as the manner in which to act, describing it as a maligned concept: "Humility, as a word and as an ideal, has a very bad time of it in our world. Not only is the idea misunderstood; the word itself is often intensely disliked. Many people haven't even a nodding acquaintance with humility as a way of life" (AA, 1953 p. 71).

What is challenging, however, is again found in the ambiguity of language – in this case what does being humble – *humility* – look like in terms of observable behaviour, as called for by the competency movement in the literature seeking specificity? AA (1953 pp75-6) cites that it is not "…a forced feeding on humble pie…", but evidencing humble behaviours is challenging to the extent that Gardner in the literature reviewed on spiritual intelligence (SI) rightly challenged Emmons on the lack of specificity of his theoretical 'virtuous behaviours' (Gardner, 2000). Emmons' behaviours included 'humility'. Does the phenomenon of *humility* have identifiable behavioural outcomes? This needs exploring because *humility* is identified as a leadership quality in the literature (Adair, 2002; Collins, 2005; Owens and Hekman, 2012; Reave, 2005; Zohar, 2005).

The quality of *humility* in context of a *belief in higher power* or conscience unique to AA

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impacts upon the participants' management behaviour. For example, Ron stated his definition

of *humility* as a requirement to ask for divine guidance when he is unsure at work in his

management capacity:

> The humility is...that's the honesty. Humility is...I think humility is being big
> enough to admit you don't know or you're wrong or you need help or along those
> lines. So when I take that into work that's when I look at something and I say, 'Wait
> a minute, this is too big for me.' I'll have a conference with God and I'll say, 'What
> do we do here?'' (RON758-63/S7).

This outcome of having the *humility* to ask the help from a Higher Power to deal with

things as a manager appears to be an outcome of the *powerlessness* experienced in Steps 1 and 2.

Quentin explains this *humility* in an existential context that reminds him of his ultimate lack of

power even though he is the departmental manager:

> It's accepting that I'm not the boss [...]. I may be called the boss but ultimately I'm
> not. I'm the boss in that little environment but that's all. I'm not really the boss
> when it comes to all that will happen or may happen (QUE391-395/S7).

Ego reduction is facilitated further by Step 7, which Mick, the senior law firm partner -

describes as " being the right size to see oneself as you are rather than as you would want to be

and to be the right size rather than to be some vastly overblown caricature of a lawyer out of a

John Grisham novel" (MIC509-29/S7). It becomes possible to assess the outcomes of

undertaking this Step and these outcomes begin to have important implications for management

style and philosophy amongst the participant managers as seen in the clusters of *Valuing Others*.

The impact includes that of making room for, and promoting, the 'we' over the 'I' and this

collective approach leads to a person-focused managerial style. This humble approach to

management would be demonstrated through behaviours such as listening, seeking opinions and

valuing *difference* – and these influence the GMCs of leadership, motivation and creativity as

Quentin explains:

> Well what it does do is...when I remember and when I get it right, it means that I
> listen more to them [STAFF] and talk less and I hear what they say because [...] then
> I recognise that most of the good ideas come from them. I mean I'm not a source of
> great ideas. I've got some beauties but, hell I don't know, if we took 10 ideas, 1 of
> them might be mine but the other 9 will probably come from the team and some of
> them are brilliant and they just.....these things just pop out. But if you talk and don't
> listen, they don't pop out. I need to keep my profile low in that sector of my
> management. I need to keep my profile very low whereas in others it needs to be a
> lot higher (QUE410-9/S7).

When asked how he technically defined *humility*, Bob responds in a very similar way to

Quentin, reinforcing the importance of the specific direct behavioural competency of listening:

"to me it's the ability to listen to someone else's point of view; to access it correctly and to act

accordingly" (BOB583-7/S7). Ron goes on to deliberately extend the listening process to acting

on the opinions of others in his management function and explains: "in a work situation, again,

it's saying 'okay, my way may not be the best way but maybe your way is the best way - let's try

your way'" (RON669-73/S7). It is another clear link between the ability to listen, value diversity

and foster creativity amongst subordinates as a result of the management style influences of the

12 Step programme on participant managers. By enabling subordinates within a team to have a

voice, not only is the manager including individuals and therefore promoting team cohesiveness

(a positive moderator of team success - Guillen and Florent-Treacy, 2011) but, notably here, this

promotes New's (1996) GMC of creativity as a resource at work.

What is more, is that creativity is fuelled by diversity - different opinions, different ways of

doing things and different skills all found within the realm of an efficient team. Batey (2011)

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posited that creativity is of critical importance as a resource to effective managers particularly in

a world facing turbulent organisational climates. The relationship between management,

creativity and team efficacy is established (Barczak et al., 2010) and this is strongly facilitated

by the *Valuing Others* cluster idendified in the IPA method..

A causal pathway model that explains the relationship between the 12 Steps, management

and creativity as the AA participant managers complete the Step 7 process is shown in Figure

5.5. below.

Figure 5.5.   *12 Steps, management and creativity*
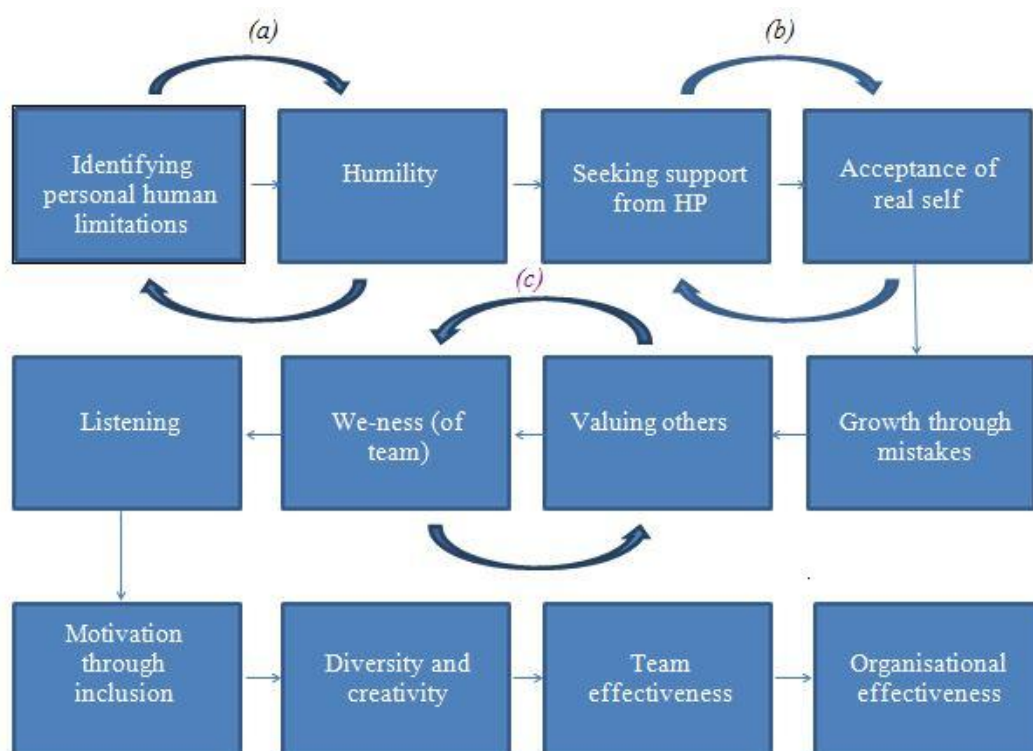
It should be noted that there are a number of subsidiary causal learning loops (Argyris, 1971) in

the flow chart delineated by the circulating arrows: causal loop (a) demonstrates symbiosis

between *personal human limitations* and *humility*; causal loop (b) demonstrates symbiosis

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between seeking support from a *Higher Power* and *acceptance of real self*; causal loop (c)

demonstrates symbiosis between *Valuing Others* and 'We-ness'. This process was explained

explicitly by Noel when asked what Step 7's: 'Humbly asked him to remove our shortcomings'

meant?

> It means for me that simply, very simply, to have something like the ability to be
> human; to have the humility to be able to say, 'I'm wrong'. To have the humility to
> say, 'I don't have all the answers here, but collectively we may have the answers,'
> and it's basically recognising that in the management standard which I personally
> have. I believe that leadership comes from a variety of places. It doesn't just simply
> come from managers. In fact there are times when I have seen in organisations that
> the managers have been the poorest of leaders [...]. The best managers I've ever seen
> are the ones who encourage the leadership to come forward [...]. What I've seen
> often is people are feeling threatened by the leadership. That's where some insecure
> managers want to suppress that. I think the humility comes from that part of actually
> recognising that, there are other people in the team that have actually got better skills
> in certain areas than I [...]; a long time ago, I would have missed that. (NOE480-
> 502/S7).

The challenge, it would appear, for the managers in embodying *humility* in their work is in

not losing hierarchical authority by appearing subservient and ineffective. Hamilton expressed

this concern: "It goes back to saying that I used to think humbly and humility…they were not in

my dictionary because that was weakness" (HAM519-528/S7). Paul concurs that there is a

danger in misinterpreting the word humble and explains:

> I need to be seen as the boss; I need to be seen as the one in charge; I need to be seen
> as the one that makes the rules and make sure that they're being followed …humility
> is a little hard because I get…my perception has always been that…I get hammered
> (PAU732-9/S7).

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The idea of leading people through a concept of humble management does not preclude direct management behaviours, it appears to actual promote direct styles of communication because fear and ego are reduced through the 12 Step process; the phenomenon of *forthrightness* included several examples of how managers counter this concern of being able to balance concern for others with *contractual responsibility*: Rhian (RHI708-9/FR), Noel (NOE420-4/FR), Claudia (CLA512-3/FR) and Paul (PAU413-14/FR) all cite explicit examples of holding others to account as managers. It was interpreted that the participants believed that *humility* is also expressed through fulfilling their organisational function without disproportionate concern for themselves. In the literature, Collins (2005 p.136) in his level 5 leadership model equates *humility* with 'fierce resolve'. In this way, *forthrightness* does not undermine the manager's relationship with the team and does not preclude *humility* as an attitude for the AA management participants. Indeed, by removing themselves from the equation – and the fear for self – the AA participant manager becomes more effective at supervision, arguably more honest, because self seeking is removed and a better role model is created in the process. *Humility* means that they are more able to focus on managing rather than popularity – it allows them to focus on the IPA cluster of *Managerial Role*. This management balance, between focusing of the needs of the task and the needs of the team, is explored in the next section through the concept of the Blake Mouton (1978) Managerial Grid. This concept is referred to in a more comprehensive theory of managerial balance featured in Adair's action centred leadership approach (1973).

 Hugh explains that the humility evoked in Step 7 supports the managerial notion of achieving the task through the team as an effective organisational manager:

> Humility isn't weakness; it's sort of a gentle understanding of one's place in the
> world type of thing. What humility does is it lets you know that, you know,
> pounding on the desk isn't going to get things done. I mean the whole idea of

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working through others and the whole idea of inspiring others to accomplish a task
and this sort of thing [...] is an unwritten statement that we're all equals. I mean,
you may have a different set of expectations that I think you may have, different life
experiences, but you're not unequal to me. Well, you're equal but you may have
different strikes of equality than I do. But we're all basically equal in this game and
to me that's important. Humility - the way I read it, is that I don't think that I'm in
the driver's seat, you know. I rarely ever have to exercise that because I can't afford
it. I can't even tell you the last time I did - when I said, 'this is how it would be.' I
just don't do that. (HUG983-93/S7).

5.1.8.   Management mistakes. Building upon the self survey protocols originating from
the Oxford Group (Kurtz, 1991) explored in literature and the essential requirement for *honesty*
(AA, 2001 p.56) in following the programme, the findings reveal Step 8 to be a next level of
development for the sample. Considering the previous management performance of the
participants as active alcoholics it is not surprising that there may be a list of people to whom
they have caused offence and who may be due an amends of some kind. Whether it was
Hamilton's aggression (HAM813-4/CON/PMB), Ron's refusal to take any responsibility for
errors (RON666-7/BLA/PMB), Paul's dishonesty (PAU619/DIS/PMB), Maddie's incompetence
(MAD345-6/UP/PMB) or Mick's consistent underperformance (MIC570/UP/PMB), the
alcoholic manager was typically not aware of any harm that they were causing (or at least
refused to admit it) let alone were they willing to balance their behavioural scorecard by
identifying to whom they owed reparations.

Referring to the literature, Owens and Hekman (2012) see admitting mistakes as part of
humility in leadership although they do not specify apologising as an associated behaviour; John
Adair (2002) does in his action centred leadership model. This applies to Steps 8 and 9.

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At Step 8 the programme suggests an additional stage of the *personal behaviour inventory* in the form of a list which includes the names of the victims of the sample's previous behaviours. The AA participant managers applied Step 8 processes to work relationships, as Claudia explained:

Researcher:	What sort of things might you have done?
Claudia:	To harm people?
Researcher:	Yeah. In a work situation.
Claudia:	Erratic behaviour; false promises.
Researcher:	Yeah...
Claudia:	Letting people down; being verbally abusive.
Researcher:	As a manager did you abuse that power previously in positions?
Claudia:	Yep. Completely. (CLA693-702/S8)

It is important to define what an 'amends' is. The most commonly cited example in the data of an amends would be by means of a direct apology to the person that they considered that they harmed. Quentin explains that apologising is "part of daily life" for him in his management capacity (QUE432-40/S8). He also explains another major factor within the 12 Steps - the willingness for the manager to admit mistakes: a demonstration, arguably, of *humility* in action based on *ego reduction*.

However, it may be possible to view the apology mechanism as trite and it is here that Sally's idiosyncratic response directly tackles this accusation: "for me, making amends, it's not just the word. It's not just a word –'sorry'- it's an action" (SAL714-8/S8). Step 8 reveals the immense influence in the Oxford Group's processes of making restitution (Pittman, 1997) on AA and its suggestion of enacting restitution; and this is demonstrated in Step 9 - the actual 'doing'.

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An apology or an act of restitution has several functions within the psychological process. Firstly, the creation of the list makes the individual accountable for their previous behaviours; secondly, the list promotes *honesty*; thirdly, the apology demonstrates the willingness to live a spiritual life and to be responsible. In this pathway, Step 8 strengthens an internal LOC and the IPA cluster of *Self Management*. Further along, the process of making amends is a demonstration of *empathy* to others.

Mick (MIC514-53/S8) was challenged to define what the value of an amends is at work and his response identified a twofold value - firstly he explained that it was essential to remove the burden of guilt and, secondly, it was important for the recipient in acknowledging the harm done, thereby removing the possibility of resentment against the AA participant manager which might pollute the manager/subordinate relationship. Bearing in mind Mick's egoic focus in his explanation (removal of guilt), Noel concurs that the primary function of Step 8 is not necessarily altruistic - rather it serves as an egoic mechanism to maintain one's spiritual programme: "I can think of one situation where I've gone back to somebody and sort of said, I'm sorry, and they weren't even aware of it [THE DEED] but the point of it was I was aware." (NOE506-529/S8).

Step 8 maintains an honest path of recovery based on integrity to oneself by demonstrating integrity to others: it facilitates *ethicality*. Ultimately, the outcome of this for the AA participant managers is described by Ron, when he says "since having this programme on board, I can honestly say that I don't intentionally try to harm anybody" (RON821-2/S8). This resultant behaviour is an antecedent to the ultimate outcome - *stress reduction* - for the sample and the removal of the affective discomfort of fear, thereby reducing the need to seek oblivion (such as through alcohol).

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Honesty (under the cluster *of Truth*), further facilitated by Step 8, has been found to be a moderator team performance (Barbuto and Hayden , 2011) and the role modelling required for effective management (Adair, 1973, 1983, 2002; Bass,1990; Guillen and Florent-Treacy , 2011; Shawn Burke et al., 2006).

5.1.9.   **Walking the talk.** Role modelling is mentioned twice in the literature reviewed in chapter 2: in context of spirituality at work, Mitroff and Denton (1999b) identified the need for positive role models at work and the Oxford Group required its adherents to act as models in order to recruit new followers. Efficacious management is also synonymous with being positive role models and this is explored later in this discussion. The data indicates that modelling the required standards at work is an essential management quality. Perhaps the strongest manifestation of demonstrating integrity is provoked by apologising openly for personal mistakes. This is addressed in Step 9 and its call for followers to make amends.

Having created the list of their victims in Step 8, Step 9 now allows the anonymous alcoholic to put these processes into action to demonstrate more clearly what actually is constituted by an amends with examples from the sample.

> There is this idea these days that you should never apologise because you're admitting liability - it's rubbish. You can easily separate the issues of an apology and liability and you can quantify the liability and having done that you can apologise. It's no problem and I encourage people to do it when they get things wrong (QUE445-52/S9).

The use of apologies at work encouraged by Quentin in the above extract (who, coincidentally, at the time of interview had made an apology to a subordinate just minutes prior) explains that he sees apologising as part of human interaction and that he actually encourages his

staff to do it. It is possible to identify the phenomenon of *open mistakes - self* and *open mistakes - others* as part of Quentin's philosophy.

However, as was touched upon in previous paragraphs, an amends needs to demonstrate empathy in action and the sample were asked what an amends might look like beyond an apology; Rhian (RHI565-76/S9), Hamilton (HAM583-4/S8) and Hugh (HUG865-78/S9) all gave evidence of not only apologising but also of correcting mistakes such as the re-employment of subordinates: by way of an example, Ron explains his quest to right a wrong situation that was caused partially by his behaviour at work as a line manager:

> The harm done to a person was through some bad information I was given. It wasn't the truth I was fed and I believed it was the truth […]. We had to get rid of this guy because [...] there were females involved in this [LOCATION] that had put a report in and I won't go into the detail but we believed somebody and the client said, 'remove this guy,' and I acted on that. When we removed this guy, we had to cancel his visa. He had to go basically and then it turned out, about six months later, the truth came to this office so I had to contact this guy through our HR [HUMAN RESOURCE] department and sat down with the GM [GENERAL MANAGER] and said, 'We're going to find this guy a slot and we're going to bring him back again' (RON840/52/S9).

This quest for 'balancing the scorecard' at work through Step 9 is a demonstration of *ethicality*, *honesty* and *professional integrity* established in the earliest Steps. This Step also enables further *personal development* as Claudia claims: "For me it's more about showing that I've changed" (CLA708-36/S9).

There may be some suggestion amongst managers that to be constantly apologising for one's behaviour could be undermining of management authority: however, as Maddie succinctly

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explains, working the programme "cuts through a whole layer of bullshit" (MAD518-37/S4), facilitating more open communication and *forthrightness* that focuses on transactional organisational roles, structures and tasks. In this way, the 12 Steps also develop an element of transactional leadership (Burns, 1978) in that it focuses the sample very sharply on the employment contract. The AA participant managers did not suggest a submissive attitude to subordinates; on the contrary, Noel is willing to enter into open conflict – if appropriate - within staff relationships in order to clear the air while still taking personal responsibility for his own behaviour:

> It's righteous to step...move on from it. I've been in situations where we've ended up having a heated conversation. The conversation has ended and that's the end of it but more important situations do need to be…it's essential not to have the elephant in the room, to sort of....it's pointless in dealing and working with people and managing people if there is…instinctively you know if there are other things in the way. It's pointless. (NOE536-43/S9).

The concept of management from the position of humility emerging in this thesis is dependent on this component of *forthrightness*. This echoes Collins' (2005) marriage of *humility* with strong willingness in his Level 5 leadership model. Paul explains that he will take responsibility for his behaviour but not apologise for doing his job by: "putting the emphasis back on them to take responsibility for their part in it and move on… at the end of the conversation they know what their responsibility is or what their part in it has been" (PAU807-21/S9). Rhian supports the manager's position also with examples discussed during her IPA interview; firstly, she claims that as the senior manager she has a right to be annoyed with subordinates and not make amends if a subordinate has behaved incompetently, unprofessionally or inappropriately, explaining: "there are times when I've kind of really seriously pissed people off and I've not made amends to them at all because I don't feel I have

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reason to and I think that's what's important about this Step is judging it" (RHI578-585/S9). She

also explains that an amends process does not necessarily mean that people are able to move on

from the situation - in her case a conflict situation with a subordinate is still ongoing even though

Rhian had apologised: "that relationship's still not good" (RHI548-50/S9). The difference is that

Rhian appears to accept the fact that sometimes 'you cannot un-ring the bell'; she can only be

committed to *doing one's best* in the context of *personal human limitations* as identified in the

phenomena.

The participants emphasised also that an amends was not just a finite transaction within

personal relationships; Mick (MIC560-67/S9) is making a permanent amends to his employer by

displaying a conscientious attitude in his role in order to make up for the previous management

behaviours identified in this research: in this way, the Step 8 and 9 processes reinforce the

phenomena of *contractual responsibility* and *professional integrity* under the cluster of

Managerial Role.

Therefore this Step has significant psychological impact upon the sample as displayed in

Figure 5.6. Step 9 psychological outcomes on AA participant managers below.   Ultimately,

there may also be egoic motivation behind the Step 8 and 9 processes that enable the recovering

alcoholic manager to stay sober by ensuring an assuaged conscience. However, these restorative

Steps lead to a management approach rarely encouraged in contemporary leadership and

management theory - possibly for fear of liability and litigation: this approach sees the manager

taking the lead for being open about both personal mistakes and apologising. Whilst in the

literature Owens and Hekman (2012) see making mistakes as part of a humble leadership

approach, they do not specify apologising for them. The management theory that reflects this

quality directly in the literature is Adair's (2002) Short Course in Leadership that is discussed in

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the next section; Adair sees both being open about mistakes and apologising as effective

leadership behaviour, if merited.

Figure 5.6.   *Step 9 psychological outcomes on AA participant managers*

Mechanism	Related Phenomenal Outcomes
Step 9 *Making amends*	*Open mistakes – self* *Open mistakes – others* *Forthrightness* *Humility* *Ethicality* *Professional integrity* *Honesty* *Ego reduction* *Self Development* *Personal behaviour inventory*

5.1.10.   Managing the manager. Whilst it is possible to argue the primacy of each of the

12 Steps in facilitating change, the data reveal that Step 10 ensures a sustainable element of the

programme by locking in of the key mechanism of a continuous *personal behaviour inventory*

contributing to the 12 Step self management loop (see Figure 5.2. p. 233). Here it is possible to

observe further processes leading to the outcome of a strongly reinforced internal LOC

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associated with spirituality in the literature by Sanders (2003). EI is also implicated here through this core self evaluation behaviour identified in the IPA and Workplace Observation findings.

Whilst elements of the AA programme could be considered to be concurrent - for example, Steps 2 and 11 would seem to correlate in developing a belief in a Higher Power (Step 2) and entering a dialogue with that Higher Power (Step 11) - Step 10 would appear to gain its value in a linear sense: following the self awareness and self monitoring processes generated through Steps 1, 4, 5, 6, 7, 8 and 9, *Self Management* is embedded at Step 10.

Step 10 benefits can only be capitalised on as a result of all the previous Steps; what the participants seem to develop at this stage is a profound level of self-monitoring that operates at the level of conscience - as defined by the managers. Paul states: "the programme for me is a constant monitoring" (PAU830-4/S10); Noel confirms this permanent state of self monitoring and the profundity of the accompanying awareness:

> It is from moment to moment….it's an awareness of every situation that you're in; every action; with every human being. There is that sort of deep sense of…let's just say...if I take yesterday into consideration, there was a whole collection of things that happened yesterday and in all of those situations that I was in, I was aware of it and aware of it at a very deep level (NOE551-7/S10).

The interviewees were challenged about the danger of obsession in this permanent state of self monitoring because, it can be argued, people prone to egocentricity and narcissism originating from gross insecurity are capable of developing myriad obsessions to replace albeit destructive ones. This concern about such individuals in recovery is addressed within Galanter's (1983) study exploring cult behaviour and compliance discussed in chapter 2 of this thesis: people who join religious organisations may receive some gratification from replicating the

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behaviours of the 'cult' and that gratification in itself becomes the end goal of belonging to 'cults'.

In riposte, it would be fair to question if this self monitoring were excessive, obsessive or even another form of narcissism or egocentricity. However, if the behaviours are positive to an individual's lifestyle and their spiritual, affective, cognitive and physical well-being, is it a problem? Whilst the AA participant managers felt sometimes "over aware" (CLA774-9/S10), generally it was not felt to be obsessive or narcissistic, as Quentin argues:

> *Researcher*: That continual self monitoring, is there a danger that it becomes almost narcissistic again and that you're so obsessed with one's own behaviour and whether you're doing right or wrong - you almost become a bit uptight about it? [...]
> *Quentin*: I can see that it could be the case but I don't think so [...] I do remind myself not to sort of get too serious about myself. All that matters is how I effect others (QUE484-500/S10).

The Step 10 process also sees the development of some unique tools to facilitate the cluster of *Self Management* through this acute self monitoring; notably, the participants described an ability to transcend situations to evaluate their spiritual, affective and cognitive states. Sally explains a physical sensation: "There's the internal feeling - I don't have to consciously monitor it…I'll know…I will get that discomfort, that unease within myself" (SAL752-9/S10); Mick explains the transcendent element as: "I'd try and…um…try and step back or levitate, looking down on yourself and seeing how you're doing; I try to do that several times a day" (MIC584-605/S10). This ability to transcend resonates with Zohar and Marshall's (2000 p. 263) transcendental awareness and King's (2008 pp92-3) synonymous abilities found in the literature on SI. A further related technique mentioned throughout the interviews was the use of meditation: along with Mick's description of his 'levitation' technique mentioned above, others

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were able to catch themselves in the moment and step back. These processes were accounted for

on each Workplace Observation intervention and are recorded in the data Table 4.6 on page 203

– Noel (NOE/OB/5), Ron (RON/OB/5) and TJ (TJ/OB/5) all cited meditating at night and in the

morning; such meditation seemed to be a technical pathway leading from *stress reduction* to

controlled reactions.

As explored through Steps 5, 6 and 7, the ability to spot any shortcomings and character

defects almost consecutively, coupled with the ability to admit fault, facilitates further

mechanisms and outcomes that serve the AA participant managers in their workplace role. The

ability to tolerate one's own mistakes leads to potential modelling for subordinate staff to be

transparent with their own errors. Paul and Hamilton succinctly realise their *personal human*

limitations in the workplace and draw on this in their managerial approach: "I am not God", says

Paul (PAU841-7/S 10), echoing Kurtz's title of his history of AA (1991). Hamilton has the same

realisation in his Step 2 responses – "I'm not Jesus Christ" (HAM325/S2). This realisation of

human fallibility and the development of *empathy* is related not only to the cluster of *Valuing*

Others in the findings but, arguably more importantly in a causal mechanism process, the greater

valuing of the self. This improved self relationship allows a more tolerant approach to human

error by the manager in the workplace. In addition, Step 10 does not preclude positive

behaviours in the *personal behavioural inventory* process; the participants acknowledge

successes and opportunities for *personal development* from each day (for example, PAU840-

853/S10) enacting the AA philosophy that "we seek progress not perfection" (AA, 2001 p. 61).

In this way, the 12 Steps are a comprehesive programme for personal and professional

management development. What competency theories and frameworks reviewed in the literature

fail to explain is that management is very much about the manager's relationship with

themselves as facilitated by Step 10 – how they feel about themselves, how they monitor

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themselves, how they respect their own values and how they value others – including the

employing organisation.

The Step 10 process includes reviewing a variety of management and work issues; resentments (Claudia: CLA786-90/S10), communication (Hamilton: HAM602-610/S10), anger (Hugh: HUG610-15/S10), contractual performance (Ron: Ron888-96/S10) and level of effort (Mick: MIC423-8/S10) are examples cited in the data. It is noticeable that, whilst these issues do not all relate explicitly to New's (1996) GMCs (that are function-focused), they all relate to management transactions with subordinates and the organisation, suggesting that the outcomes of working the 12 Step programme at work is both transactional – such as a heightened sense of *contractual responsibility* – and transformational – through *Valuing Others* under the GMCs of leadership and motivation. Intuitively, these qualities ascribe to both transactional leaders (as defined by Burns, 1978) and transformational leaders (as refined by Bass, 1985).

What the Step 10 process seems to do is to enable the participant to maintain a state of continual *personal behaviour inventory* including a consciousness of their performance and under performance. The 12 Step programme does not promote automaticity, but holds the follower in a state of awareness through Step 10's suggestion of "continued to take personal inventory" (AA, 2001, p. 54) and Step 12, applying the spiritual programme "in all our affairs" (AA, 2001, p. 54).

The second part of Step 10 requires the follower to promptly admit any personal errors. Mick describes the outcomes of conducting this regular *personal behaviour inventory* which addresses also the second part of the GMC of action management – the correcting of mistakes – by starting with himself:

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Mick: I'm very particular about the second limb of it, not only admitting to colleagues but also to clients.

Researcher: Does that dis-empower you as a manager or do you feel it may dis-empower you if you're going round 'on the back foot' in a sense?

Mick: No. I feel that it is empowering because I think that it leads to respect. I think that if people say..... I hope that people will look at me and say, 'Mick is a big enough man to admit when he's wrong,' whereas a lot of people - not just in our office - but a lot of people, no matter how wrong they are, they will cling to the illusion that they are not wrong and they'll refuse to accept and acknowledge their error.

Researcher: And how do you feel about admitting errors to people that you may be managing in a project or that are within your department that are junior to you?

Mick: I don't have any problem with that. I think that that's a positive characteristic because if I can acknowledge an error, I want other people to feel comfortable to acknowledge any errors that they make rather than covering up. Most errors that are made are not life threatening. None of them are life threatening in my line of work and if there is a mistake made... we're only human. Mistakes are always made. It's better to acknowledge it and address it rather than trying to cover it up because it's bound to come out in the end and it'll be far worse if it comes out later. (MIC431-55/S10)

This being tolerant of human errors and a commitment to *personal development* are facilitated by the mechanism of self-monitoring cemented at this stage of the programme. Hugh summarises:

I practise the tenth (STEP) which is a sort of more instant reconciliation; a more instant inoculation for trouble you may cause. I do it quite frequently. I did it this week. I was kind of an asshole to my secretary. That wasn't really bad. I was stressed out. I had a horrible week last week (HUG610-15/S10).

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5.1.11. Divine line management. The literature on SI (for example Poage et al., 2004), spirituality and wellbeing (for example Maltby, Lewis and Day, 1999), spirituality at work (for example Schaefer and Darling, 1997) cites the positive outcomes associated with prayer and meditation. The findings provide clear evidence of the central role of these mechanisms promoted by the 12 Steps for the sample and this applies in their managerial roles. Step 11 makes prayer and meditation a permanent feature of their working lives.

The word conscience and its derivatives of conscientiousness and consciousness feature strongly throughout this thesis as antecedents, causal mechanisms and outcomes of 12 Step facilitation. Step 11 suggests the use prayer and meditation to improve conscious contact with God, praying only for: "knowledge of his will for us" (what might be interpreted as the voice of conscience) and, secondly, "the power to carry that out" (whatever *that* may be) irrespective of whether it's beneficial for the AA participant manager or not (AA, 2001 p. 56). This Step is suggestive of self transcendence and deferred gratification explored shortly in context of the servant leader concept (Greenleaf, 1970; Phares, 1976; Zohar, 1997 and 2005).

In the findings Claudia revealed that she utilises several different prayers in her role; "I do some Step prayers – like Step 7 and Step 3 and the same for St. Francis's Prayer (Step 11) but then I will pray…I don't pray for specific things…I pray for guidance" (CLA827-30/S11). The Step 11 prayer (AA, 1953 pp101-102 – see Appendix N p.LXII) is based on the work of St Francis Assisi and acts as a call for both self sacrifice and service to others; it is the breaking of self-centredness manifested in words emphasising *empathy* and *compassion*. To some extent, it is seen as the ultimate prayer for the AA programme in that it is a point of arrival where the follower is able to transcend the self and serve others. This again repeats consideration of servant leadership theory (Greenleaf, 1970) introduced in Chapter 2.

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The Serenity Prayer (AA, 1950 – see Appendix N p.LXII) is also used by all the AA participant managers and calls for acceptance, courage and wisdom. It evolved from a sermon by Reinhold Niebuhr (Brown, 1987). What is worth noting about the prayer is that it does not ask for life to be easy - it asks for the ability to deal with life, to accept responsibility for oneself and the ability to be aware, monitor and manage responses to life – 'the wisdom to know the difference'. Paul describes his use of the prayer as a mantra in his management role that he will repeat several times in a row:

> It's about centering. It just gives me that extra hope and assurance that what I'm doing is okay and as a recovering alcoholic, I guess..... the nature of me is that I can be incredibly over sensitive. I can be prone to worrying more. I can be prone to the sense of imminent failure – all kinds of things. So the serenity prayer will just give me that re-centering. Yep, it's all about to happen. You have done everything you can. Your Higher Power is behind you; in front of you; beside you; in you: up – whatever. My Higher Power is there and no matter what the situation, I can be confident that all will be well. Sometimes I say it 5, 6 or 7 times in a row where necessary. At other times it's just a moment (PAU908-24/S11).

The sample use prayer as a means of both withdrawing from work situations for reflection and seeking guidance from a Higher Power, often the voice of conscience, so that this Higher Power informs management decision-making processes through the day, as Claudia explained:

> *Researcher*: What is prayer to you? Describe prayer to you.
> *Claudia*: Communicating with that Higher Power or whatever it is.
> *Researcher*: Okay…
> *Claudia*: Having quiet time. Having quiet time and kind of seeking guidance really. (CLA836-41/S11).

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As the workplace observation and IPA processes revealed, prayer is used as a morning ritual to state an intention to follow the programme through the day. All Workplace Observation participants used prayer several times during their day (NOE/OB/5/S11, RON/OB/5/S11 and TJ/OB/5/S11). Prayer is a waking constant for the AA participant manager like Hugh: "I believe, probably about an hour a day at least. If you thought and had a stop watch, it'd probably be an hour a day" (HUG728-37/S11). As well as being a device for 'tuning in' to conscience, it is also used as a mechanistic key for the entire programme: firstly, prayer is used in situ to enable the sample to respond appropriately to workplace situations and, secondly, it is used to express *gratitude* to God. This *gratitude* is a key attitude of the AA programme (not emphasised necessarily in the IPA findings in terms of frequency owing to the emphasis of the questions).

Sally (Sal774-8/S 11), Quentin (QUE757-71/S11), Ron (RON968-S4/S11), and Paul (PAU891-4/S11) all explained their ability to enter into prayer instantly - as a sort of instant messaging service with their Higher Power. This entering into prayer is often accompanied by some physical behaviours such as Ron's literal "opening the door for God" (RON546-57/S2) and Rhian's literal "move over in the chair so God can sit down beside you" (RHI642-659/S11). These physical anchors suggest that the cognitive process is 'tuning in' to a spiritual source for guidance and to facilitate *controlled reactions* to whatever situation the AA participant manager may be in. In breaking down the prayer process, many of the participants also explained an ability to pause (to utilise their self-awareness and self-monitor) to take stock of their own affective, cognitive and behavioural processes and to make adjustments (the cluster of *Self Management*). Mick explains "I will perhaps shut the door; compose myself; be calm and try to focus on that conscious contact" (MIC620-1/S11). Quentin is able to make immediate contact: "If you're in a meeting and under scrutiny you can't really pray in my view but you could close your eyes for a contemplative pause" (QUE526-30/S11) whilst Bob explains the immediate

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outcome of having conscious contact with his Higher Power for him as: "It just gives me time to breath and time to…it clears my head and gives me time to think" (BOB731-4/S11).

As a means of expressing the outcomes of this key tool in his management role, Quentin explains how prayer facilitates *ego reduction* and leads to the outcomes of *stress reduction* and *controlled reactions*. Psychologically, it shapes his decision-making.

> It helps me when I've got a problem that I can't deal with; that I feel I can't deal
> with; that I feel overwhelmed by. It enables me to remind myself that actually...it
> reminds me of lots of things: firstly, the problem probably isn't nearly as big as I'm
> making it; secondly, the whole business isn't actually as big as we all like to think it
> is; thirdly, it doesn't need dealing with now; fourthly, if I put it down and pick it up
> in half an hour or tomorrow it's probably going to look different and may look a lot
> smaller. So that's the prayer at work and the prayer at work may be no more than
> almost just sort of a gasp for help in a quiet room - 10 seconds in the dark. It can just
> be that, 'give me a hand here'. And the prayer at home is what I use to set myself up
> each day just to try to start the day in a...with knowledge to start the day
> remembering what I am, which is an alcoholic and actually a recovering one and no
> big deal. (QUE506-20/S11).

Meditation is identified in the IPA data in context of Step 11 processes (AA, 1953). In its literature, AA defines meditation in terms of both meditation on something – like a prayer – or clearing the mind (AA, 1953 pp 98-108). Not all the sample claimed explicitly to meditate in a deliberate technical manner at work. As explored earlier in this chapter, Mick's meditation describes a transcendental awareness technique which enables him to levitate (MIC584-605/S10) above himself in situ and start the self management process ultimately leading to the sanative outcomes mentioned in the literature (for example Carrol, 1993; Maltby et al., 1999).

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Along with deliberate technical prayer and meditation practices (described under the IPA cluster of *Higher Power*). Hamilton defines pausing as part of his seeking conscious contact with his Higher Power: "a pause is…in a meeting… may just be sitting back; taking myself back a bit in my chair to take me out of the dynamic that's going on; just to breathe…or going into the loo and just shutting my eyes and praying" (HAM657-70/S11). Quentin mentions the ability to "walk round the corner in the middle of a ruck" (QUE539-42/S 11) and access guidance. In these ways, prayer is the key mechanistic tool and antecedent to a conscious contact with a Higher Power and a causal mechanism leading to *stress reduction* and *controlled reactions* clearing a channel to conscientiousness – *ethicality* - which guides the managers at work.

5.1.12.   A design for managing. In its most simplistic form, the provocation for this thesis originated out of Step 12: the final phrase of this progamme instructs that its followers "practised these principles in all our affairs" (AA, 2001 p. 54). As the working life can account for an average 9.4 hours per day (UK Office of National Statistics, 2005), it follows that the AA spiritual programme applies in organisational roles as much as it does in the home and AA states this (AA, 1953 pp115-6). According to Dent, Higgins and Wharff (2005), Fernando (2005) and Fry and Slocum (2008), all cited in Chapter 2, this may not be a bad thing for organisations, as they found spirituality at work to be related to increased profitability via enhanced human relations and management performance.

As the ultimate AA Step, Step 12 is a central reference for the participants in their management function - hence the origin of the research questions exploring how the AA programme interacts with GMCs (see page 128 this thesis). In his interview, Noel summarised:

> I do believe it's just a simple way of life and it's about the ability to have the respect
> of my fellow human beings; that I end up treating people as I like to be treated - not

some of the time, not just when it's convenient, but all of the time" (NOE688-92/S12).

With the awakening of the *Valuing Others* phenomena in the IPA, the AA participant managers claim that their radar for the wellbeing of other human beings in the workplace had been raised as a result of adopting the programme. Paul (PAU97-40/S12), Sally (SAL348-12/S12) and Ron (RON1024-31/S12) concur that they are more able to tune into colleagues' personal problems having experienced their own acute personal problems of alcoholism: Ron explains "empathy comes first; I can see what their…well, if see there's a problem, I can instinctually know what they're going through".

However the second phrase of Step 12 explains that "we tried to carry this message to alcoholics" and it is in this section that significant caveats can be seen in the sample as to whether they would intervene when a colleague may be having problems at work, either relating to alcoholism or of a general welfare nature: firstly, whether it is appropriate and, secondly, in respect of Tradition 12 (AA, 1953 p. 188) which states: "anonymity is the spiritual foundation of all our Traditions, ever reminding us to put principles before personalities".

Ron acknowledges that his recovery is interdependent upon helping other alcoholics – what is known in AA parlance as the verb 'to 12 Step': "I know it's my responsibility to try and get some help to the person" (RON1051-2/S12); indeed, the primary purpose of AA followers is twofold "to stay sober and help other alcoholics to achieve sobriety" (AA, 1947) and this is supported by AA's statement of responsibility that reads – "I am responsible. When anyone, anywhere, reaches out for help, I want the hand of AA always to be there. And for that: I am responsible" (AA, 1965). However, there are certain challenges in meeting this responsibility that are explored with the AA participant managers: Sally explains that she feels it is

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inappropriate to be on a crusade at work with others who may be experiencing such problems

because "they're on their journey" (SAL813-8/S12) and Claudia expresses her reservations about

Step 12: "the way I see it, I'm there to do my job and if people come to me, that's fine but I

wouldn't go in with kind of guns blazing and start talking about their personal stuff" (CLA898-

906/S12). Whilst she still empathises with what the other individual may be going through,

Claudia explains "look, until they're ready, then there's no point really" (CLA898-906/S12).

What they are suggesting is that the 12 Step programme and AA itself as a fellowship is only

appropriate for individuals when they are ready for it - when they are they at a point in their lives

that they are experiencing a 'rock bottom' and have suffered enough to want to change. That is

the start of the recovery process through AA and until that time the fellowship and its

programme remain irrelevant. It is at this point that the findings suggest that the AA programme

is not generalisable to the wider population, as the requirement for adopting the AA culture is the

phenomenon of 'rock bottom'. It can therefore be inferred that the 12 Step programme and its

outcomes are not generaliseable to all managers in an organisational setting. This point is

explored in the conclusion of this thesis. Whilst many of the outcome behaviours are common,

accessible and adaptable, the route by which they emerge and develop is unique to those who

have experienced 12 Step facilitation (and the depth of meaning to *powerlessness*, *humility*,

honesty) and the developed *Self Management* cannot be 'magpied' out of context of the

programme's 'spiritual awakening' in Step 12. So whilst the exact methodology of the 12 Steps

may not be generalisable to those who have not experienced a 'rock bottom', outcome

behaviours (such as listening) are generalisable in the workplace and these are discussed also in

the context of management competencies later in this discussion.

The second consideration of applying Step 12 in a management function is that of

anonymity; the majority of the sample value this condition and, in order to carry the message,

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there may be some requirement to break this protection and possibly jeopardise employment status because of the stigma attached to alcoholism - even though it is recognised in the literature as an illness under the Diagnostic and Statistical Manual of Mental Disorders (American Psychiatric Association, 2000) and associated with several illnesses in the UK government's Alcohol Strategy (UK Home Office, 2012); it still carries a stigma associated with certain conditions such as mental health problems that the early fellowship of AA experienced (see Kurtz, 1991; Cheever, 2005; AA, 1978). As a result of these perceived or real prejudices, Hamilton states "I don't '12 Step' people that I work with" (HAM749-50/S12) although he is happy to '12 Step' people in the gym prior to going to work (HAM726/S12). Rhian explains "I would never break my anonymity. I've never broken my anonymity at work" (RHI700-1/S12). On the other hand, Paul is open about his illness at work (PAU927-40/S12), as is Quentin (QUE606/S12) and, with discretion, Sal (SAL345/S12) and Bob (BOB766/S12) who break their anonymity with their managers.

It is interesting to note that a number of the sample have pursued careers in the social welfare sector and yet, in spite of this choice, the AA participant managers can be guarded about their personal involvement in other people's welfare problems. It appears that supporting others at work through their management function is not problematic - such as helping to improve performance at work or suggesting places where help may be available for staff experiencing personal problems - but personal disclosure about their own alcoholism to others is extremely sensitive. To this end, whilst working the programme develops *empathy*, it develops conditional *compassion*: conditional on not compromising the AA participant manager's own priority of staying sober which is dependent upon avoiding negative affect which, in turn, can be dependent on maintaining anonymity at work. Therefore, it can be seen as a selfish change programme with altruistic outcomes. Hugh summarises:

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That's the whole idea of the 12 Steps. It's for you. To make you okay. It keeps me mindful of my standard of behaviour and my treatment of others, by calling myself when I do that and apologising. Going to that extent, it's just a corrective training course… for me. (HUG666-9/S12).

Finally, the third element of the 12 Step: "Having had a spiritual awakening as the result of the Steps": this implies that by adopting and completing the first 11 Steps, the follower accesses a spiritual foundation for their life. Clearly, the AA participant managers have a spiritual faith and a relationship with a Higher Power that they do not seek to intellectually understand and which provides them with a first principle in their lives and their management role.

Table 5.1.   *Summary of 12 Step outcomes on organisational managers*

Step	Outcome for manager
Step 1	Appreciates human fallibility in workplace and impotence
Step 2	Establishes divine support network/conscience
Step 3	Clarifies lines of responsibility
Step 4	Promotes ethicality
Step 5	Promotes transparency
Step 6	Identifies personal default reactions
Step 7	Develops humility
Step 8	Encourages personal responsibility
Step 9	Taking action
Step 10	Continuous self management
Step 11	Continuous internal dialogue with conscience
Step 12	Universal application

Having considered the psychological factors effecting the AA participant managers in this first part of the discussion, the 12 Steps inform the sample at work through a series of causal loops (*humility* and *ego reduction*), causal pathways (*stress reduction* leading to *controlled reactions*) and behavioural outcomes (*difference* and valuing others' opinions) that inform their

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management practice. The Hazelden summary of the 12 Step outcomes cited on page 28 is insufficient to explain the outcomes of the 12 Steps at work, and Table 5.1 attempts to summarise the outcomes.

5.1.13. Summary of the psychological processes describing the 12 Step influence on the AA participant managers.

Figure 5.7.   *Relevant business psychology concepts and 12 Step outcomes*

As a result of this initial analysis it is possible at this stage of this business psychology thesis to conclude that relevant existing theories and concepts include LOC (Rotter, 1966), self efficacy (Bandura, 1977), goal setting theory (Locke, 1968), leader member exchange theory

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(Dansereau et al., 1975), role modelling, person-focused management (Burke et al., 2006) including McGregor's (1960) theory y and transformational leadership (as defined by Bass, 1985), transactional leadership (Burns, 1978), action centred leadership (Adair, 1973) , EI (Payne, 1985) and servant leadership (Greenleaf, 1970). These relevant theories and concepts are shown in Figure 5.7.: Relevant business psychology concepts and 12 Step outcomes.

In order to apply, contrast and discuss the findings in context of these existing business psychology related concepts, the next section now explores whether these relationships and approaches demonstrated by the AA participant managers are effective. In short, does the managerial approach adopted by the sample lead to better management.

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5.2. The 12 Steps and relevant business psychology theories

With the psychological factors associated with GMCs (New, 1996) and AA's (2001) 12 Step programme having been explored in the previous section, it is possible now to apply a business psychology filter. This addresses key research voids in the existing literature by trying to qualify the impact of the 12 Steps on the management function. The data uncover several psychological concepts (see Figure 5.7. p. 279) that help to explain the interaction between the spiritual programme and managerial competencies. This section now necessitates discussing the 12 Steps, GMCs and specific managerial concepts together with the findings. By exploring these relationships, it is possible also to begin to answer the question "are there 12 Steps to better management?" raised as the title of this thesis.

5.2.1. 12 Steps, action management and goal setting theories. The components of New's (1996) first GMC (see Table 1.2 p.3 this thesis) include making decisions, identifying quality issues, monitoring through supervision and the ability to identify goals and to steer any action towards those goals which includes taking corrective action on such a journey.

"The 12 Step programme comes back to living in the day" (PAU428-9/DB); initially, the proximal goal setting encouraged under the AA programme's explicit focus on the day (see Appendix M: AA Just for today card p.LXI) facilitates a focused approach by reacting to organisational life concurrently as it unfolds. This was evident during Ron's workplace observation when his planned morning agenda (RON/OB/5) changes significantly during the day and brought along unprecedented action management situations demanding immediate operational decisions. This was also evident during Noel's workplace observation regarding a spontaneous staff conflict problem (NOE/OB/17). From the previous sections, it appears that the Step 1 process (in terms of *powerlessness* and surrender) and the Step 3 process of 'handing it over' facilitates acceptance-based responding (ABR) (Carrico et al., 2007) to enable the manager

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to be more effective and efficient in the way they enact action management. It does this by explicitly promoting proximal goal setting that promotes further self efficacy (Locke, 2001).

Goal setting theory (Locke, 1968) has established that individuals are more likely to be successful in their goals if they perceive that the goal is achievable within the confines of their own abilities. In order to work within one's own capacity and ensure commitment, Locke and Latham (1990) posited specific antecedents to ensuring willingness to take action (that is commitment): firstly, making sure that the goal is achievable within an individual's *sphere of control* (for example, not having a drink today), increasing the individual's abilities through training (Hugh says of the 12 Step programme in his interview: "it's just a corrective training course for me" (HUG656-69/S9)) and finally improving the person's self efficacy through the support of others, particularly role models (see Bandura, 1986); the AA fellowship and sponsors provide this support.

"I'm living in the day. I can look to the future but as long as I keep myself firmly rooted in the day, it allows me to get through shit that would drive some managers to being off on stress leave, nervous breakdowns, all that kind of stuff" (PAU1015-9/DB). Paul's example of taking things on a daily basis supports findings that proximal goal setting is an antecedent of increased self efficacy and intrinsic motivation (Bandura and Schunk, 1981). Proximal goal setting generates more self efficacy than distal goal setting (Locke, 1991). Stock and Cervone (1990) explored proximal goal setting and its relationship to motivational factors, finding that it was moderated by self efficacy, self evaluative reactions to performance and task persistence assistance. Self evaluative reactions are mirrored the 12 Step self management loop (See Figure 5.2. p. 233). This supports Bandura and Schunk's (1981) theory that proximal goal setting improves self regulatory behaviour through the use of sub goals. By keeping it in the day, self efficacy is enhanced in the sample because achieving goals generates positive affect and failure

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to achieve goals leads to negative affect (if not a drink). The AA participant manager

accommodates "the mystery of the managerial role" (Albanese, 1989 – see Hayes et al, 2000 p.

98) and the manager's lot as a "fixer and firefighter" (Burgoyne et al., 2004 p. 11) though

enhanced proximal goal setting techniques.

In terms of 'deciding on standards', the sample of managers gave clear evidence of being

conscious of *contractual responsibilities* to interact with subordinates in context of job

descriptions and responsibilities; there was certainly no 'pulling any punches' by the entire group

with their *forthrightness* - Maddie (MAD535-6/FR), Claudia (CLA174-6/FR) and Paul

(PAU381-3/FR) explained that they were quite prepared to be clear with subordinates about

quality issues and the implicit standard of *doing one's best* to help the organisation meet its

goals. In meeting this element of New's (1996) competency of action management, it was

important that the managers felt satisfied that they had fulfilled their responsibilities, worked to

their potential and that they identified areas for the development of themselves and others in

order to improve standards.

The supervision of the performance of subordinates is in part a definition of the

management function. Supervision can include discipline and grievance processes such as

Noel's disclosure that one of his junior managers was on a performance plan to improve the

quality of their work (NOE/OB/8) and Hugh's experience of dismissing colleagues (HUG555-

575/S3). This approach to ensuring standards highlights goal orientation in context of

transactional theory (Burns, 1978) and this, indeed, is what New's first competency is about -

getting the job done.

However, New's (1996) phrasing about 'correcting mistakes' also includes

accommodation of the fallible human being and any mistakes that they might make; Paul's

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discussion about this competency gave a representative answer: "Even as the manager, I can

make mistakes. I can make wrong decisions; I can flare up; I can get angry and say something

that is not appropriate" (PAU774-6/PHL). The AA programme accommodates this fallibility

under the concept of a cosmic *powerlessness* and avoiding perfectionism – in this way, the

programme protects the manager's self efficacy by accommodating reasonable failure. This

behaviour is an exact example of Owens and Hekman's (2012) humble leaders' behaviours that

include admitting mistakes. This provides a context for human errors as being acceptable and,

along with the emphasis on continual personal development for both the manager and the team,

it is possible to observe once again a leaning of the sample towards the philosophy of the

organisational development movement (McGregor and Beckhard – see Beckhard, 1997).

Finally, New's (1996) definition of action management accommodates the roles of Steps 5,

6 and 7 in applying corrective action, as the sample apply this by identifying shortcomings and

defects of character; Steps 8, 9 then require corrective action by making immediate and direct

amends and thereby diluting the impact of any behaviours that may deter teams from achieving

their goals and, ultimately, organisational efficacy. Action management is immediately applied

by the AA participant manager to themselves and this may have further implications for the

psychological interactions between the 12 Steps and the GMCs of motivation and leadership

that are considered later with particular reference to role modeling and idealized influence

(Bass, 1985; Greenleaf, 1970) and action centred leadership (ACL - Adair, 1973). Indeed,

Quentin (QUE439-40/OMS) explained in his interview that he saw apologizing as a daily

occurrence for managers: yet 'sorry' is a rare word in management - especially for the sample in

their previous management phenomena of being blameless, as Ron explained: "At that point in

my life I would never admit being wrong. I could never be wrong at that point" (RON666-

7BLA/PMB). John Adair (2002) argued that the most important words in leadership are "I am

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sorry" and this implicates further the importance of the manager as a workplace role model through their leadership.

In addition to informing New's first GMC, goal setting theories are also discussed shortly in context of the GMC of planning.

5.2.2. 12 Steps, change management and locus of control (LOC). New's (1996) qualifying sub phrase for his second GMC of change management – 'the willingness to take responsibility and accept change' - could be forged in the AA programme in itself; taking responsibility and acceptance are explored as causal mechanisms and outcomes within AA literature (AA, 2001 pp407-420) as is the process of change; indeed, the programme itself is called "the change" (AA, 2001 p. 51). At work, the sample was well versed in the unavoidable nature of change to the extent that Ron's department even maintains a formal "change document" (RON73-97/N2). In relation to this, and has already established, the willingness of the AA participant managers to take *contractual responsibility* and in *doing one's best* directly relates to New's (1996) second GMC and its accompanying definition.

Along with taking responsibility and enacting change, willingness is a very important concept within the 12 Step programme – "We have emphasized willingness as being indispensable" (AA, 2001 p. 76). It separates good intention from a commitment to take action and, in the case of the AA participant managers, that commitment is simply to do the job that there are employed to do. It helps clarify management responsibility and challenges their willingness and commitment - in the broader field of psychology at work, this is a direct extension of Rotter's LOC concept (1966) that was suggested as relevant to the findings and is considered to be a key factor for effective management by Judge and Bono (2001), Spector et al., (2002) and Ng et al., (2006).

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Rotter's basic concept (1966) defines internal and external LOC in simple terms: 'internals' referred to people who perceive that they are in charge of their own fate. Internals perceive a strong causal relationship between their actions and consequences. 'Externals' is a term used to describe people who do not perceive that they have direct influence or control over their fate and see themselves in a passive role at the mercy of the external environment (Seligman, 1975). Change management is a demonstration of this new found internal LOC for the sample, combining their recovery journey with their organisational function. Whilst the relationship between the 12 Steps and LOC is established in the findings, the working mechanisms of the relationship are complex and this merits further exploration.

> *Claudia*: Yeah we would have changes in structure; changes in staffing; changes in client base; changes in policy and procedure; changes in everything really.
> *Researcher*: Okay and are you an agent of that change in your management function?
> *Claudia*: I would say so.
> *Researcher*: Are you willing?
> *Claudia*:   Yeah definitely. Definitely because the way I see it you can either go with it or go against it and if you're going against it you're not going to win really.
> (CLA59-69/N2)

Claudia's pragmatic response suggests clearly that ABR (Carrico et al., 2007) helps her as a manager to tolerate changes at work. The AA programme promotes acceptance of change by immunizing against negative affect. It has been argued that there are no universal prescriptions on how best to manage change as each situation is unique in terms of its context and constitution (Ackoff, 1993); change can be ambiguous and can create emotional distress. Therefore, the more a manager embraces change management into their functions, the more they will create positive outcomes. This acceptance suggests that the manager must surrender to any pending change in order to enable progressive reactions. This is dependent upon an internal LOC.

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The AA participant manager journeys along a continuum of *powerlessness*: the active alcoholic, crippled by impotence and fear, has been living with a displaced LOC perspective – "self –reliance failed us" (AA, 2001 p. 68) and they failed to control other people, places, things and situations. This failure to exert internal and external control leads to negative affect that the alcoholic then needs to escape from via alcohol (see AA, 2001 p. 62). External LOC has been associated with several negative outcomes beyond increased stress and lower self esteem and has been found to be a predictor of psychopathology (Phares, 1976), depression (Bennassi et al., 1988) and other personality disorders extending to dependency and addiction problems (Watson, 1998).

At the point of 'rock bottom', the active alcoholic appears to reach a point of *powerlessness* – albeit unconscious at this stage - and turns to the AA programme. Under Steps 1, 2 and 3, the AA newcomer begins to understand their *powerlessness*, leading them to conclude that there is a Higher Power external to themselves. Step 1 turns this unconscious *powerlessness* into a conscious state and immediately turns the displaced LOC into an external context – the alcoholic understands their *powerlessness* in a cosmic context – they cannot control people, places and things and situations and their life is unmanageable. Step 2 then establishes a simple dyad with a Higher Power such as a God, the Universal Creator or a social construct such as an AA group with exemplars of successful recovery. These concepts can help the alcoholic regain their lost 'sanity' by establishing a reliance on an external source of support (Higher Power) rather than an internal source (self). Step 3 then challenges the AA participant to allow these external sources (such as God) to guide their lives having established that their personal attempt at controlling their own lives have failed – this is called in AA parlance 'turning it over' to a Higher Power. These first 3 Steps immediately establish a new external LOC concept for the alcoholic.

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However, the LOC journey particular to the AA follower then travels back along the continuum in the direction of a new found internal LOC: progressing through the inventory of Step 4, the AA participant manager starts to take responsibility for their own actions by coming to terms with their part in their previous relationships and problems, Step 5 is the admitting and taking responsibility for these actions – the start of accountability; Step 6 and 7 then identify further shortcomings and character defects that have informed their reactions to people, places, things and situations in the past. Steps 8 and 9 then promote further personal responsibility by identifying those to whom an amends is merited and then actually making that amends. Finally, Step 10 continues the *personal behaviour inventory*. Step 11 takes them back along the LOC continuum and reminds the anonymous alcoholic of their wider external LOC by maintaining a positive relationship with their Higher Power through conscious contact. In this pathway, the AA participant manager goes though different LOC states as shown in Figure 5.8: Variable LOC experienced by AA participant managers.

Figure 5.8.   Variable locus of control experienced by AA participant managers

Previous manager	Initial Steps 1,2,3	Completed Steps 4,5,6,7,8,9	Ongoing Steps 10	Ongoing Steps 11
Displaced LOC	External LOC	Internal LOC	Internal LOC	External LOC
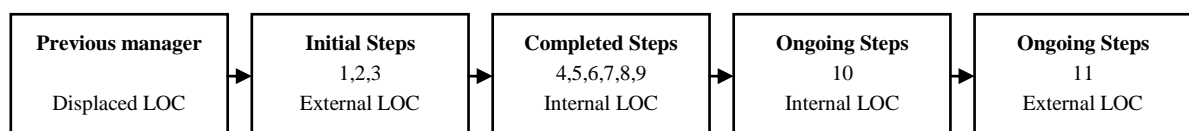
An internal LOC (achieved by the sample through working the 12 Step programme) is an antecedent of psychological empowerment at work (Ng et al., 2006) because internals are willing to make the effort to perform greater on work tasks (Koberg, Boss, Senjem and Goodman, 1999; Spretizer, 1995). Hugh summaries the LOC relationships that he experiences when he turns things over to the care of God (external LOC) because he stops fighting the world and this allows him to take personal responsibility for himself (internal LOC): "It just relieves me of the strength

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of the struggle" (HUG607-8/PS). This suggests that a psychological outcome is *stress reduction* - if not positive affect through enhanced self efficacy.

LOC is related to a variety of organisational phenomena including managerial performance in the literature (Sanders et al., 2003). Several major studies have explored the contribution and importance of LOC at work through meta-analyses: Spector (2002) conducted a qualitative analysis, Ng et al., (2006) conducted an analysis of both qualitative and quantitative academic research and Judge and Bono (2001) conducted a quantitative analysis. Within this body of work, external moderators of LOC are the phenomena of *powerlessness* and *sphere of control -* what Seligman (1975) suggested as the extent to which the occurrence of an outcome is contingent on a person's responses. Therefore internals, because of their understanding of the influence of their own actions on ensuing outcomes, are more acutely attuned to making behavioral choices to improve the likelihood of success in their endeavors. This leads to an acceptance of change because the AA participant manager interprets change through how they respond to it – not its source. This can be explained further by considering moderator variables that affect LOC: for example, the response to change is moderated by whether the emphasis is on primary (controlling one's environment) versus secondary control (controlling oneself). The influence of such moderation may also extend beyond primary and secondary control issues, in that organisational culture can influence the manner in which control is bestowed upon the individual (Spector et al., 2002). This could be influenced by situational factors such as the level of seniority. Such variables as primary and secondary control appear at face value to be relevant to the workplace and change management – firstly, the willingness to accept change and then to take responsibility for seeing it through. Again, New's (1996) specificity echoes with Carrico et al's (2007) ABR research and a wide range of the IPA phenomena including *powerlessness, sphere of control, ego reduction, personal human limitations, acceptance of real self, doing one's best, contractual responsibility, controlled responses, humility, ethicality, honesty,*

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personal behaviour Inventory, honesty, self esteem and *stress reduction* (see Figure 5.9 below:

Locus of control related 12 Step phenomena)

Ng et al., (2006) believed that traits outside of the big 5 personality traits (openness,

conscientiousness, extraversion, agreeableness and neuroticism) have been neglected in

academic research with regard to the organisational sciences and that LOC is one of these

neglected concepts. They posited that LOC is a personality trait that has at least the same, if not

greater, predictive power for some commonly examined work outcomes as the big 5 personality

traits. However, it is also believed that issues relating to perceived control may be developed

from social learning theory (Bandura, 1977) suggesting that LOC is both a trait and a learned

concept. This would tie in with Galanter's (1983) observation that adherence to cult behaviours

can indeed be transferred from a cult member to another and learnt - and this supports AA's

sponsorship concept, whereby an experienced member coaches the new member in the ways of

the programme.

One of the concepts positioning LOC alongside effective management is core self

evaluation. As a by-product of the 12 Step process, the LOC journey highlights the importance

of the *personal behaviour inventory* and the 12 Step self management loop (Figure 5.2 p. 233) as

a key management competency through the concept of self evaluation. Ng et al., (2006, p. 1059)

summarise that "LOC is one of the critical elements of fundamental self-evaluation" and this

echoes Hayes et al's., (2000, p. 100) similar observation that "critical self-reflection" is a key

element of wider management performance. This thesis postulates that there is a strong

correlation between LOC and the 12 Step self management loop that emerges out of the AA

personal behaviour inventory. Judge and a variety of colleagues (Bono and Judge, 2003; Judge

and Bono, 2001; Judge, et al., 1998) posited that LOC is one of the 4 components of a higher

order domain which they call 'core self-evaluation'. This higher order domain is also made up

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of LOC, self-esteem, self-efficacy and emotional stability. "Core self-evaluation describes an

individuals' fundamental assessment about themselves and their self-worth" (Ng et al., 2006

pp1058-9). Internals, it is argued, have more positive core self-evaluations. The AA participant

managers all practice core self-evaluation with an additional quality - it is continual.

Figure 5.9.   Locus of control related 12 Step Phenomena
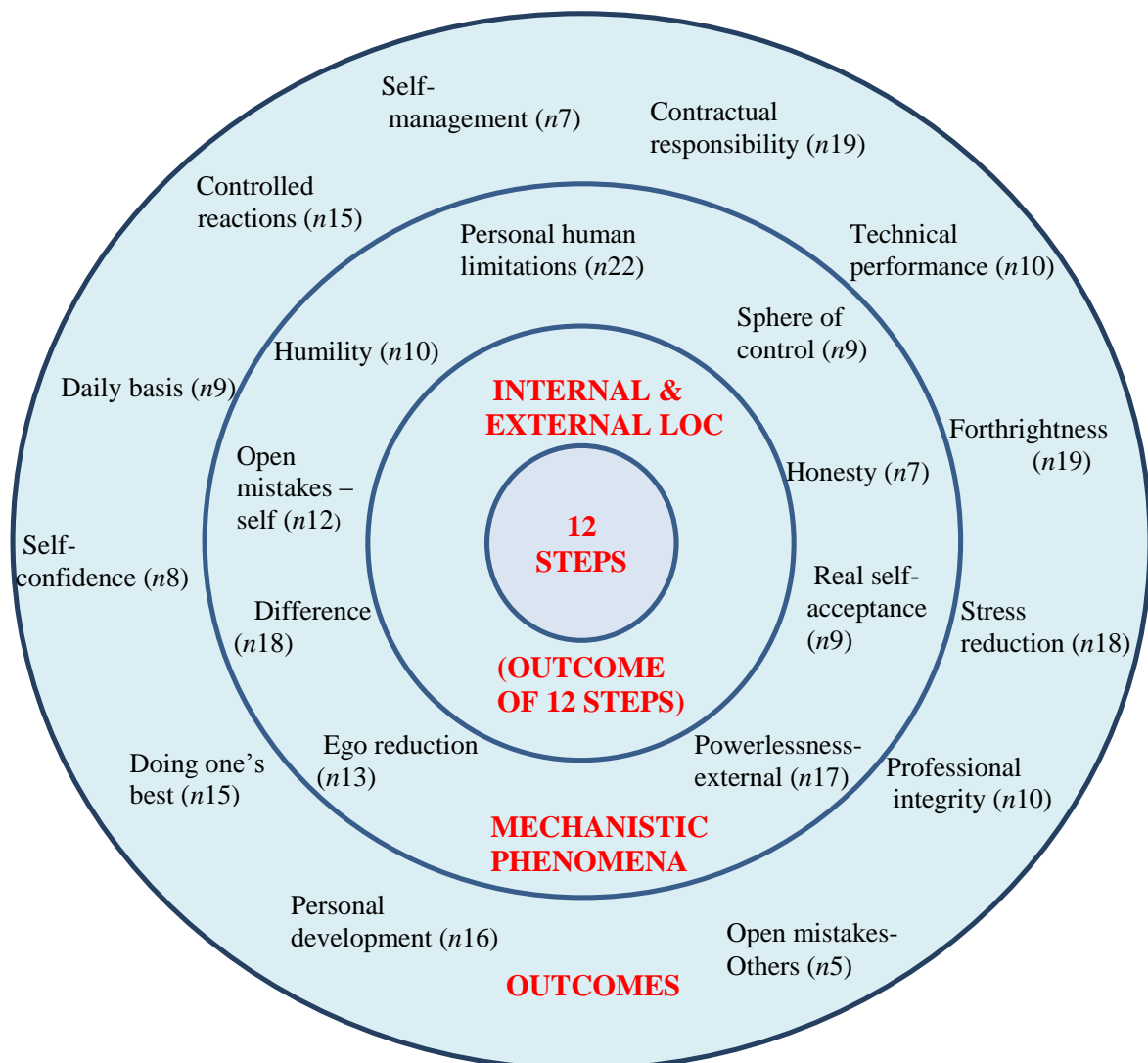
The meta studies of LOC at work (Judge and Bono, 2001: Ng et al., 2006; Spector et al,

2002;) help to reveal the mediating processes associated with LOC and related variables found in

the workplace. The importance of LOC to the efficacy of organisations appears to be

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fundamental. In turn, core self-evaluation (Judge et al., 2003; Ng et al., 2006), is the underpinning causal mechanism required for a positive internal LOC that, in turn, affects work performance through increased self-efficacy, effective goal setting, organisational commitment and the development of positive social relationships. This conclusion from the field of psychology directly places LOC as a variable at the centre of the 12 Step process. It is a key mechanism leading to core self-evaluation and the *personal behaviour inventory* facilitated by Steps 4, 5, 6, 7, 8, 9 and 10. The relevance of this observation can be seen in Figure 5.9: LOC related 12 Step phenomena, highlighting how the concept appears to relate to IPA phenomena.

Therefore, what is apparent in the findings is a peculiar journey to the AA participant managers who - as a direct outcome of going through the 12 Step programme - have travelled along an LOC continuum from a displaced LOC related to their alcoholism to now experiencing an internal LOC which is supported by the phenomena of *doing one's best, contractual responsibility* and *self management*. In terms of the clusters, LOC can be related to all of the IPA clusters: *Higher Power* (external LOC), *Truth* (internal LOC), *Self Management* (internal LOC), *Managerial Role* (internal LOC) and *Personal Power* (internal and external LOC).

The enhanced internal LOC experienced by the participants also informs their reaction to change associated with business climate. With regard to change and accepting change, there is much writing within the AA literature on the importance of transformation of the 'self' – personal change - which again informs the AA participant managers and their willingness to accept organisational climate and cultural change. Noel's (NOE/OB/8) current re-commissioning tendering process for his service's next 3-year budgets was discussed during the Workplace Observation data with regard to the demoralising effect of such change on employees in today's austerity driven world in a performance management culture. Rhian explains also her

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acceptance of organisational change because of the 12 Step programme, even though it may

effect her motivation:

> What I find personally difficult as a kind of a manager is whenever I don't actually
> agree with the changes and there's an awful lot of that, an awful lot of political
> dabbling in the (ORGANISATION) particularly in the current climate; in some
> instances it's just change for changes' sake. So you get a change of government;
> they decide to change everything - things that were working very well and actually
> were progressing very well. So I can accept it but I don't always like it (RHII79-
> 86/N2).

The responses given by the sample allude to the challenges of the current financial climate;

for example, Hamilton (HAM143-151/N7) and Sally (SAL60-67/N2) demonstrate that when it

comes to handling change, the AA participant manager deals with organisational change in a

cosmic existential context and their *powerlessness* within that context. This helps them to stay

level headed, focus on the day, identify what is possible and take management responsibility. In

light of the findings and the frequent observation in the literature (Antonacopoulou and

Fitzgerald, 1996; Campion et al. 2011; Hayes et al., 2000), that management competencies are

business-climate specific rather than fixed, it is possible to theorize that the phenomena of *daily*

basis, sphere of control and *powerlessness* enable to sample to respond positively to change

rather than be threatened by it – thereby increasing their chances of managerial effectiveness.

Sally exemplifies this process that ends with the manager taking responsibility:

> We have to, in this day and age, embrace the change. There's an economic
> climate at the moment. That means that the strap line that we're hearing from our
> funders is more for less and, therefore, we've had to implement changes in our
> working practice and ensure that those changes are cost effective; that our
> resources are effective and therefore I've had to ensure that I...I have to take
> responsibility. (SAL60-67/N2).

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In summary, the internal LOC developed by following AA's (2001) 12 Steps informs the sample's response to change in several ways; internal LOC has also been identified as a predictor of general well-being, being linked to lower stress levels and higher self-worth (Spector et al., 2002). The phenomenon *of stress reduction* identified through the IPA process as a key psychological outcome echoes this positive relationship. Stress was cited in the literature as a causal factor of alcoholism (Ferri et al., 2006). By having a sense of power over one's own behaviour and reactions, the AA participant manager is able to choose behaviours - *controlled reactions* - that are more effective both for themselves and their teams leading to positive work outcomes. However, this research has no evidence (and has not sought any) to establish the perspective of subordinates and peers to the self-reported management approaches of the sample. This shortcoming is discussed as a limitation later in this chapter (this would clearly be a positive direction for future research to follow to help validate the findings of the methods employed in this research although AA's (1953) Tradition 12 may well negate this possibility without a creative approach to research). Any future research would need to test this predicted relationship between AA's 12 Step progamme with LOC using tests mentioned in research papers such as Rotter's (1966) 23-item scale, Spector's (1988) Work LOC scale or Paulhaus' (1983) Measure of Perceived Control.

5.2.3. 12 Steps, coordination and action centered leadership. New's (1996) GMC of coordination describes the matching of tasks to personnel by the manager within the structural definitions of job descriptions and organisational objectives. What the data reveal is that the AA participant managers' approach to this competency is based on participative and consensual management style: Hugh explicitly describes his role in terms of "achieving things through people" (HUG197-207/N3), Sally allocates tasks by identifying "a person that's best fitted to it" (SAL212/N7) and Bob's (BOB105-17/N3) juggling of personalities and tasks to avoid conflict amongst his team are examples of this task - team led approach. In this way, the GMC of

coordination is strongly interdependent with the GMC of leadership and this relationship is now

explored.

Leadership behaviours are covered by myriad titles from various disciplines. Fleishman et

al., (1991) identified 65 classification systems of leader behaviour proposed between 1940 and

1986. Using factor analysis, Fleishman et al., (1991) identified the main common leadership

behavioural categories as task-focused and person-focused. It is worth considering what is

meant by these components to allow further discussion about the GMC of coordination:

leadership behaviours that are task-focused covered: understanding task requirements, operating

procedures and acquiring task information. Leadership behaviours that are person (or team)

focused concentrated on: behavioural interactions, cognitive structures and attitudes that

facilitate effective team working (Salas, Dickinson, Converse and Tannenbaum, 1992).

Figure 5.10.   *Blake Mouton Managerial Grid*

Task Focus	**High Task** **Low Team** (unsustainable)	**High Task** **High Team** (sustainable)
	Low Task **Low Team** (unsustainable)	**Low Task** **High Team** (unsustainable)

Team Focus

The Blake Mouton (1978) classic managerial model seen in Figure 5.10. simplified this

manner of classification and enables a manager's style to be considered in their approach to

leadership. The graph uses a task and team axis, defining 4 zones which represent the managers'

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approach to the GMC of coordination as described by New (1996). This phrasing of 'team or task focused' is often used to facilitate research and discussion on managerial and leadership styles (see Guillen and Florent-Treacy, 2011).

Within this model it is possible to consider the outcomes of 4 different managerial approaches to the GMC of coordination: a high task/low team approach might result in increased staff turnover as managers demand productivity from subordinates over their individual needs as a worker; on the other hand, too much pandering by the manager to subordinates' wishes (low task/high team) may lead to a lack of authority resulting in poor team productivity; the manager who shows no interest in neither their work nor subordinates (low task/ low team) may fail to motivate staff to achieve targets.

Whilst it is too simplistic to say that a manager operates wholly in a single specific zone (as the GMC of change management suggests, organisations and managers are prone to contingency or situational influences – see Donaldson, 1998), the model helps demonstrate the AA participant managers' concern for balancing these areas by making them concerned with both their *Managerial Role* and *Valuing Others*. This is arguably a perfect balance to help achieve the more sustainable high task /high team approach to coordination. As a development of this task and team approach to management, John Adair's (1973) action centred leadership model (ACL) exposes further the issues raised by the AA participant managers' approach to their organisational function. ACL outlines key areas that need looking after by the team leader in order to achieve effectiveness and efficiency at work: the task, the team and the individual. If any of the domains is neglected, this effectiveness and efficiency of the entire model is undermined. By maintaining management attention to each of the domains (New's (1996) GMC of coordination) the model suggests that teams achieve balance, productivity, motivation and

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goal effectiveness (see Figure 5.11: Adair's action centred leadership (1973): manager's

consideration).

Figure 5.11:   Adair's Action Centred Leadership (1973): manager's consideration
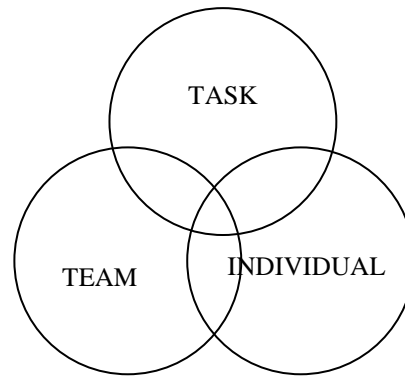
The domains, represented by Adair's overlapping circles, suggest an interdependent

relationship: the task (the team goal in this case) has specific needs – such as a plan - in order for

it to be achieved. Next the team has specific needs - such as role clarification and supportive

environments if it is to operate effectively; finally, the individual within the team has bespoke

needs that also need to be met in order for their idiosyncratic role to be effective within the team

structure. The team cannot function if the individual does not function. The team leader's role is

to provide each domain with its needs. Certainly within the sample, their appreciation of their

contractual responsibility ensures an acute awareness of the tasks in hand. The overarching

cluster of *Valuing Others* and the participants' appreciation of their *Managerial Role* includes an

intrinsic appreciation of *difference* that helps attend to the needs of the individual team member.

This mirrors Adair's (1973) model.

Adair's model allows also a comparison between New's (1996) GMCs and management

functions in Table 5.2: Adair's (1973) action centred leadership functions. These suggested

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functions correlate theoretically with the spirit of the AA participant managers' balanced

approach to coordination. Indeed, Adair's behavioural descriptions appear to be a

comprehensive collection of statements from the IPA interview responses by the sample.

Table 5.2.   Adair's (1973) Action Centered Leadership functions

Task Functions	Group Functions	Individual Functions
Define the task.	Set standards and an example.	Involve all team members in
Devise a workable plan.	Maintain discipline.	discussions and activity.
Brief team members on	Build team spirit.	Seek out and use individuals' abilities
the task and their role.	Maintain morale.	Bring in the quieter members.
Delegate work to team	Give encouragement.	Control overactive members.
members.	Motivate members to achieve	Use special skills.
Allocate resources.	success.	Establish previous experience.
Check the quality of the	Keep open communication.	Offer constructive feedback.
work.	Train in appropriate skills.	Praise, support and encourage.
Control the pace of work.	Deal constructively to resolve	Avoid taking sides in an argument.
Keep the team focused on	conflicts.	
plan.	Avoid getting too deeply	
Evaluate progress and	embroiled with the task itself.	
modify the plan	Appoint sub-leaders where	
accordingly.	appropriate	

Adair's (1973) model is supported also by a list of 8 leadership functions (Table 5.3) that

represent another construct of general management technical competencies at the same high

level of abstraction as New's (1996) GMCs; both of these constructs appear to take similar

approaches to defining management tasks, but different approaches to the use of the words

'function' and 'competency'. Adair's (1973) model explains what jobs managers need to do in

behavioural terms, whereas New's (1996) model approaches these areas as functional headings.

However, at face value, Adair's leadership functions correspond with New's GMC model

through the concepts of organising (corresponds with GMC of organisation), control

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(corresponds with GMCs of motivation and leadership), planning (corresponds with GMC of

planning), defining the task (corresponds with GMCs of action management and planning) and

setting an example (corresponds with GMC of leadership).

Table 5.3:   Adair's(1973) leadership functions

1. Defining the task	5. Evaluating
2. Planning	6. Motivating
3. Briefing	7. Organising
4. Controlling	8. Setting an example

Adair's ACL theory (1973) approaches the GMC of coordination through valuing the task,

the team and the individual equally under a collective experience; there is plenty of evidence

from the findings that espouses a collective approach to the competency of coordination – Sally

specifically uses the phrase in team meetings: "How are we going to do this?" (SAL47/N5),

Quentin has team meetings every morning to discuss the day's actions (QUE34/N5), Bob is keen

to seek alternative opinions prior to making decisions (BOB36-41/N5) and Hamilton is looking

for the shared experience of working towards goals (HAM110-9/N5). This emphasis on a

collective experience at work favoured by the AA participant manager is also supported strongly

in Adair's work.

Adair suggested, in its simplest form, a short course in leadership for team managers (see

Table 5.4: John Adair's Short Course in Leadership (2002 p. 76) which resounds with the data;

not least of all the critical statement: "One most important word in leadership is 'we' and the

least important word is 'I'. Adair and the research sample share a common approach to team

leadership that acknowledges a collective of fallible human beings in a transactional relationship

with the organisation. Furthermore, the manager is responsible for enabling this approach by the

way that they behave in their role.

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Table 5.4.	*Adair's(2002) Short Course in Leadership*
Six most important words:	'I admit I made a mistake'
Five most important words:	'I am proud of you'
Four most important words:	'what is your opinion?'
Three most important words:	'if you please'
Two most important words:	'thank you'
One most important word:	'we'
Least important word:	'I'

Haslam (2004 p.1) argued that the essence of leadership is found in the leader's role as a group member rather than their individual position and that this relationship is underpinned by social identity theory (Turner and Haslam, 2001). He states:

> In John Adair's famous "short course on leadership" he observed that the single most important word in the leader's vocabulary is 'we' and that the least important word is 'I'. In light of this statement, it is ironic that research into the psychology of leadership has focused almost exclusively on the personal qualities of leaders (their 'I'-ness, if you like) and largely neglected the psychological dimensions of their relationship with the group they lead (their 'We-ness').

This places the team leader along a continuum at one end of which is the individual with their idiosyncratic preferences, core values and ambitions and at the other end of the continuum is the leader not as an individual but as a team member. This theory is then used to explain the motivations behind the team leader's way of working - is it an egoic motivation ('what's in it for me?') or a social motivation ('what's in it for us?'). The former approach describes personal identity as a source of behaviour as a team leader. The latter approach, Haslam (2004) posited, is related to positive organisational outcomes through concepts such as organizational citizenship behaviour (OCB) (Organ, 1988); OCB serves the social group working under the umbrella of the organisation through behaviours related to loyalty, work effort and performing beyond the rule

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of the job description. The key phenomena moderating the relationship between leadership and OCB might rest in the IPA phenomena of *empathy* and *compassion* and the wider cluster of *Truth*.

Arguably, contemporary leadership problems since the global financial crisis of 2007 (Shiller, 2008) highlight society's approach to seeing the leader as an individual as reflected in the chief executive bonus issues raised in 2011 with Barclays Bank, the Royal Bank of Scotland and Thames Water (Treanor and Neville, 2011) . This reward system identifies the leader as an individual in terms of personal identity that operates separate from the group: this system has been found to have a negative effect on staff motivation and therefore their performance (Drucker, 1986). It puts the 'I' before the 'we'. Pfeffer (1997) criticised the world of psychology at work for promoting the leader as the maverick individual through the perspective of personal identity theory that approaches the leader through an individualistic lens – through the 'I'.

Increasingly, research has found that these traditional approaches to leadership - seeing the leader as an individual and maverick - undermines organisational effectiveness and efficiency (Hogg and Terry, 2000). In the worst-case scenario, the appointment of the formal team leader, if made incompetently, undermines organisational progress. The separatist approaches to team management and leadership, Haslam (2004 p.6) summarised:

> "accentuate the division between would-be leaders and their would-be followers, they can actually undermine the very thing they would create: a productive, healthy and invigorated organization […]. If leaders want their followers to go the extra mile, they need to ensure that everyone is in the same vehicle and that the demands and dividends of the journey are shared".

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This 'shared journey' requires a sense of 'We-ness' and social identity within the team generated by the manager – as espoused by the sample of AA participant managers through their approach of 'We-ness' based on a spiritual starting point of shared human fallibility.

Task interdependence – an embodiment of the 'We' approach to team coordination and leadership - is a key moderator of team effectiveness (Saavedra et al., 1993) and supports the efficacy of Adair's ACL (1973) approach. Research has also sought to identify moderators between leadership behaviours and team performance (perceived team effectiveness, team productivity, team learning) with particular interest in different levels of task interdependence. Task interdependence broadly describes the degree to which individuals within the team rely upon each other to achieve team goals. Interestingly, Burke et al. (2006 p.294) claimed that "no prior research has investigated the relative importance of leadership under varying conditions of interdependence" and this is an important academic omission in that high levels of task interdependence will affect the relationship between leadership behaviours and team behaviours. The AA participant managers are intuitively aware of this relationship.

Burke et al. (2006) considered that task interdependence may be a high moderator variable of perceived team effectiveness because the tighter the team's interdependence, the greater the effect of leadership behaviour. However, the importance of this moderator variable is difficult to conclude owing to other unexplored variables in their study such as culture, climate, technical nature of task and different team models. Furthermore, the stage of the team maturation may also be a moderator variable, as team leadership may comprise of different models with very experienced teams who have been together for a long time (Morgan et al., 1994).

What the findings of this thesis suggest is that the GMC of coordination demands a transactional outcome – achieving tasks - through the effective management of subordinates – a

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transformational approach. In this way, coordination, as suggested by New (1996), has great implications for the role of the team leader not least of all in *how* they enact this competency through management of both the task and the team and this is explored further in context of the GMC of leadership.

5.2.4. 12 Steps, creativity and diversity. The GMC of creativity was discussed with each AA participant manager. The sample, through their experience of *powerlessness* and *personal human limitations* and *humility*, all lean towards innovation through their teams. This may not be a conscious act but the sample's 'We-ness' approach facilitates *difference* through valuing individuals and facilitating their involvement at work that, in turn, feeds creativity.

Individual difference at work is captured under the rubric of diversity. The contribution that diversity makes to workplace creativity and organisational efficacy is well established (Barczak et al., 2010; Gilson, Mathieu, Shalley and Ruddy, 2005; Katzenbach and Smith, 2003). Indeed, diversity is crucial to creativity. It is not merely a legal requirement to ensure human rights in the protection of dignity. It is an essential organisational policy that when used correctly allows individuals to contribute to team goals and thereby enable the manager to find solutions and strategies, and not solely be responsible for the creation of ideas.

The individual within the team becomes the creative resource as a result of participative and consensual management evidenced by the AA participant managers (explored further with the GMC of leadership later in this chapter). The sample's experience of seeing themselves as they truly are, their commitment to continual development and their ability to act in concern for other fallible human beings creates a humanist workplace: through the phenomena found in the *Valuing Others* cluster, the manager enables not only the production of new ideas in the

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workplace, but also the intrinsic 'buying in' of the team because the individual member themselves have contributed to team goals that, in turn, leads to organisational effectiveness.

Figure 5.12.   *12 Steps as antecedents to team creativity through the manager*

12 Steps
lead to

Self management
enables focus on

Managerial role
leads to

Trust
rests on

Valuing others
facilitates

Difference
promotes

Creativity
feeds

Team goals
leads to

Organisation Effectiveness

Figure 5.12. shows a progressive theoretical pathway which follows on from 12 Step adherence; the AA participant manager's own *self management* is an antecedent of team trust generated through the modeling of positive behaviours that, in turn, lead to proactive team behaviours of open communication, the valuing of *difference* and the outcome of creativity. This feeds the team goals upon which organisational success is dependent. By being a role model, by adopting *forthrightness* (based on clarity) and *honesty*, by seeking the participation and consensus of the team, team goals are enriched with options and motivational 'buy in' that in

turn inform organisational success. In the IPA, Quentin (QUE410-9/S7) explained team

creativity - producing ideas - as an outcome of the *humility* to seek other opinions which, in turn,

is an outcome of experiencing *powerlessness* (see Figure 5.5. p.254: 12 Steps, management and

creativity).

Batey (2011) observed that that creativity is the key skill for the 21st century and that

organisations need to start identifying key leadership skills required for the future. Indeed,

creativity is at the root of innovation in products, services and processes. As a result of its

importance to organisational survival, it is a much sought after skill universally. Batey (2011)

goes on to argue that companies need to recruit and develop for creative strength. This has

significant implications for the leadership and management of employees through the valuing of

difference. The sample express this value in the data.

5.2.5. 12 Step, motivation and person-centred management. The motivation of

individual team members is an antecedent to team effectiveness (Burke et al., 2006). The

sample's person-centred approach, the 'We' over the 'I', increases subordinate motivation as

explained further by the established person-centred concepts of LMX (Dansereau et al., 1975)

and McGregor's theory y (1960) and their associated components. The influence of internal

LOC on team motivation is also explored in this section.

5.2.5.1. 12 Steps, motivation and LMX. At this stage, it is important to acknowledge the

concept of leader member exchange (LMX) (Dansereau, et al., 1975) raised in the literature on

spirituality at work and its relationship with the motivation of subordinates. The concept is

broadly defined by Graen, Novak and Sommerkamp (1982) as a unique relationship quality that

leaders develop with each subordinate; strong or positive LMX reveals the quality of the

relationship between the team leader and the team members (followers) as developed through

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trust, autonomy and a symbiotic relationship. In this way, the contribution of each party in the LMX relationship is of equal influence in that each individual within the dyadic relationship can influence it. In this thesis, no bi-partisan LMX test results have been gathered so the data is only suggestive of a relationship between the AA 12 steps, the participants' managerial style and positive LMX.

Studies have explored variance in the relationships of independent variables and moderators that are antecedents of LMX. Within these studies, both Kinicki and Vecchio (1994) and Martin, Thomas, Charles, Epitropaki and McNamara (2005) found internal LOC to be a significant variable between the bipartisan relationships - such research supports the influence of LOC on 12 Step psychosocial processes discussed in this thesis. There have been several other identified additional variables to LMX and of relevance to this discussion these have included EI (Barbuto and Bugenhagen, 2009) and work values (Steiner and Dobbins, 1989) which are explored shortly. Academic research into LMX has consistently provided evidence that it is a positive predictor of effective organisational performance (Barbuto and Hayden, 2011).

Within this research, the managers' approach to the GMC motivation is informed by the *Valuing Others* cluster of IPA phenomena; the AA participant manager is already interested in their subordinates at a fundamental level. As an example regarding the general wellbeing of their subordinates, Noel's Workplace Observation disclosed his first priority when new in post was "to make the team well" (NOE/OB/9). He expanded that his team were dysfunctional, citing a lack of trust, internal conflict and physical illness as symptoms of the dysfunction. The pinnacle of his approach to team motivation was being nominated subsequently by his team for a leadership award and, as evidence of his approach to 'We-ness', on the day he was observed he had organised a staff lunch to celebrate a team member's forthcoming wedding – on a day at work about which he said "does not get any better" (NOE/OB/24/N6).

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Further techniques relating to motivation used by the sample included Paul's example

(PAU232-53/N6) of his training day to encourage more creative approaches from his team – an

example of focusing on the development and motivation of others through managerial coaching.

In a recent study of LMX, Burke et al., (2006) found that such coaching accounts for up to 31%

of variance in team effectiveness. Whilst motivation generated by team leaders traditionally rely

on reward systems and development opportunities (Hackman, 2002), the role of the team leader

as mentor and coach has been researched extensively along with its impact on the team's

performance (Kozlowski, Gully, McHugh et al.1996; Kozlowski, Gully, Salas et al.,1996).

Hackman and Wageman (2005) argued that team leaders can intervene with different types of

coaching (motivational, consultative, educational) dependent on the team's developmental stage.

An equivalence with the research sample would be their attention to others' development

represented by Hugh's assertion that: "You've got to develop people" (HUG1241/OD). Other

coaching behaviours were evident in the Workplace Observation data, with Noel meeting with 2

work experience undergraduates seconded to his team ((NOE/OB/16/N6 and NOE/OB/18/N6)

and TJ's continuing professional development workshop for dance practitioners (TJ/OB/17/N6).

5.2.5.2. 12 Steps, motivation and theory y. The findings reveal specific approaches to

motivation by the sample. The organisational development approach (OD) (McGregor and

Beckhard – see Beckhard, 1997) to the workplace revolves around a highly motivated workforce.

This motivation is dependent on participative decision-making, open communication styles and

channels, team led approaches to problem-solving and moving the first-line management role

from a top-down position to a more collaborative style. McGregor (1960 p.33) placed such an

approach to subordinates within the concept of humanist psychology: "behind every managerial

decision or action are assumptions about human nature and human behavior". As a point of

origin for the OD movement, humanist psychology (following on from the work of Maslow

(1943)) leads to management theories that espouse *Valuing Others* reflected in the participants;

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they share a preferred management approach expressed in McGregor's theory y (1960). In short, theory x expressed the customary view of controlling the workforce in a scientific management philosophy of coercion and punitive measures over staff; theory y, on the other hand, attempted to bring the employee and the organisation's mission and objectives closer with a shared ambition. Arguably, it is more socially intelligent (Thorndike, 1920) as a management style.

McGregor's theory of x and y management (1960) is credited with being the foundation of participative management styles mentioned in this thesis and there is significant academic evidence supporting the success of this person-centred approach (Burke, 2011). However, it is still found not to be practiced systemically throughout supervisory, management and leadership positions (Saporito, 1986) despite this success. This is surprising considering that research conducted by DeVries (1993), Hogan, Curphy and Hogan (1994) , Shipper and Wilson (1991) and Millikin-Davies (1992) found conclusively that managers failed in their organisational role as leaders of people between 40% and 60% of the time, frequently resulting in their redeployment or removal. Herzberg's (1966) related seminal research into motivation and job satisfaction at work - through his constructs of hygiene and motivation factors - concluded simply that, without question, the most influential demotivating agent was management incompetency and abuse – the bad manager.

McGregor (1960) argued that the traditional top-down approach of management incorporated a supercilious and patronising attitude, suggesting that managers commonly behaved as if they 'possessed the divine right of kings'. The sample's emphasis of humble management approaches to organisational function (developed in Step 7) addresses management from the other end of the continuum: whilst they did not claim to be saints and are capable of transactional behaviours and a theory x orientation at times, their philosophy on motivation represents an anti-machiavellian approach exemplified by Sally: "people will do a better job,

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from my experience, if they have a vested interest; if they're excited about something and if they want to do it" (SAL97-99/N6).

Burke (2011 p. 199) cautions that there has been a significant error in interpreting McGregor's theory x and y because it has been interpreted in a dichotomous manner: a manager is either theory y or theory x. This mistaken legacy ignored the probability that managers need to be able to operate on a continuum between theory x and y to accommodate critical situations at work that require immediate action, to reduce conflict, to help manage difficult staff and to accommodate their own human fallibility (sometimes managers just have bad days like the rest of the human race). Arguably, an effective manager needs to be both. This case of operating in both of McGregor's worlds is demonstrated in the sample's *forthrightness* as Rhian demonstrated: "I'm quite tough in terms of challenging people about, 'What are you bringing to the table like?'" (RHI708-9/FR). Indeed, Siegel (2009) claimed that there is a significant interaction between both theory x and theory y approaches and that it is unlikely that there is a wholly theory y manager. His observation is supported in these findings with the sample focused on their *Managerial Role* through *Valuing Others.*

There has been significant academic research supporting the basis of theory y with particular emphasis on consistency. For example, in the late 1970s, research on the subject with a sample of 100 leading American organisations concluded that those companies that adopt a participant management style through theory y outperformed those that did not on 13 out of 14 financial measures (Saporito, 1986). In addition, Barsade et al., (2000) conducted research that revealed that senior managers who specifically managed their subordinates under the philosophy of theory y were more successful than those who managed individuals with a theory x approach.

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Burke (2011 p.198) states "in summary, it is abundantly clear that managing and leading people consistently with theory y assumptions pays dividends with respect to a positive work climate, strong commitment and motivation along with high individual, team, and organisational performance". In consideration of the IPA clusters Of *Higher Power, Personal Power, Truth, Valuing Others, Managerial Role* and *Self Management,* positive relationships can be observed between the 12 Step programme, the GMC of motivation and efficacious person-centred management concepts.

5.2.5.3. 12 Steps, motivation and manager's LOC. Steps supporting the *personal behavioral inventory* process (Steps 4, 7, 8 and 9, 10) can also be found to be related to team motivation through research into internal LOC. Ng et al (2006) found that internals may be more proactive with regard to maintaining motivation and dealing with conflict situations by seeking resolutions to negative work experiences. This is explained by way of internals experiencing less conflict in their lives - including at work - because of their need to influence their own outcomes and, therefore, reduce the negative effects of conflict.

Conflict is cited in the literature as a causal factor of alcohol dependency (Ferri et al., 2006). The sample's intrinsic allergy to conflict as alcoholics is moderated by the 12 Step processes: whilst they are capable of being assertive, their spirituality and new appreciation of people enables them to avoid interpersonal and intrapersonal conflict because the programme is explicit that "resentment is the number one offender" (AA, 2001 p. 64). In support of the AA participant managers' commitment to *Valuing Others* and 'We-ness', Ng et al., (2006) found that an internal LOC was related to greater social support received , greater social integration at work and better relationship with supervisors.

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Positive social relationships fostering motivation are therefore identified as a feature of an internal LOC; this discussion has already identified that internals are more proactive in creating positive social situations and relationships and, because of their need to control situations to help them achieve their goals, internals are more likely to be skilled in the nurturing and maintenance of positive social relationships than externals (Kapoor, Ansari and Shukla, 1986; Ringer and Boss, 2000). It has also been found that externals are less likely to have the influencing skills that internals have (Phares, 1965). It is also important to point out that in no sense does the literature on LOC indicate that internals, in their quest to exert control over their own lives, have malevolent intentions and, in this way, it has been found that the need for control one's own life can lead to a greater sense of *empathy* and *compassion* – phenomena identified in the IPA - in that internals are more considerate than externals (Lefcourt, 1985; Ng et al, 2006; Phares,1976; Pryers and DiStefano, 1971). This then informs how they motivate their teams. The need of the AA participant manager to avoid stressful situations generates a need for minimal conflict and greater team cohesion.

5.2.6. 12 Steps, organisation, consensual management and organisational climate.
Whilst the sample ranged in the levels of management from a chief executive officer of a major national organisation through to the supervisor of a small department, New's (1996) GMC of organisation was recognised by each participant in their current role within the data. Along with validating this GMC as highly relevant, their responses were very much connected with their style of management in how they enacted this responsibility – namely through participative and consensual management.

5.2.6.1. 12 Steps, organisation and consensual management. Sally's approach as a senior project manager in a social welfare charity was to enact the GMC of organisation through asking the team to suggest how resources should be applied - especially the human resource.

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She was particularly keen to allocate this resource under a 'best fit' policy, making decisions collegiately by asking "who's the best person to do this task?" (SAL211-17/N7). By using such a consensual approach to resource allocation, the decision-making process by the manager promotes further inclusion of the team and diversity by enabling each person to participate in providing information. This reveals that there is a relationship between the GMCs of organisation and creativity, because the outcome of Bob's approach to organisation includes innovation in solving problems: "We're always looking to improve the efficiency of our delivery and collection service […] my drivers will always come up with different ideas; some we all discuss…some will work and some won't work" (BOB36-53/N1).

5.2.6.2. 12 Steps, organisation and organisational climate. The GMC of organisation is also impacted upon by external business environments and climates. The global financial crisis of 2007 (Shiller, 2008) receives several references in the data with specific concern for resource allocation and management - notably that of budgeting. In the previous section, the phenomena of *powerlessness, sphere of control, daily basis* and *personal human limitations* have all helped the managers to work through difficult times without personalising any organisational problems that occur. This is facilitated by Step 3 that defines the managers' *sphere of control*. This is certainly the case in response to the worldwide economic challenges being experienced at the time of writing this thesis, with the sample experiencing resource reduction – for example, Hamilton (HAM180-196/N7), Sally (Sal60-67/N2) and Rhian (RHI79-86/N2). Indeed, Hamilton summed up the whole conversation about New's (1996) GMC construct by identifying organisation as *the* key management competency of the moment (Ham143-151/N7).

5.2.7. 12 Steps, planning and goal setting theories. Building on the goal setting issues discussed at the beginning of this chapter under the GMC of action management, further consideration of proximal and distal goal setting theories in context of planning will be explored.

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Through the phenomena of *contractual responsibility*, the managers have spoken freely of their

organisational role in being part of macro plans and that they understand that they are, and

willingly act as, agents of those plans.

The participants' work plans all related to performance management and management by

objectives. Locke (2001) found that the more defined the goal/objective, the more easy it is to

tailor performance exactly in order to meet that goal; in short, goal achievement is facilitated

through specificity. Furthermore, he posited that the more important the goal is to the individual,

the greater the commitment to achieving that goal. This commitment is also regulated by goal

difficulty in that insipid targets are fairly easy to subscribe to because there is flexibility in how

they can be achieved; the difficult target requires a higher degree of commitment and effort and,

therefore, may deter some people from adopting them. In context of the AA participant

managers' approach to planning, 'keeping it in the day' is a totally different goal than 'keeping it

in a lifetime' – this philosophy is based on the recovering alcoholic not having a drink for a

single day (today) rather not having a drink the rest of their life. In this way, the IPA

phenomenon of *daily basis* is an essential way of being for the AA participant manager even in

the context of multi-decade corporate plans.

In turn, the role of the leader as a moderator of goal setting efficacy is found in the way

that they communicate with teams, articulate organisational purpose, encourage others to work to

their best abilities to ensure quality and the use of participative target setting. Goal setting

efficacy is also dependent on the manager modelling the required behaviours (Locke, 1991). Not

surprisingly, a participative approach to team goal setting and planning generates higher team

commitment (Latham and Yukl, 1975) particularly when the team member sets their own goal.

Sally's (SAL83-85/N8) example of self-set team goals demonstrates this approach.

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Inclusive management styles also promote creativity in planning by using the individual team member as a contributor to problem-solving thereby creating a diversity of options and perceptions of problems. This enables the manager to make informed decisions about plans at work that might lead to team success. These relationships are depicted previously in Figure 5.12: 12 Steps as antecedents to team creativity on page 304.

There is no doubt that the whole AA programme very much rests on a concept related to goal setting - that of *self management*. Locke (1991) explained that goals are not just set from external sources (such as the organisation) and that individuals are able to establish their own meaning and purpose and set goals to achieve this. Indeed, within the fellowship of AA, and an official part of a literature, the AA Just For Today card lists behaviours to be fulfilled each day (see Appendix M: AA Just For Today card p.LXI) and is a prime example of proximal goal setting that the AA participant managers aspire to achieve. Binswanger (1991) argued that goal setting theory is generalisable to the degree of idiosyncratic lives as well as organisational strategies. In this way, goal setting theory is an additional appropriate lens through which to view the AA programme, management function and related psychology.

Importantly, self efficacy is moderated by goal setting approaches; Locke (1996) found that high goals lead to less performance satisfaction than easy goals. The explanation is that high goals require higher standards of attainment than low goals, so that self efficacy is harder to achieve. Basically, distal goals have more risk of failure. Trying to stay sober for one's lifetime, trying to be the perfect human being, and not accepting the real self, would all risk failure based on the experiences of AA. That is why AA cautions about progress rather than perfection (AA, 2001, p. 56) – to assuage the risk of failure triggering a relapse into alcoholism. This philosophy of AA provides the follower with several get out clauses to tolerate small failures on the journey of recovery: the first being that they are not God (external LOC), the second being

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that as long as the AA participant manager is doing their best they will be okay (internal LOC) and the third being that the manager is a fallible human being and will fall short on occasions (external LOC in that human limitation is responsible for falling short – not personal effort). This protects the participants' self efficacy.

5.2.8. 12 Steps, leadership, task and person focused approaches. The task /team balanced approach to the GMC of coordination explored earlier is also related widely to specific leadership concepts; these theories will now be explored to help examine the behaviours of team leaders and the AA participant managers' operating style. These theories fall under the umbrella of task- and person-focused approaches and include transactional and transformational leadership (Burns, 1978 and Bass, 1985), the servant leadership concept (Greenleaf, 1970) and the importance of role-modeling by the manager. The data reveal behaviours amongst the sample of all these concepts including both transactional and transformation related approaches; this can be explained as the sample all sharing a focused common transactional goal of simply fulfilling job descriptions (theirs and their colleagues) and they set about achieving this through a transformational style.

5.2.8.1. 12 Steps, leadership and transactional and transformational styles. Burke et al., (2006) researched the relationship between team performance outcomes (such as perceived team effectiveness, team productivity and team learning) and team leader behaviors. As part of their review of research into these areas, they identified moderating leadership behaviours under the headings of task-focused and person-focused leadership.

Components of task-focused leadership included the following behavioral styles: transactional leadership (goal orientation), initiating structure (intra team systems) and boundary spanning (internal and external networking) (see Table 5.5 p. 319). There is suggestion within

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the findings of transactional qualities but no relevant references for initiating structure nor

boundary spanning. Transactional leadership (Burns, 1978) is a common concept with business

psychology (McKenna, 2011); the employment contract in itself is an embodiment of a

workplace transaction and in this way can be seen as the basis for all management interventions.

Behaviours of the transactional leader use rewards, praise and the threat of punishment to

encourage work (Burns, 1978). Transactional qualities within the findings demonstrate an

appropriate concern for team and organisational goals by the sample which is evidenced by the

phenomena of *contractual responsibility, technical performance* and *forthrightness* under the

superordinate cluster of *Managerial Role.*

   Burke et al., (2006) identified 4 categories of person-focused leadership behaviours which

also find face and content validity with the findings in this thesis: these components included

transformational, consideration, empowerment and motivational leadership (see Table 5.5. p.

319). There is clear suggestion of all these person-focused approaches within the findings of this

thesis.

   In developing the work of Burns (1978), Bass (1985) theorised that transformational

leadership creates a meaningful and creative exchange between team members and their leaders

that create a shared vision. It focuses on developing members through mentoring and coaching

and a consensual approach to problem-solving (Bass et al., 2003). At the centre of the

transformational approach is a focus on the team members' motivational states based on Bass's

(1999 p.11) observation of "the leader moving the follower beyond immediate self-interest

through idealized influence (charisma), inspiration, intellectual stimulation, or individualized

consideration". The preliminary findings of this research evidence this approach by AA

participant managers, summed up by their approach to 'We-ness'. It should be noted, however,

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that it is not possible in the findings to qualify their charisma as perceived by those that they

supervise for reasons explored in the limitations shortly.

The person-focused leadership style of consideration explains the maintenance of close

social order, personal relationships and team cohesion (Burke et al., 2006). This is evidenced in

the findings through the IPA cluster of *Valuing Others* incorporating the phenomena of

compassion, empathy, personal development and *others' development*; it is manifested further in

the sample's valuing of diversity, role modelling, open communication and concern for the

individual.

Empowerment leadership behaviours are also a feature of transformational approaches that

facilitate autonomy and self-management by the team and the origins of empowerment team

leadership can be found within several psychological constructs such as social cognitive theory,

cognitive behavior modification and participative goal setting (Pearce and Conger, 2003).

Empowerment suggests a close participative working relationship between the leader and team

member to enable work performance to be monitored, supervised and improved through

feedback. Empowerment is an appropriate description of several of the research participants'

approach as exemplified by Noel's explanation of a shared leadership model: "In the

management standard which I personally have, I believe that leadership comes from a variety of

places. It doesn't just simply come from managers" (NOE480-502/N8).

Motivational team leadership behaviours, as has been established under New's (1996)

synonymous GMC, maintain continual effort and include reward and recognition of work as well

as supportive behaviours by the team leader. The level of the team member's motivation directly

impacts upon "the amount and duration of effort that is put forth in the task" (Burke et al, 2006

p. 294). Leadership behaviours that have been identified as moderators of this motivation

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include encouragement, active consideration and positive comments regarding member capabilities – these are echoed in the phenomena in the IPA cluster of *Valuing Others* and, as an example, are demonstrated explicitly by Paul: "on a day to day basis I will empower people by telling them some of their attributes that are amazing and brilliant" (PAU868-9/N8).

As part of their research, Burke et al., (2006) reviewed academic research into the effects of task-focused and person-focused leadership behaviour on team performance between 1990-2004. The analyses sought to estimate the efficacy of task-focused and person-focused leadership behaviours on perceived team effectiveness, productivity and learning. The findings discovered that under these superordinate headings of task and person-focused leadership behaviours, person-focused leadership efficacy is more evident than task-focused efficacy. Task-related leadership behaviour was positively related to perceived team effectiveness and team productivity, accounting for 11% and 4% of the respective variance. The second analyses of person-focused leadership found that this accounted for 13% of the variance in perceptions of team effectiveness, 8% of the variance in team productivity and 31% of the variance in team learning. In short, person-focused leadership behaviours were more effective for team performance than task-focused behaviours and, in some sub factorial comparisons, it was found to be twice as effective through team productivity – see Table 5.5. Person focused management and productivity.

In consideration of Burke et al's (2006) meta analysis, the sample's dominant leadership style of person-focused leadership can be up to twice as effective for team productivity as task-focused styles and this has significant organisational implications; for example, the AA participant managers all managed budgets and worked within financial targets (Hamilton with his multi-million pound sterling inner city urban development projects, Ron with his multi-million US dollar new capital city hospital development and Hugh with an operating budget of

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several hundred million US dollars); this difference between the efficacy of transactional and transformational leadership on team productivity can translate into huge financial differences in the real world of business. There is a large body of empirical evidence that proves this relationship between transformational leadership and effective performance (Avolio, 1999; Bass, 1998; Bass et al., 2003; Neilson et al., 2008; Burke et al 2006).

Table 5.5.   Person-focused management and productivity

Percentage of variance in team performance outcomes accounted for by leadership behaviours:

	Team effectiveness (%)	Team productivity (%)	Team learning (%)
Task focused	**11**	**4**	**-**
Person-focused	**13**	**8**	**31**
Transactional	6	-	-
Initiating structure	10	4	-
Boundary spanning	24	-	-
Transformational	11	6	-
Consideration	6	5	-
Empowerment	22	10	31
Motivational	-	9	-

Fittingly, those who have undergone their own personal transformation on their recovery journey through AA's 12 Step programme display transformational behaviours. Salas et al. (1992) caution, however, that effective teams demonstrate both task-focused skills and team-focused working skills. Maybe managers need both – and the sample gave evidence of valuing the employment contract transaction as the starting point of their role through their *contractual responsibilities*. In the same way that Burke (2011 p. 199) writes that theory x and y are not a dichotomy (more a continuum along which the skilled managers travels depending on situational influences), task-focused and person-focused leadership styles should not be dichotomous either. It is not a case of the manager being either/or, but following a transactional goal through transformational leadership style. Within the findings, there is evidence that the AA participant managers demonstrated some transactional approaches (i.e. goal awareness) to team leadership

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but demonstrated all transformational approaches. This echoes Bass' (1985) historic difference to Burns' (1978) original concept of transformational leadership – Bass argued that the best managers are both transactional and transformational.

5.2.8.2. 12 Steps, leadership and servant leaders. Yukl and Latham (1978) argued that those with an internal LOC are likely to adopt more difficult personal goals and have a greater need for success and achievement than externals, resulting in stronger intrinsic motivation. Phares (1976) concluded that internals have an ability to defer gratification to satisfy their need for achievement displayed by the servant leader. Quite simply, a demonstration of self-discipline. The quality of *self management* in the data reflect this component of the servant leadership concept (Greenleaf, 1970) raised by Zohar (1997, 2000 and 2005) in her work on SI. AA participant managers such as Claudia make a clear statement of sacrifice relating to achieving their goals - in this case maintaining their sobriety - by performing competently at work through demonstrating a willingness to take their Higher Power's guidance irrespective of the personal cost (CLA439-41/S3). However, there is a reservation about this observation that relates to whether the AA participant managers mirror the servant leader quality of deferred gratification in an altruistic sense because the outcomes of *empathy* and *compassion* are contingent upon the AA participant managers' priority – their own wellbeing.

In support of the servant leader concept (Greenleaf, 1970) and its face correlation with the sample's management approach, *honesty* and *professional integrity* were identified as important phenomena in the findings, along with *ethicality, doing one's best* and *contractual responsibility.* The phenomenon of *honesty* is also supported as an antecedent to team management efficacy in the research on LOC: specifically, internals have been found to rely on effort to ensure their achievement rather than manipulation and deception. Mudrack's (1990) meta analysis found a negative association with machiavellian behaviour and an internal LOC. Servant leadership

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arises as the opposite end of a continuum to machiavellianism. The samples' sense of ethical

team leadership and organisational management, coupled with their ability to act with

professional integrity and acute sense of *contractual responsibility*, echoes dimensions identified

as part of the servant leadership qualities referred to in the literature review (p.95). The concept

has prompted academic research over the last 20 years and this has facilitated the development of

several constructs and measures, for example by Barbuto and Wheeler (2006), Liden, Wayne,

Zhao and Henderson (2008) and Spears (1995).

Barbuto and Wheeler (2006) contributed to the development of the concept through their

servant leadership construct which defined 5 domains - altruistic calling, emotional healing,

wisdom, persuasive mapping and organisational stewardship. Using these domains for

discussion, it is possible to compare the AA participant managers' approach to their

organisational role with these components and this exploration reveals some unexpected caveats.

Altruistic calling (Barbuto and Wheeler, 2006) describes the conscious decision by the

leader to serve others such as teams, the wider organisation and society, and is a primary

philosophy of this leadership style (see Greenleaf, 1970). This altruistic approach captures

Knickerbocker's definition (2003) of altruism as behaving prosocially regardless of self

promotion. By adopting the servant leader approach, manager's behaviour generates trust and

commitment in a similar way to positive LMX outcomes. Whilst this research has not set out to

identify 'purpose or calling' within the sample, comment is merited about the AA participant

managers' 'meaning': several managers, not unsurprisingly, work in what might be described as

social welfare settings but this appears coincidental. Analysis of the IPA interviews reveals that

the sample's own well-being was very much their priority and this is perhaps an enactment of

AA's primary purpose expressed in AA's Preamble read out at the beginning of meetings: "our

primary purpose is to stay sober and help other alcoholics to achieve sobriety" (AA, 1947).

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There is no conclusive evidence that altruism is a primary motivator for this sample because the ultimate motivation is survival – at least when in the early stages of a 'rock bottom' (although spirituality and *compassion* may develop later in recovery as a result of a spiritual awakening in Step 12). Altruism is an outcome of the 12 Step programme but is used as a mechanism to achieve the goal of sobriety.

Emotional healing (Barbuto and Wheeler, 2006) describes the leader's acknowledgement of the need to support team members or followers in the broad sense of holistic wellbeing from a spiritual perspective. This component resonates with the construct of EI (Payne, 1985) explored in the next section and rests on the qualities found in the IPA of *empathy, compassion* and *development – others* in the cluster of *Valuing Others*. Clearly the antecedent to learning about issues that staff may be facing in their personal and professional lives are open communication and trust - therefore this component is part of a causal loop. The trust and respect that encourages such disclosure then leads to further trust and respect from authentic emotional support. The *Valuing Others* cluster and the Step 12 calling (to help others who may be suffering) do give a picture of the AA participant managers being sensitive to other's suffering, knowledgeable about how to help these people and a willingness in some cases to intervene (and a lack of willingness in others, owing to the conflict of maintaining anonymity at work).

Barbuto and Wheeler (2006 p.25) definition summarises wisdom as "an ability to pick up cues from the environment and to recognize possible consequences and implications of their observations". Certainly those in a leadership position need to have a strong awareness of human behaviours and their relation to specified goals and then have the skills to influence courses of action – or "control" as New (1996) suggests in his GMC of motivation. Such ability – if used with integrity – can help foster trust deemed important in effective LMX. In the discussion about Step 12, the sample all gave evidence of 'picking up cues' from others (for

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example, Hugh: HUG1064-9/S12, Ron: RON1024-31/S12 and Sally: SAL348-12/S12) as

Maddie explained: "it increases understanding and subtlety; you see the answers where you

didn't see them before and you can pick up small things and detect weak signals and that's a

good thing" (MAD814-834/12). The definition of wisdom corresponds with the sample's

sensitivity to receiving cues from their environment and colleagues and their own personal

experience of transformation born out of struggle. The tools picked up within the AA

programme constitute a sound source of wisdom relating to human behaviours such as *personal*

human limitations and *powerlessness*. Furthermore, the AA programme would challenge the

literature on management competencies (especially the field of organisational psychology

(Campion et al., 2011)) for ignoring the huge impact that life experience can have on managerial

competencies – life experience is only suggested as a positive contributor to managerial

competencies by a few such as Zemke and Kramlinger (1982 p. 29) with many commentators

claiming that management competencies can be taught through higher education and workplace

interventions (Burgoyne et al., 2004) or that they are innate (Bentz, 1990; Stogdill, 1974).

However, these commentators underplay the observation that the wisdom required by managers

– suggested only in this concept of servant leadership - is earned and learned through concepts

such as AA's 'rock bottom' that facilitates such *personal development* as identified in the

literature and explained in detail by the psychiatrist Dr. Harry Tiebout's observations of the 12

Step process (AA, 2001 pp xxvi-xxxii).

Under the component of persuasive mapping, the servant leader uses logic and reasoning to

help followers' cognitive processes. This requires the leader to use clear communication

techniques to create mental images and constructs to solve problems and generate effective

outcomes. Such an approach also requires the leader to have knowledge and experience to

predict successful courses of action that, when delivered effectively, create stronger LMX

relationships based on credibility and trust. Again, it is possible to infer from the IPA findings

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that the sample had become skilled communicators in the following ways: their enhanced ability

to listen to others and wanting to facilitate their development, the managers' willingness to

communicate with *forthrightness* in context of their *contractual responsibility* and their need for

honesty.

Organisational stewardship (Barbuto and Wheeler, 2006) is the fifth domain which

describes the leader's influence over the organisation with regard to wider societal contribution

and would now include positive corporate social responsibility attitudes. This regard for societal

development is underpinned with the leader's promotion of *ethicality* through their work and that

of the wider organisation (environmental sustainability might be an example of current thinking

in this area). Again, the outcome of this leadership approach is a strengthened dyadic

relationship with subordinates through greater trust. However, within the findings there is no

explicit evidence that the sample might show either greater organisational citizenship behaviour

(OCB) (Organ, 1988) or organisational stewardship; possibly, their ability to enact their

contractual responsibilities with *honesty* and *professional integrity* would suggest that they are

able to deliver their management function and therefore help the organisation achieve its

mission. Further research into this area might enquire as to whether AA participant managers

display above average OCB (Organ, 1988) because of the outcomes of working the programme,

helping to explore whether such recovering alcoholics are 'better' employees than those that

have not suffered from alcoholism.

Barbuto and Hayden (2011) examined relationships between servant leadership and LMX

through both manager-rated and subordinate-rated questionnaires; they analysed the data through

a hierarchical regression model with the servant leader domains (Barbuto and Wheeler, 2006) as

independent variables and LMX as the dependent variable. The study found that the dimensions

of servant leadership were significantly positively related to LMX. Specifically, the research

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identified emotional healing as the strongest moderator of positive LMX, summarising that

"those leaders who are perceived as able, and willing, to connect with colleagues on an

emotional level build strong, positive relationships with these colleagues" (Barbuto and Hayden,

2011 p. 30). Such behaviours can be linked to the findings of this research and, in particular, the

clusters of *Valuing Others* with its components of *compassion, empathy, equality, difference* and

open mistakes – others. However, whilst there appears to be correlation at face value with

servant leadership theories, there is a degree of egoic prioritizing amongst the sample that may

suggest their own wellbeing actually comes first, above and beyond others. The peculiar

observation is that in order to prioritise themselves, AA suggests that to achieve sobriety a causal

mechanism is *Valuing Others*. A caveat worth noting in the sample, though, is found in Penner,

Dovidio, Piliavin and Schroeder (2005) who dispute altruism theories by associating 'service'

with intrinsic self reward for the helper; their position suggests that pure altruistic behaviour is

egoic because, even if the altruist wants to do good, it is for their own ends – their own sense of

ethicality, morality or purpose. In this way, AA participant managers become selfish altruists as

an outcome of working the 12 Steps. This research supports Penner et al.'s (2005) observations.

5.2.8.3. 12 Steps, leadership and role modeling. The effectiveness of role modeling

depends on the attributes of the model and on the person observing the model (Bandura, 1986).

The ability to defer gratification associated with servant leadership by Phares (1976) is observed

in the participants but any previous cynicism regarding whether their motives are ultimately

egoic may be irrelevant in behavioural terms because not 'being a model' is not an option to the

recovering alcoholic who follows the 12 Steps. Their very lives, it appears, depend on it. They

have no option but to behave in certain ways that make them a coincidental role model.

Relationships with transformational leadership qualities such as role modeling - irrespective of

the role model's motivation - suggests that followers are motivated beyond self interest to work

towards effectiveness and efficiency and contribute to organisational success. Through idealised

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influence (Bass, 1990), leaders act as role models – basically the way that they behave

encourages team members towards task and team effectiveness, particularly if their efforts are

noticed.

Furthermore, team members' perceptions of accountability may provide an explanatory

mechanism for why team leaders can influence the team's behavioural and cognitive actions

(what Burke et al., (2006) call 'back-up behaviour'); Burke et al., (2006 p.302) explain this role

modeling influence: "it is the enactment by all and this starts with the leader of cognitive and

behavioral actions over time which ultimately results in the team performance". In this fashion,

Noel explains that his team behaviour is directly related to his own behaviour as a manager

providing evidence of this concept of 'back up' behaviour: "You can't be doing that well on a

Monday and Tuesday and doing it middle of the road on Wednesday and very badly on Thursday

and Friday because it doesn't work. It only creates confusion" (NOE146-59/N6).

A lack of commitment to effective management approaches does not seem to be an option

to the AA participant manager - indeed, dramatic as it may sound, it is actually life-threatening

to the sample whose very mental, physical, emotional and spiritual well-being is dependent upon

them working the programme of AA as part of their daily lives. The AA participant managers

not only reflect proven efficacious management approaches but they also do it, as hypocrisy and

contradictory standards undermine their very sobriety.

Professional integrity and other phenomena established under the cluster of *Truth* demands

that the participants model standards - even when others do not. There is a broader related

question about why managers and leaders at large, in spite of vast evidence about the efficacy of

theory y and transformational styles, fail to follow these approaches (Saporito, 1986). A possible

explanation may be found in the power of organisational culture over ethical standards – for

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example, as evidenced in the contemporary London Interbank Offered Rate (LIBOR) scandal (BBC News, 2013). But through Step 3, the sample have a divine cosmic context and a new found internal LOC that says they must consistently do it – or end up picking up their next drink. The AA participant managers sense the ultimate motivation to display effective management approaches because of the 12 Steps – do it or die.

What is more, with regard to underperformance by senior colleagues, the AA participant managers have the ultimate get out clause; they are able to tolerate under performance by their senior colleagues or even the organisation, by referring back to Step 1 and their own personal *powerlessness* over people, places, things and situations. In this way, the sample are in a win-win situation when it comes to reducing stress: if a problem is their own fault they can do something about it by taking responsibility; if a problem is their line manager's fault, they can reduce negative effect by referring to their *powerlessness* and the support of a Higher Power. Possibly related to this position, Ng et al., (2006) successfully predicted in their hypothesis that those with an internal LOC would experience fewer negative experiences at work. The ultimate outcome is that internals experience less stress than externals.

At its most basic level, 'team' leadership is about what leaders do to facilitate team performance (Burke et al., 2006). Saporito (1986) mused over the fact that many managers still do not practice a participative management style - in spite of the strong evidence supporting its effectiveness. This malfeasance has been attributed to several reasons that include a lack of trust in the system by managers, a lack of skill in using a person-centred approach by those in a supervisory position, a lack of time to facilitate more consultative decision-making and planning processes and the fact that senior managers are there based on their experience and knowledge and their roles require them to use that to make immediate effective decisions. Another explanation is offered by Argyris (1971) when he explored theory y and theory x through his

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behavioral pattern a (theory x) and pattern b (theory y) constructs: what he later concluded is

that there was inconsistency in both approaches to management for reasons relating to internal

commitment and this reality was later referred to as "espoused theory" versus "theory in action"

(Argyris and Schohn, 1974) – and this thesis finds the sample of managers committed to 'theory

in action' possibly because the AA 12 Steps predict that 'espoused theory' will not save their

lives.

   5.2.9. Summary of 12 Steps and relevant business psychology theories. The sample's

approach to management shares behaviours identified with efficacious management and

leadership concepts. This is displayed in figure 5.7. on page 279. The 12 Steps inform how the

managers enact their GMCs, not least of all in how they manage, and interact with, subordinates.

They are acutely aware of both human fallibility and their managerial responsibilities. They

demonstrate and share behaviours of both the transactional leader and the transformational

leader. They are both task-focused and team-focused. They operate in theory y and theory x.

Their management approach is founded upon humility and this includes a comprehensive

approach to profound self evaluation. In doing so, the sample may have become coincidental role

models at work. This self evaluation links again to the construct of EI (Payne, 1985) that is

associated frequently by researchers with managerial competency frameworks such as

McClelland (1998), Boyatzis (2009), Wang and Huang (2009), Guillen and Florent-Treacy

(2011), Feyerherm and Rice (2002) and Groves and Vance (2009). What the next section of the

discussion focuses in on is that the 12 Steps of AA (2001) are more evidently an antecedent to EI

(Payne, 1985) rather than SI (Zohar, 1997) as captured by current constructs such as the

Integrated Spiritual Intelligence Scale (Amram and Dryer, 2008).

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5.3. The 12 Steps, GMCs and EI

There has been suggestion through this research that emotional awareness is a key antecedent, causal mechanism and outcome of many of the psychological processes explored in context of the 12 Steps (AA, 2001) and New's (1996) GMC framework. For example, EI (Payne, 1985) is suggested in the IPA findings through the phenomena of *empathy* and *compassion* and it is cited within the literature review relating to spirituality through the servant leader concept (Fry, 2005; Zohar, 1997, 2005). Emotionality also receives several comments in the work psychology research explored earlier in this chapter in context of leader member exchange (LMX) (Dansereau et al., 1975), locus of control (LOC) (Rotter, 1966) and transformational leadership (Bass, 1985). Therefore, it is appropriate to consider and contrast the method and findings in context of EI - even though this construct is something that this research did not set out to address in its pre-thesis focii. As established in the literature, EI is of great importance to the workplace and is an antecedent to successful management performance (Goleman, 1995; Goleman, Boyatzis and McKee, 2001; Groves and Vance, 2009; Guillen and Florent-Treacy, 2011; Momeni, 2009; Wang and Huang, 2009).

5.3.1.   Relating the findings to EI . Beyond the simple definition of EI reviewed in the literature (p. 50 of this thesis), the construct has several models that range, for example, from 2, 3 and 4 to 6 component constructs. In its most simplest form, Gardner's (1983) 2 component construct expressed through intrapersonal and interpersonal intelligence proves to be a good fit for the IPA findings in that phenomena can be placed alongside each side of Gardner's bivariate model: for example, intrapersonal intelligence and the *Self Management* IPA cluster and interpersonal intelligence expressed through the *Valuing Others* IPA cluster. The 12 Step self management loop (see Figure 5.2. p.233) appears to be a catalyst for the EI related processes.

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Table 5.6.   EI managerial competencies (Momeni, 2009) and IPA evidence

EI management competencies	Evidence of EI from findings	IPA Reference
Fostering open communication and Information flow	*It's essentially not to have the elephant in The room. It's pointless in dealing and working with people and managing people if there is…. instinctively you know if there are other things in the way. It's pointless.*	NOE539-43/FR
Demonstrating credibility with honesty and morality and integrity	*It's difficult to give people honest answers but they need to hear it and if I don't give it, then I'm short changing myself and I'm short changing them.*	RON502-5/HON
Valuing others by providing opportunities for development,	*My work means that I have the opportunity to watch people become the best people they can.*	SAL883-5/OD
Including the opinions of employees in decision-making,	*I recognise that most of the good ideas come from them. I mean I'm not a source of great ideas. I've got some beauties but..... hell I don't know - if we took ten ideas one of them might be mine but the other nine will probably come from the team.*	QUE410-9/S7
Showing sympathy and empathy for employees	*I also think that having a great understanding of my own life and an insight into other people makes me a much better manager.*	PAU1002-4/EMP
Behaving fairly: e.g. in reward systems such as pay and bonuses as well as in recruitment systems and in the way that a manager conflict	*It affects profoundly how I live my life; how I other people. It sounds quite glib but 'treat others as you'd like to be treated yourself.*	MAD628-630/EQU
Demonstrating purpose and meaning in the jobs that employees do to foster motivation and acting with integrity in t he way that the manager behaves and makes decisions	*Particularly in an interview, I would ask the question, 'What do you know about that (hospice)?' or, 'Why do you want to come and work….?' and generally speaking it's a job. Forget the houses and the charity ethos as well – it's a job. But once they get to go out and see the work that we're doing, that assists …how that works further down the line then, they buy into it, they really do.*	BOB178-183/N6

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All the models of EI considered in this research process agree that self awareness, self monitoring and self management are cornerstones of EI; this is mirrored directly at an intrapersonal level in the 12 Step self management loop (Figure 5.2. p. 233) and Guillen and Florent-Treacy's (2011 p. 18) research into EI concurs specifically that self-awareness initiates EI. Having considered over 60 constructs of EI, Momeni (2009) concludes the central components of EI as being; self- awareness (can I accurately identify my own emotions as they happen?); self-management (can I manage my emotions to achieve a positive outcome?); social awareness (can I accurately identify others' emotions as I interact with them?) and relationship management (can I manage the interaction I have with others constructively and achieve a positive outcome?). These components resound with the study sample's approach to their GMCs. Momeni (2009) goes on to specify EI informed management competencies which have been matched with IPA extracts from the findings exhibiting these EI qualities. see Table 5.6: EI managerial competencies (Momeni, 2009) and IPA evidence.

When theoretically considered as an antecedent of EI, the 12 Steps are seen further to foster the GMCs of leadership, coordination and motivation and, in turn, moderating managers' decision making, role modeling and team trust. Ultimately, the variable moderated by these factors, according to the last section, is successful performance.

5.3.1.1. 12 Steps, EI and leadership. The relationship between EI and the GMC of leadership emerges in the literature with specific reference to the premise that "an emotionally intelligent leader can monitor for the better through self-management, understand their impact through empathy, and act in ways that boost others' moods through relationship management" (Goleman et al., 2001 p. 48). Jordan and Lawrence (2009) concurred that relationship management is a key outcome of the self management component of EI. Further resonance with the outcomes of AA's 12 Steps is suggested in Bar-On's (1997) model of EI that could almost be

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forged from the philosophy of Bill Wilson himself in early drafts of Step 12; specifically, it describes the individual's ability to deal with daily environment challenges and it helps predict one's success in life, including professional and personal pursuits.

5.3.1.2. 12 Steps, EI and management decisions. With regard to Momeni's (2009) EI components of social awareness and relationship management, Law, Wong and Song (2004) posited that individuals with the ability to identify and understand their emotions and the emotions of others are better able to predict emotional responses - implicitly, they are better people managers because they use EI to inform their decisions. The decision-making process implicit in each of New's GMCs is explained through the emotionally intelligent interaction with others and the psychological relationships between cognitive and affective domains. Groves and Vance (2009) expanded upon this EI process to facilitate thinking by utilizing emotions. Individuals with advanced skills in this EI branch use emotions to "focus attention on important issues, make decisions among competing and similar options, make choices among an unruly number of alternatives, and enhance the flexibility of information processing" (Groves and Vance, 2009 p. 348). They consider the impact on people in their decision-making cognitions. Emotionally intelligent managers are person-focused in the way they enact GMCs such as motivation, coordination and leadership.

These EI abilities echo the IPA phenomena of *controlled reactions* under the cluster of *Self Management* and *empathy* under the cluster of *Valuing Others*; these phenomena are propagated by the intrapersonal processes of steps 4, 6, 7 and 10 – through the *personal behaviour inventory* and extended through the interpersonal processes (the consideration of others) implicit in Steps 4, 8, 9 and 10 processes.

5.3.1.3. 12 Steps, EI and motivation. The outcome of intrapersonal and interpersonal

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emotional awareness and emotional management is posited as psychological well-being and enhanced motivation (Goleman, 1995). EI is suggested as the foundation for workplace trust (Guillen and Florent-Treacy, 2011) fostering positive workplace relationships leading, in turn, to productivity; in this way EI is related crucially to the GMCs of motivation and leadership (Law et al., 2004; Momeni, 2009; Mayer, Salovey and Caruso, 2002). For these reasons, managers' EI is an important moderator of LOC, effecting LMX and transformational leadership styles – exemplified by the sample's approach to their GMCs.

EI is commonly used within competency frameworks at a highly granulated level for specific managerial, supervisory and leadership roles in job descriptions and person specifications, as it directly affects the cognitive process and resultant workplace performance (Wenzlaff and LePage, 2000). The majority of research conducted to date cited in this chapter shows a positive relationship between EI and workplace performance through enhanced motivation of staff (for an exception see Feyerherm and Rice (2002)).

5.3.1.4. 12 Steps, EI and organisational climate. Momeni (2009) found that there is a direct relationship between organisational climate and the EI of managers with more than 70% of employees' perceptions of organisational climate being directly shaped by their manager's style of leadership and emotional behavior. In turn, employees' perceptions influence their own morale, emotions and behaviours, demonstrating the causal loop between managers' emotional behaviour and a subordinate's emotional behaviour. Momeni's (2009) research, using regression analysis, indicated that the majority of organisational climate (OC) (55%) is directly related to the EI of managers. This relationship was demonstrated in the findings by the participants such as Noel's leadership through a "sick" climate at work (NOE56-62/N2), Paul when he spoke of managing the effects of change on this team (PAU269-83/N7) and Hamilton's relating the GMC of organisation to the global financial crisis (HAM180-196/N7). The AA participant managers

were acutely aware – at an emotional level - of the team's commitment, motivation and cohesion.

In relation to the IPA clusters of *Self Management* and *Valuing Others*, Momeni (2009) and Golemen (2001) both found that the superordinate dimensions of EI - self awareness and social awareness - have the most significant relationship to OC. Specifically, the concept of credibility was most impacted upon by the manager's EI. In this way, EI has an important relationship with the GMC of leadership that New (1996) rests on influencing others – not least of all through role modelling and idealised influence (Bass, 1985, 1990). The AA participant managers are aware of their moderating effect on subordinates through the way that they themselves behave. They need to model standards as part of their spiritual programme.

The relationship between EI and OC is paramount to organisational success; Goleman et al., (2001) explored the relationship that OC - moderated by EI - has on profitability within organisations: OC accounted for up to 30% of financial return. These findings suggest that in the post global financial crisis era, organisations should pay more attention to emotional awareness as a key management competency as demonstrated by the AA participant managers.

5.3.1.5. The 12 Steps, EI and trust. As an extension of these behavioural recommendations, Barczak et al., (2010) argued that trust and collaboration within a team are influenced by managers specifically. In their empirical study into the relationship between EI and trust within a team, they explored more detailed relationships among team EI, team trust and collaboration and the impact of these variables as antecedents to creativity. Performance in teams is linked to EI though the variable of trust which facilitates diversity of thought to inform the decision-making process. Higher EI promotes trust and, in turn, trust facilitates cooperation that enables diversity and creativity within a team to be fostered. Research also suggests that

emotionally intelligent teams are better able to overcome potential conflict (Druskat and Wolff, 2001; Jordan and Lawrence, 2009). In such a team, individuals are better able to tolerate (if not celebrate) different points of view, experience open communication to solve any intra group problems and are directed towards achieving common team goals. Trust is a prerequisite of team efficacy and is dependent upon "emotional bonds and perceived competencies of individual members" (Barczak et al., 2010 pg. 332). Through the phenomena of *professional integrity, honesty, contractual responsibility, forthright, technical competence* and *ethicality*, the AA participant managers act as the custodians of trust for their subordinates.

5.3.1.6. 12 Steps, EI and role modelling. Kanawattanachai and Yoo (2002 p.43) defined trust among team members as "the extent to which a person is confident in, and willing to act on the basis of, the words, actions and decisions of another". As explored, the component of trust rests upon the influence of the manager by the way that they behave, not in 'espoused theory' (Argyris and Schohn, 1974). Maddie recognises this in the findings when she says: "I guess to build motivation in others I use enthusiasm and I draw on my own personal motivation and enthusiasm and if I don't have that, I can't do it; I can't use that on other people" (MAD230-233/N6). Team success is moderated by the modeling and influence of the leader such as Maddie – indeed, the greatest deal breaker in workplace behaviours seems to be if the managers do not perform competently, why should the subordinate?

Barczak et al., (2010 p 340) explored antecedents for trust in more detail. They differentiated cognitive trust from affective trust by explaining the latter as the emotional relationship between team members resulting from interpersonal care and concern. These approaches are demonstrated through the IPA clusters of *Valuing Others and Good Manager Behaviour*; the latter grouping includes explicit examples of perceived 'good managers' such as Ron's description: "they know how to treat people" (RON1217/EMP/GMB); Bob's requirement

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for "empathy with the team" (BOB809/EMP/GMB) and Rhian's requirement: "I'd want them to be connected" (RHI752-3/EMP/GMB).

Guillen and Florent-Treacy (2011 p. 15) found that team cohesion was mediated by inspirational leadership behaviours moderated by the variable of trust and the issue of role modeling by the manager appears once again in this study through the concept of idealized influence (Bass, 1990 and1999). In addition, Yukl (1999) argued that by emulating the philosophies of the team manager, followers of transformational leaders identify with and contribute to the vision of the team through social learning theory (Bandura, 1977) and social identity theory (Tajfel and Turner, 1986). These leaders have the ability to transform the self-concepts of their team members to build identification with the shared team goals and organisational mission (Barbutto and Hayden, 2011; Barczak et al, 2010; Shamir, Zakay, Breinin and Popper, 1993; Wang and Huang, 2009).

The humble management approach shared by the participants explored earlier in context of Step 7, however, does not preclude the fact that managers are responsible ultimately for results; under the action centred leadership (Adair, 1973) philosophy, that management is achievement through people, the manager accepts and understands that they are accountable for cohesiveness, performance and organisational goals. The manager is the key moderator between employees and organisational success (Barber et al., 1999; Rucci et al., 1998). They are also, to an extent, accountable for the discipline and attitude of their team (Wang and Huang, 2009). These observations raise an important point echoing the earlier comments with regard to task and person-focused leadership by the manager: too much person focus (that is EI) can lead to insipid management. As has been suggested, the sample is acutely aware of their organisational function and fulfils this through acting with *forthrightness* in context of their *contractual responsibility*. The sample assert themselves. This echoes the 'humility with willingness'

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identified by Collins' (2005 p.136) as qualities of the very best leaders – although he is exacting in applying this to chief officer level only (he sees general management as Level 3 leadership).

    5.3.1.7. 12 Steps, EI and 'We-ness'. In a recent piece of research into the concept of transformational leadership , Guillen and Florent-Treacy (2011) suggest that leadership effectiveness can be defined through 2 workplace concepts – 'getting along behaviours' (teamwork and the empowerment of others both facilitated by leader) and 'getting ahead behaviours' (visioning, energizing, designing and rewarding all facilitated by leader). They conducted research on the effects of EI on these leadership focii using a sample of 929 managers and 7771 subordinate observers to provide feedback on management performance. The data were collected through the administration of a leadership behaviour instrument, the Global Executive Leadership Inventory (Kets de Vries et al, 2004). Guillen and Florent-Treacy's (2011) research found that the way the team worked (the getting along behaviours) was the dependent variable mediating the link between team success (getting ahead behaviours) and EI. In deduction, in context of organisational performance, the leader's facilitation of team collaboration and cooperation can be paramount. Florida and Goodnight (2005) argued that team working is considered the greatest asset in many organisations and that their success in the future relies on both team working and creativity.

    Chen (2007 p.239) defined the word 'team' as a group of individuals where "talent, energy and skills are integrated into a team, and this collective capacity to innovate becomes greater than the sum of individual contributions"; this definition is demonstrated by the sample's approach to participative management respecting the role of the individual, the task and the team posited by Adair's (1973) action centred leadership approach. It is also expressed in the shared philosophy of 'We-ness'. This 'We-ness' espoused by the participants (e.g. Sal:SAL97-106/N6, Bob:Bob36-53/N1 and Quentin:QUE410-9/S7) pivots on both managerial style and their

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behaviour; the findings suggest that 'We-ness' is moderated by trust and results in group cohesiveness (defined as the resultant forces that act on the group members to remain in the group – see Festinger, Schacter and Back (1950)). As an example, Noel explains the relationship of 'We' theory to group cohesion: "I don't have all the answers here but, collectively, we may have the answers" (NOE483-486/S7). This 'We' factor facilitates group cohesiveness that is correlated with productivity (Podsakoff, Ahearne and MacKenzie, 1997).

5.3.1.8. The 12 Steps, EI and transformational leaders. Cohesiveness leads to the followers becoming committed to team goals and applying themselves to the achievement of those goals as evidenced by Wang and Huang (2009): their results from hierarchical regression analysis found that the standardized regression weight of EI was significant for both transformational leadership and group cohesiveness. These results demonstrate that transformational leadership is significantly related to EI. The findings demonstrated also a positive relationship between transformational leadership and cohesiveness, accounting for over a third (37.7%) of the variance in group cohesiveness. This finding is consistent with previous results (Bass, 1990; Yukl, 1999).

In enacting a transformational style, the recognition of the emotions of others is critical to a leader's capability to motivate and lead and this recognition is evidenced explicitly in both in the IPA (HUG1064-9/S12; RON1024-31/S12; SAL348-12/S12) and Workplace Observation findings (for example, Noel and staff conflict NOE/OB/17/N3); if transformational leaders understand how others feel, they are able to meet the emotional needs of each employee and show empathy to followers (Bass, 1990). Wang and Huang (2009) also found that those in management and leadership function demonstrate transformational leadership through: self-emotional appraisals, others' emotional appraisals, regulation of emotions and constructive use

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of emotions. These components are accommodated in the IPA clusters of *Self Management* and *Valuing Others*.

The sample's approach to team goals through the concept of 'We-ness' is dependent on this emotional awareness as acknowledged by Adair's (2002 p. 79) claim that 'We' is the most important word in leadership and 'I' is the least important word. This collective approach supports transformational approaches in that "within the study of management and leadership, the transformational school demonstrates the best efficacy for close engagement between leaders and followers that motivates the latter to perform beyond their transactional agreements" (Wang and Huang, 2009 p. 381). For the AA participant managers', 'We-ness' is the basis of their workplace relationship with their team, operating from an ontological basis of collective human fallibility. Enhanced EI.

Within the field of business psychology, transformational leadership (Bass, 1985) is one of the most dominantly cited theories (McKenna, 2011). Indeed, going further, several writers have identified it as the most widely used leadership paradigm (Saporito, 1986; Burke et al., 2006). Wang and Huang (2009 p. 381) posited that this relationship – between managers and followers - is going to be more important in the future because of the global financial crisis of 2007, as the pace of change that organisations have to deal with is increasing and, in turn, this will demand that organisations be more reflexive by working in smaller teams wherein team leadership will have greater direct impact in a closer group environment.

5.3.2.   12 Steps, EI and GMCs – reservations about balance. As a contemporary extension of transformational leadership (Bass, 1985), the concept of 'getting along behaviours' (Guillen and Florent-Treacy, 2011) at work suggests that being both the manager of the team and a member of the team is a crucial dual aspect of management function. With the AA

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participant managers, balance is achieved via the clusters of *Valuing Others* and *Managerial Role*: too much EI could lean the manager towards valuing the team too much (person-focus) whereas too much focus on their managerial role might lean them to being task-focused. Florida and Goodnight (2005) argued also that the right amount of emotional consideration can promote creativity but too much consideration and awareness of others (EI) can reduce creativity by avoiding risk-taking (for fear of causing distress).

In consideration of New's GMC of creativity and EI, Zhou and George (2003) concluded cognitive sub-processes underlying creativity depend upon non-linear thinking processes that relate to components of EI: for example, when enacting New's (1996) change management GMC, once a change objective has been identified, team dissatisfaction with the process for change may be sensed by the emotionally intelligent manager enabling them to alter the change strategy. However, this emotional reflexivity may be stifled for the AA participant manager who, under the philosophies of proximal goal setting, may choose more predictable work processes as opposed to risking emotional upset (not least of all for themselves) by trying to be highly creative and initiate change. They are trained to identify and pursue a simple life which may be counter-productive to creativity. The participants produced no evidence of being highly creative managers nor being risk takers. They are 'conservative' managers when it comes to decision making. In turn, this 'allergy' to risk suggests that the sample may be better operational managers than organisational leaders, who are required to create vision for an entire organisation. AA participant managers intuitively need to keep a low profile to avoid stress.

5.3.3.   Summary of EI, AA's 12 Steps and general management competencies. The findings of this research suggest that several of the IPA phenomena fit snugly under EI constructs - arguably more clearly than under the construct of SI. As a result of recent academic research, it would appear possible - maybe even probable – that the 12 Steps of AA are both

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antecedents to and causal mechanisms that facilitate the development of EI. Further

independent research is needed to corroborate this. Going further, this research leads to a belief

that it is 'spirituality' that can be an antecedent and causal mechanism leading to EI - through

such mechanisms of the 12 Step self management loop (See Figure 5.2. p.233) and the

phenomena of s*ympathy, empathy* and *compassion* under the umbrella of *Valuing Others*.

Momeni (2009) and Groves and Vance (2009) concluded from their research that the link

between linear thinking and emotional regulation has significant considerations for the

development of managers and leaders. They need the ability to both consider emotions and

operate in a linear thinking style in order to identify, work towards and achieve agreed team

goals. The key here is a managerial approach that works within transactional organisational

targets via a transformational style. This approach is initiated by the manager's own self

awareness promoted through Step 1, 4,5,6,7,8, 9 and 10 explained through the 12 Step self

management loop (p.233). Goleman (1998) and Groves and Vance (2009) concurred that self-

regulation and employing controlled reason and analysis, are essential abilities for leaders in

building an atmosphere of trust and fairness and coping well in competitive environments. Self

regulation and controlled reason are clearly evident in the AA participant managers.

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5.4. 12 Steps, GMCs and spiritual intelligence

The aims of this research stated on page 128 included exploring the concepts and definitions of spiritual intelligence (SI) at work and associated competencies. The second research question also probes the relationship between the 12 Steps and SI. This section, therefore, attempts to explore these provocations about SI in context of the data.

5.4.1. Does working the 12 Step programme lead to SI? The literature review revealed repeated academic concern about the validity of SI and these reservations are apparent within these findings: specifically, these concerns were qualified as:

- it is not possible to measure spirituality empirically (Zohar and Marshall, 2000)

- the academic debate about evidencing 'virtuous behaviours' (Emmons, 2000a).

- Sternberg's (1988) criticism of Gardner's (1983 and 1997) multiple intelligence criteria demanding evidence via gurus (Sternberg asks what does 'normal' look like?)

- the domain debate (Gardner, 1997 and 2000): those who are religious may not necessarily be spiritual as religion can be a domain of spirituality but it does not follow that spirituality is a domain of religion - it may be egoically motivated

- problems with the validity of SI constructs.

Concerns regarding the ability to measure SI apply to the Integrated Spiritual Intelligence Scale (ISIS) (Amram and Dryer, 2008) and this needs discussing because the results of the ISIS method were surprising in that they did not reveal a significantly higher SI amongst the sample compared to the other existing norms (see Tables 4.8. and 4.9. on pages 211 and 212). Despite the strong psychometric properties reported for Amram and Dryer's (2008) research with the ISIS construct, their study suffers from a range of limitations (some of which are reported on by Amram and Dryer, 2008 p. 35) that include: the reservations about self-reported measures and

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the temptation for socially desired responses and impression management; the fact that there are a lack of independent studies replicating use the questionnaire; the vague nature of the higher order domains and the recruitment techniques used for their norms. These reservations may well be justified considering the finding that business leaders with spirituality 'outperformed' spiritual leaders in the comparison norms from Amram and Dryer's (2008) study on SI.

What is vital here is to ask what did people see in the group of business leaders (that constituted norm 3) to nominate them (as part of the research recruitment process) for the embodiment of spirituality? The naming of specific behaviours for this recruitment is important to academic enquiry. Amram and Dryer's claim, that this norm scored higher than other groups because they had greater SI, is questionable: a more correct statement might be that norm 3 (business leaders nominated for spirituality) scored higher because they *appeared* to have greater SI – their SI was noticeable and therefore measurable. Arguably, this apparent display of SI may reveal a lack of SI when consideration is given to the key quality of humility.

Amram and Dryer (2008, pp29-30) acknowledge that the validity of the higher order ISIS domain scales and the capability subscales needs further research. For example, they admit that their capabilities of compassion and empathy may represent their own domain (they are currently coming under the domain of 'relatedness' which reflects the IPA cluster of *Valuing Others*). They also caution that a number of their higher order domains should be treated as temporary components owing to lower internal consistency compared to other domains.

5.4.2. Identifying low, normal and high SI. In conducting the research for this thesis, several open meetings of AA were attended and this revealed some of the fellowship's protocols: in consideration of the effectiveness of the ISIS (Amram and Dryer, 2008) questionnaire, these AA protocols may have compromised the responses of the AA participant managers and may

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explain their comparative low scoring when compared to other non-spiritually nominated norms such as norm 2, the general US population. Under closer scrutiny, this key concern emerges in the wordings of the items within the questionnaire (see Appendix H: ISIS Questionnaire p.XXXVII). These issues are of an ontological nature and relate to the academic challenge of identifying low, normal or high SI amongst people, expanding upon Sternberg's (1988) criticism of Gardner's (1983) intelligence criteria demanding evidence via gurus - basically what does 'normal' look like when trying to prove an intelligence concept.

The first AA protocol of concern is that each person within the fellowship regards themselves in the present tense as 'a recovering alcoholic' - this phrase is used to introduce each participant within AA open meetings and appears to hold the attendee constantly in a psychological 'state' of being a fallible human being with an illness - they are not recovered. This phrasing appears to be related to Step 1 and maintaining a state of *powerlessness* that then becomes a platform from which the programme is applied. The IPA data evidence this. However, they are held in a dual psychological state: powerless alcoholic and someone trying to live an abstinence programme based on a spiritual awakening. A double perspective. So in consideration of the ISIS items, this could apply in the sense that individuals who aspire to follow a genuine spiritual path do so because they recognise their un-spirituality: they understand that they are 'Not-God' (Kurtz, 1991). Therefore, the preferred responses to score highly on the ISIS instrument become ambiguous: just exactly who is the 'I' implicated in the items? Is it the alcoholic fallible human being or somebody who has arrived some point of a spiritual enlightenment? Step 12 (AA, 2001 p. 56) uses the phrase 'spiritual awakening' not the phrase 'spiritual enlightenment' nor 'spiritual arrival'. If this reservation is applied now to item 22: "I am driven and ruled by fears", it is not clear how the AA participant manager should respond: 'yes, as a powerless alcoholic I am driven and ruled by my fears' or, 'no, as a follower of the 12 Steps I am no longer driven and ruled by my fears – I am recovered!'?

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All of the literature about the AA programme and the findings acknowledges that these individuals are full of fear and for that reason they need help. For somebody who has arrived at some spiritual destination, this fear would have been removed. But for this to be true, it would imply that the alcoholic is recovered - and the 12 Steps do not make this prediction. On the Likert scale used within the ISIS, the AA participant manager could validly answer with the lowest score to many items as a recovering alcoholic full of fear. They are not cured, they are held in a dualistic state of both having a permanent illness and being a spiritual follower of the 12 step programme. As Quentin says in the data, "prayer at home is what I use to set myself up each day just to try to start the day with remembering what I am, which is an alcoholic and actually a recovering one and no big deal" (QUE517-520/PSU).

The second reservation where there may be a paradox in following the 12 Step programme and achieving high SI, as defined by the ISIS construct, is that the AA 12 step programme is a journey not a destination. If one considers the continual state of the self awareness revealed in the data, in consideration of Item 42: "My actions are aligned with my soul, my essential, true nature", a humble answer may score low on the item because the individual acknowledges that the 12 Step spiritual programme is a journey of progress not perfection. Would the alcoholic score 6 on the Likert scale? Or would the alcoholic see themselves as a fallible human being who is trying to achieve the outcome suggested in this Item 42 and, therefore, score a 3 on the Likert scale? If the item began with the phrase "I know that I should and I try my hardest to ensure that…" the AA participant manager might score high. This argument is reinforced by AA's (1953) definition of humility: "a clear recognition of what and who we really are, followed by a sincere attempt to become what we could be" (AA, 1953, p. 78). The phrase 'could be' is where this measurement problem lies.

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This raises a crude provocation: how might somebody who is genuinely spiritual (or trying to be spiritual) answer items about SI, bearing in mind that part of this spirituality would be holding themselves as a fallible human being? There is some wonderment about how his Holiness the Dalai llama might answer the questions: "how enlightened have you been today, your Holiness?" Or "just exactly how humble are you, your Holiness?" Arguably, it is impossible for a truly spiritual person to answer these questions. As a blunt example, The Buddha would not consider himself as The Buddha. The AA 12 Steps do not promise permanent spiritual enlightenment, they promise a spiritual journey to the fallible human being. In an ontological sense, this might be a more true definition of spirituality than the ISIS accommodates – to be on a journey to overcome one's human fallibility.

5.4.3. Evidencing spiritual behaviours. Further reservations about the constructs of SI and self-reported measures arise in consideration of phrases used in the previous sections relating to role modeling, idealised influence and charismatic behaviours (Bass, 1990) - phrases used to describe influential characteristics of the transformational or servant leader. It is somewhat surprising at this stage of this thesis to find support for Gardner's positivist reservation (2000) about Emmons' virtuous behaviours (2000a) in the early development of the latter's concept of SI. Gardner had grounds to muse 'just what do these behaviours look like exactly in terms of intelligence-related abilities?' In the same way, this can be asked of idealised influence and charismatic behaviours. If a truly charismatic person was questioned about their charisma it might be a short conversation, not least of all because the charismatic person may not see their behaviour as charismatic – that lack of vanity is possibly part of the quality. This is the reservation about self-reported measures and SI: spirituality is an internal concept that has significant outcomes and the use of multi-rater feedback instruments might be more beneficial academically to help qualify and assess related behaviours via others' feedback. This has been achieved in context of EI through instruments like Goleman's (2001) Emotional Competence

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Inventory 2.0 that uses a multi-rater methodology. Further studies would do good service in

trying to quantify what it is like to work with someone who follows a spiritual programme in the

workplace (such as an AA participant manager). The experience of their colleagues can help

define the spiritual behaviours and their outcomes. With regard to the ISIS item 25: "I draw on

my compassion in my encounters with others", it would be interesting, and academically crucial,

to see how subordinates would answer this in relation to their manager's behaviour in order to be

valid - especially in context of Hogan's assertion that 75% of subordinates resent their

immediate supervisor (2012) .

5.4.4. The problem of quantifying humility. AA (1953, p.71) claims that humility "is

the foundation of all of its 12 Steps". Reservations about self reported measures stand out as an

area of immediate concern - especially in trying to capture the quality of humility - which is not

named as a separate capability within the ISIS construct. Arguably, true humility is extremely

hard to evidence because it demands modesty - a truly humble person (spiritual) may score

themselves lower than they really are. This is academia's own catch 22 – ask a person if they are

humble and if they say yes, then they are not humble. If they say no, then how does academic

research separate them from people who genuinely are not humble. This current difficulty,

suggested in the literature (Munro, 2010), is a research 'deal breaker' in developing the concept

of SI into a construct using psychometric self reported measures. Humility (found to be a

significant outcome and measure of spirituality in this study) currently cannot be accommodated

for in psychometrics. Furthermore, when it comes to intelligence concepts, psychologists cannot

agree on what 'average' looks likes and therefore they cannot agree on what exemplary

performance looks like.

Does humility affect all the self report measures of SI? If it is a significant outcome of

working the 12 Step programme, which it was observed to be, it needs to be quantified and

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enumerated in the spirit of academic enquiry. Yet this challenge seems to be 'trying to smoke in

a box' and humility is the smoke to which this thesis refers. Measures of SI and EI need

rigorous impression management infrastructure as the qualities of both – such as *humility* or

empathy – are socially desirable in that the opposite qualities (being a big head who does not

care about other people) are challenging to admit. Therefore, claiming to be something –

spiritual – does not mean that one is. In the case of the ISIS, one must enquire (with humility):

why did business leaders nominated for spirituality score higher SI than spiritual leaders?

5.4.5. ISIS content and face validity. In response to the research questions raised on page

128 and the subsequent chapter on methodology, this enquiry has challenged the validity of SI as

a construct and its application at work. The ISIS (Amram and Dryer, 2008) does contribute to

the exploration of validity of SI as a construct and has good epistemological back up. The

grounded theory (Glaser and Strauss, 1967) origin helps tackle any academic myopia and the

failure of positivism to package spirituality – bearing in mind that one can be so busy trying to

hit the target (e.g. Gardner's intelligence criteria) that one misses the point (SI). In its simplest

form, the majority of psychologists including Gardner (1983, 1999), Sternberg (1997b), King

(2008) , Emmons (2000a) and Pinker (1997) concur and define intelligence as 'problem solving'

used in everyday life. The findings of this research, in their simplest form, evidence the

fundamental use of spirituality by the sample to inform their decisions.

Table 5.7.   *ISIS HODS and capabilities   (Amram and Dryer, 2008)*

Consciousness	Grace	Meaning	Transcendence	Truth
Intuition, Mindfulness, and Synthesis	Beauty, Discernment, Freedom, Gratitude, Immanence, and Joy.	Purpose and Service.	Higher-self, Holism, Practice, Relatedness, and Sacredness.	Egolessness Equanimity,Inner-wholeness, Openness, Presence, and Trust.

In terms of content and face validity, the IPA phenomena bear resemblance to the ISIS higher

order domains (HODs) and subscale capabilities (see Table 5.7. ISIS HODS and capabilities).

Resonance is found in the HOD of Truth and the synonymous IPA cluster, the IPA clusters

Higher Power and *Personal Power* may relate to Transcendence and the capability of

Relatedness captures some of the content of the cluster of *Valuing Others*. Further ISIS subscale

capabilities resound further with the phenomena: practice (*prayer*), egolessness (*ego reduction*),

freedom (*fearlessness*) and gratitude (*gratitude*). The cognitive and behavioral aspects of each

of the ISIS components and IPA phenomena may reflect spiritual intentions but the ISIS

construct and IPA outcomes have a different purpose – one is trying to quantify SI, the other is

trying to qualify phenomena related to following the 12 Steps in a management role. In the same

way Emmons (2000a) , Wolman (2001) and Nasel (2004) all present SI constructs in the

literature that are recognisable in terms of spiritual phenomena and spiritual being, but they do

not describe SI to academic satisfaction. King's (2008) components of his SI model (Critical

Existential Thinking, Personal Meaning Production, Transcendental Awareness and Conscious

State Expansion) can be related clearly also to the IPA findings but this match does not prove

this construct of SI as valid.

   5.4.6. Summary on SI and the ISIS. So what of Gardner's (1983) testing ground - his

criterion for an independent intelligence? Does this research add to the debate as to whether SI

constitutes an independent intelligence? In the first instance the IPA provides evidence of

identifiable core operations used by the sample in their cognitive processes. The deployment of

mechanistic phenomena such as *prayer, meditation, controlled reactions*, all facilitated by the

LOC-related transitions they experience, are evidence of this.

   Regarding the call for historical and evolutionary plausibility, a characteristic pattern of

development, potential isolation by brain damage, encoding in a symbol system and support

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from experimental psychology investigations - this research has nothing to offer. It does, however, contribute to this debate about the existence of persons distinguished by the exceptional presence or absence of specific abilities. AA participant managers display a developed ability to use their spirituality to focus them precisely on their transactional work role. They are at least exceptional in their continual self monitoring and probably unique in their philosophy - good management for them is (dramatic as this sounds) a matter of life and death.

Gardner's last criteria - support from psychometric findings - is also not met. This feels a bit disappointing but the truth of the matter is that the current constructs of SI did not describe how the sample use their spirituality to inform their intelligent choices. There is no doubt that the sample draw on this spirituality as the first principle of their existence - their relationship with their Higher Power, a universal creator in summary, is not in doubt. They use this state of being to inform all their decisions. How this spirituality informs their existence is the question which the construct of SI tries to answer. The current available constructs considered as part of this thesis (Emmons, 2000a; King, 2010; Nasel, 2004; Wolman, 2001; Zohar and Marshall, 2000) led to selecting Amran and Dryer's (2008) model that, in turn, has produced the findings that the AA participant managers are not significantly more spiritually intelligent than, say, the general American population. This finding appears incredible and, having interacted with the sample over a period of 2 years to generate the data in this thesis, the ISIS construct does not appear to capture their spirituality nor how it informs their daily managerial role. So the answer to the second research question stated on p.128 is that the ISIS does not describe effectively the relational issues between New's (1996) GMCs and AA's 12 Step programme (2001). SI does help to explain the relationships to the extent that the current models permit. To this end, this thesis finds SI wholly valid as an intelligence concept – but presently immeasurable. SI currently fails in context of construct and criterion validity. In support of the epistemological and ontological choices made in this research, the question still remains: is there any other way

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of researching SI other than through a phenomenological methodology? Kelly et al., (2009 p.252) concluded as much when they accused the empirical school researching how AA works of ignoring 'the complex reality and phenomenology of individuals in AA'. The epistemological and ontological choices for this research explained in the third chapter appear vindicated in that phenomenology produced data that explains intelligent processes (Figure 5.1. on page 220 demonstrates the psychological pathway between spirituality and behaviour) and the complementary use of the empirical ISIS has helped to generate new knowledge in this section to inform future research.

The ISIS construct is part of a relatively new journey for psychology to quantify and enumerate the concept of a SI, just as it has done with EI and cognitive intelligence. A possible challenge is the vast nature of spirituality and religious/spiritual protocols as they are often idiosyncratic. Whilst spiritual aims may be common with all the world's religions and spiritual practices, the process of how to achieve those aims are at least different between denominations. A Sikh, a Muslim, a Roman Catholic and an AA participant manager may share transcendental goals, but they approach these in uncommon ways. James (1902 p.26) captures this vastness and diversity when he says: "the very fact that they are so many and so different from one an other is enough to prove that the word 'religion' cannot stand for any single principal or essence".

The model of a triarchic structure of intelligence offered by Zohar and Marshall (2000) cited on page 59 (Figure 2.3) with spiritual quotient (SQ) leading to emotional quotient (EQ) leading to intelligence quotient (IQ) also appears credible; this thesis finds no quarrel with the structural hierarchy within the model. However, whether spirituality is intelligence in a similar vein to EQ and IQ is problematic - SQ feels too important to constrict it within the concept of a multiple intelligence framework - it feels bigger than that. More like an ontological state rather

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than an intelligence amongst many other intelligences. The literature review explored whether

spirituality is an intelligence and the ISIS contributes to this fledgling concept and these

developmental challenges. The evidence from the data leaves no doubt that the AA participant

manager's use their spirituality to inform their cognitions, emotions and behaviours via

psychological pathways. Therefore the sample use spirituality to inform directly how they enact

GMCs: Noel uses it to inform his leadership style (NOE487-8/OD), Sally uses spirituality to

inform her organisation of resources (SAL211-17/N7), Quentin uses it for creativity

(QUE412/DIF), Mike uses it to inform his action management (MIC44-68/N1), Hamilton uses

his spirituality to motivate others (Ham110-9/N5), Maddie uses it to be enthusiastic about

change management (CLA71/PD), Ron uses it to plan at work (RON596-8/DB) and Paul refers

to his spirituality to inform his coordination of people and tasks (PAU103-15/N3).

On page 157 of this thesis, it was reported that an anonymous alcoholic has refused to

participate in this research on academic ontological grounds; more specifically, his objection was

that it is not possible to measure SI within the confines of academia. Whilst this may have been

(and, at the time, felt like) a snub to this research, one has to acknowledge his position in context

of the debate, remembering the Chinese proverb that "The nine hundred and ninety nine

monkeys without a nose will laugh at the one monkey with a nose" (White, 1983 p.75). The

abstainer's position remains valid.

In the spirit of this thesis, it is hoped that future studies will go further to develop, refine

and validate new versions of valid instruments to help explore SI. As an example and, not

surprisingly given the previous chapter's discussion, Amram and Dryer (2008) suggest that

further research is conducted on discriminant validity relative to other established constructs

such as emotional intelligence (Payne, 1985). They were quite right as this thesis has shown.

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5.5. Summary of discussion.

At this point, this discussion has explored the findings in several contexts. Having considered

the psychological processes mediating the relationship between the 12 Steps and the managerial

role in section 5.1., proximal goal setting, LOC, self efficacy, self esteem and acceptance-based

responding can clearly be identified as psychological factors influenced by following the 12 Step

programme at work as explained through the IPA phenomena, Workplace Observation data and

qualities related to spiritual intelligence. The discussion has then established associations with a

broad range of business psychology concepts at the end of section 5.1. and these are identified in

Figure 5.7. (Relevant business psychology concepts and 12 Step outcomes) on page 279. The

data reveal that the sample – arguably uniquely - display a complete balanced range of

managerial approaches linked to efficacy. This balanced approach is prized by the likes of Adair

(1973 and 1983), Bass (1986), Burke (2011) and Salas et al. (1992). The next section has

explained the apparent relationship between following the 12 Steps at work as a manager and EI

components and, finally, the last part of this chapter discussed the application of SI in this study

and its inherent epistemological and ontological limitations that affect the reliability and validity

of existing SI constructs.   Ultimately, the discussion has centred around the position that the 12

Steps have primary influence on the AA participant managers and how they enact GMCs. They

wholly inform their workplace role and performance. This influence was established in the

findings in Table 4.5. (12 Steps influence on AA participant managers) on page 198.

5.5.1. AA Participant managers' common approach to GMCs. Drawing on these

academic considerations explored in this discussion chapter, it is only now possible also to

summarise the sample's common approach to their managerial roles in a composite model. The

integral individual components are evidenced in the data and are shared with existing business

psychology management theories, philosophies and models raised in the literature reviewed in

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Chapter 2 and this last discussion chapter. These common qualities are listed in Table 5.8.

below.

Table 5.8.   Management qualities demonstrated by AA participant managers

- Continual self evaluation
- Openly apologise for mistakes
- Identify realms of personal power
- Seek continual contact with conscience
- Demonstrate required standards
- Identify personal character defects
- Work with a mentor (for example an AA sponsor)
- Identify areas for personal improvement
- Practice 'We-ness'
- Make daily plans
- Assertiveness
- Job description awareness
- Seek honesty

5.6.   Limitations, lessons learned and future research

This section will now look at how the limitations anticipated at the end of chapter 3 and the actual limitations arising out of the research surfaced. This should allow the research to be of use to future studies by examining lessons learnt during this doctoral process so that both the quest for knowledge and choosing appropriate methods used may be as efficient and effective as possible. In the research design (chapter 3), the limitations to this research were detailed in regard to the epistemological approach, limitations and assumptions about the sample (compared to other relevant norms). These can now be cross-referenced with the findings to confirm relevant matters arising.

5.6.1. Limitations of sample size. The size of samples used for the both the IPA (n12) and Workplace Observation (n3) methods was deemed appropriate according to the literature. In the case of IPA, Smith and Osborn's (2003) observation that data saturation occurs beyond the sample size of 10 to 12 participants would seem wise as the data generated an extensive amount of phenomena in this process. The sample size used for the Workplace Observation method adequately enabled further research into the IPA findings and consolidated these phenomena in the practical manifestation of the 12 steps in the role of the organisational manager. The Workplace Observations also produced clear examples of New's (1996) GMCs in action. The size of the sample used for the quantitative ISIS questionnaire method (n25) also met the criteria for statistical significance using Cohen's (1992) power for statistical adjustment.

5.6.2. Limitations of organisational climate. It has been suggested at times in this thesis that the global financial crisis of 2007 (Shiller, 2008) has made managers more acutely aware of the GMC of organisation with regard to resources. Judging by the comments made by the participants about their organisational role, the organisational climate clearly has impacted upon their GMCs. It would be logical to conclude that during a time of economic growth, the

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managers' responses would be different. However, the timing of the study may also be beneficial in that it has accented the importance of those competencies and allowed the study to consider key phenomena such as *powerlessness* and how that impacts upon the managers' approach to the GMC of organisation (resourcing) in the given business climate.

5.6.3. Limitations of the methods used. A general limitation of the methods used is the lack of subordinate, peer and senior feedback and comments on the specific managers' GMCs. For example, the concepts of servant leadership (Greenleaf, 1970) and leader member exchange (Dansereau et al., 1975) require the consideration of those around the manager to help establish variables, correlations and significance. Whilst this thesis is a preliminary study into the relationship between the 12 steps of AA (2001) and GMCs (New, 1996), colleagues will possess valuable information about how the sample enact their GMCs. This is especially true of the GMC of leadership: whilst New's (1996) construct allows generalisability to all those that supervise others at work, the GMC of leadership took the discussion into a massive academic field relating to leadership theories which have not, per se, been developed in context of New's GMCs (i.e. where leadership is the sole single competency being reseached). Many of these leadership theories and concepts have been developed with the focus *only* on leadership. This does not mean that the discussions are irrelevant. Leadership is leadership and New acknowledges this in his GMC framework. However, it is possible that the findings might have a different application if only applied to leadership issues – for example, the relationship between the findings and leadership 'vision' might have been explored.

In addition, this study has not conducted formal tests of statistical mediation. It has sought first to specify mechanisms because it was concluded that, in research to date, determining the mechanisms with specificity was not possible (Kelly et al., 2009). It is hoped that, by specifying

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such mechanisms through the methods used (in particular the IPA) and in the findings, this research helps to fill this void.

5.6.3.1. Limitations of the qualitative IPA method. Whilst the researcher is satisfied that a set of discrete phenomena was identified in this element, a limitation has been identified that might strengthen validity in the future: one of the established strengths of this method is that it allows the researcher to delve into the idiosyncratic world of the research participants and then to make sense of those worlds by identifying common phenomena through clustering (Hefferon and Gil-Rodriguez, 2011). However, in identifying the distinct phenomena and clusters, at a Ph.D. level, it might be beneficial to have a co-researcher to corroborate distinctions and definitions amongst the identified factors beyond the supervisory process, along the lines of inter – rater reliability.

5.6.3.2. Limitations of the qualitative Workplace Observation method. The Workplace Observation method provoked concerns regarding Tradition 12 of Alcoholics Anonymous (AA, 1953) and its demand for anonymity; this led to the researcher being excluded from workplace interactions between the AA participant managers and their subordinates (see Appendix I: Workplace observation report example p.LXI). Whilst the specific interactions were subsequently reported upon by the AA participant manager being observed, it would be beneficial to study these crucial discussions about New's (1996) GMCs, such as the GMC of motivation with regard to discipline and the GMC of action management with regard to service delivery. However the spirit of the relationship between the researcher and the participant was deemed to be honest and transparent and at no time did the researcher feel that the truth of a situation was being undermined.

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5.6.3.3. Limitations of the quantitative ISIS method. The rationale for using the ISIS (Amram and Dryer, 2008) is outlined in chapter 3. Following its practical application in this study it can now be concluded that the instrument has several limitations. In the first place, the higher order domains proved to be ethereal; the higher order domain of Grace is accompanied by a broad definition from Amram and Dryer (2008 p.11) - 'Living in alignment with the sacred, manifesting trust in and love for life that is based on gratitude, beauty and joy' - but there is a lack of quantifiable and observable behaviours. This restricted the study of the relationship between the 57 IPA phenomena identified in the qualitative methods and the 22 ISIS capabilities (Amram and Dryer, 2008) used in the quantitative element of study. There was no clear marriage.

A further limitation is found in not having access to the raw data from the preliminary study (Amram and Dryer, 2008) such that statistical significance, for example regarding the variable of gender that was found to be significant in the pilot study, could not be analysed and compared further.

Finally, the use of the self reported questionnaire has severe limitations when studying people who follow the 12 Steps and other spiritual paths. For example, when trying to measure 'truth' through psychometric instruments and Likert scales, does admitting that one does not always tell the truth display a truthful attitude and how can this be measured? The phenomenon of *humility* identified as a key psychological mechanism amongst the sample is extremely difficult to measure in psychometric terms as outlined on pages 346-8 particularly when using self-reported questionnaires. It can be concluded that to develop the concept of SI further, a multi-rater instrument is crucial.

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5.6.4. Lessons learned. Research into the concept of SI led to the consideration of several psychometric constructs that have been developed to help explore this relatively new field (Aburdene, 2010). The lack of reliable and valid instruments and existing norms for comparison and contrast led the choosing of the ISIS instrument (Amram and Dryer, 2008) owing to its existing norms used in the preliminary study (Amram, 2007) and its grounded theory origin (Glaser and Strauss, 1967) that compliments the phenomenological approach. However, it may have been more preferable to use King's (2008) Spiritual Intelligence Self-Report Inventory because his components (of Critical Existential Thinking, Personal Meaning Production, Transcendental Awareness and Conscious State Expansion) appear to better describe what was experienced by the AA participant managers than Amram and Dryer's (2008) higher order domains (of consciousness, grace, meaning, transcendence and truth). However, both models' components relating to 'purpose and meaning' were not validated in this study and further targeting work is required to test this element with AA's followers at work.

A second learning point arises in the order of the methods; by conducting the IPA before the Workplace Observation method, the latter appeared to consolidate the findings of the IPA rather than add new knowledge. If the order had been reversed, with the IPA still being held as the lead method but conducted second, the analysis may have produced new information in that the way the manager behaved at work would have become the starting point for the analysis.

5.6.5. Future research. The methodology used would appear to be justified in that by firstly identifying the relevant phenomena from a qualitative-led tradition, empirical measures are now able to be created in future research that might explore these interactions further through quantifiable variables. Future qualitative methods may now examine the phenomena in the findings with relevant established psychological concepts identified in this research such as EI

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(Payne, 1985), LOC (Rotter, 1966), self efficacy (Bandura, 1977), proximal goal setting (Locke, 2001) and acceptance-based responding (Carrico et al., 2007).

5.6.5.1. Emotional intelligence (EI) and AA. In following the research questions and, in particular the first question, the relationship with the 12 Steps and EI emerged as an area that future research might explore to further knowledge about how the AA programme works in context of GMCs. The relationship is apparent because an outcome for working the programme is vividly described by the main components of EI and this is evident in the 12 Step self management loop discovered on page 233. There are several EI measurement instruments that exist with good reliability, validity and existing norms (for example Bar-On's (1997) Emotional Quotient Inventory). This would allow mechanistic definition and contrast with other managers. These models have been developed significantly further than any existing SI construct questionnaires. This area follows the historical call (Edwards, 2003; Kwilecki, 2000; Mayer, Caruso and Salovey, 2000) for further debate about the relationship between SI and social intelligence (Thorndike, 1920).

5.6.5.2. Future research samples. For future studies it would seem appropriate to contrast the GMCs of AA participant managers with non-AA participant managers; this approach might give more empirical evidence of the relationship between the 12 steps and GMC's. This would seem imperative to help develop knowledge further. Whilst Tradition 12 of AA (1953), demanding anonymity, would appear to deny this possibility, this study itself has proved that research into the 12 Steps and how they impact on organisational roles is possible. A more 'AA friendly' culture - such as the United States where the programme was developed - may be rich territory for such studies.

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A second recommendation for any future research into AA participant managers is for multi-rater evidence to be gathered from subordinate, peer and senior co-workers through the battery of existing tools. This would help generate further knowledge regarding such concepts as LMX (Dansereau et al., 1975) and the servant leader concept (Greenleaf, 1970). Tradition 12 (AA, 1953) about anonymity can be accommodated if any participant subordinates do not know that their managers follow AA's programme. Such an approach would need ethical consideration but should be possible.

5.6.5.3. Acceptance-based responding **(ABR - Carrico et al., 2007) and work.** The 12 Step mechanism of spirituality proposed by Carrico et al., (2007) through their research into the construct of ABR appears highly valid when considered alongside the findings of this research. This model demands to be part of further research in the workplace, if only as a construct proposed for conversion to a more empirical instrument (measures of 'impulsivity' may well be suitable as starting point).

5.6.5.4. Spiritual intelligence (SI). New SI constructs are required and the development of these is imperative to the concept which has been found to exist within the sample (see conclusion chapter) in that spirituality informs their problem solving. If EI can be developed to a more rigorously valid concept for research, the development of new SI tools is also achievable. Academia needs to nail down quantifiable antecedents, mechanistic factors and outcome variables and agreement on these is needed. It is very much hoped that this study has contributed to that journey. As stated above, a multi-rater instrument would be a helpful starting point. King's (2008) construct explored in this thesis might prove fruitful as the key components of the model were found, posthumously, to meet face, content and criterion validity (this was dismissed as a method in this thesis owing to the current norms being made up of under-graduates only at the time of this study).

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5.6.5.5. Humble management. As part of this research journey, a concept of management from the point of humility is suggested in this thesis and this suggestion might merit future research to help clarify identifiable factors and ways of measuring associated qualities such as humility - the current 'deal breaker' identified in the discussion challenges the validity of any item that attempts to quantify humility via a self reported measure. At present, the only way for truly humble person to answer such an item would be to deny it in some modest way. This quest would be assisted if researchers were more rigorous in their identification of related psychological factors such as antecedents, mechanisms and outcome variables.

A missing link in this research, related to management and humility, possibly, is the concept of authentic leadership (George, 2003), broadly defined as being true to oneself in work with no falseness, being motivated by a larger purpose (not ego), making ethical decisions and focusing on sustainable results (not quick fixes). This concept was not raised in the literature reviewed nor is it found in graduate level work psychology text books (for example, Arnold and Randall, 2010; McKenna, 2011; Millward, 2005). It should be seen as a modern relative of servant leadership concepts (that, in turn, is related to the transformational school – what Bass and Steidlmeier (1999) referred to as 'authentic' transformational leadership). Its central components fit well with the findings of this research in terms of the sample's approach to their workplace roles. Whilst it has not fallen under the radar of this research, the broader field of leadership theories is rightly focussing in on the efficacy of this theory at a doctoral level (Cottrill, 2013; Crowther, 2013; Liu, 2013) and any future research might explore AA participant managers through this lens.

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Chapter 6

Conclusion and summary

6.1. Conclusion.

If the product of this research is to establish new knowledge and meaning from the findings, it is vital to bear in mind that these findings originate from concepts constructed by the sample and previous researchers who include competency frameworks, intelligence models, spiritual systems and relevant work-related psychology concepts in their studies. It is from these perspectives that meaning and knowledge can be interpreted. To this end, phenomenology has enabled the research to uniquely go inside the constructed world of the AA participant manager who has provided a wealth of new data about the relationship between the 12 steps (AA, 2001) and GMCs (New, 1996). The title of this thesis asks "are there 12 Steps to better management?" and from this research it is concluded that the answer is yes. However, the reader is entitled to ask "better than what?" At this stage, the answer would appear to be firstly, the participants' performance is better than before they adopted the 12 Step programme; secondly, as a result of comparing their management behaviours with extensive research into theories and concepts, they display the behaviours associated with proven efficacious management. They enact practices and concepts proved to be associated with better management.

6.1.1. 12 Steps influence on AA participant managers.
The first research question asks: what is the relationship between the spiritual 12 Step programme of AA and general management competencies? In order to uncover relevant information, the IPA process directly asked for the sample's opinion about the relationship. The responses give the impression that there is a direct relationship because the 12 Step programme forms the bedrock of each manager's approach as summarised in the findings in Table 4.5. on page 198. It can be concluded that the relationship is evidenced as direct, positive and paramount.

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The psychological processes explaining the relationship sought in the first research question are uncovered in this thesis. As this stage of understanding, these processes mediate the relationship between the 12 Steps and GMCs (New, 1996). These are uncovered by the discreet phenomena emerging as findings of the IPA process as described in Tables 4.1. and 4.2. in chapter 4 (p. 180 and p. 186). These phenomena include a battery of antecedents, causal mechanisms, abilities and behaviours that lacked specificity in the literature – this point was made by Kelly et al., (2009 p.252) following their systematic review of how AA works, who state 'the evidence to date regarding spiritually is as yet too limited to support or refute a central role for spirituality in recovery through AA'.

This thesis concludes that these phenomena consistently influence the way the sample enacts their organisational roles. Some of these 12 Step phenomenal constructs, such as *powerlessness*, are deeply philosophical. Others, such as the *personal behaviour inventory*, are concrete behaviours. There does not appear to be a clear linear pathway to organise the cause and effect of these factors and, as with AA itself, the findings are often complex (such as the gaining of power from admitting *powerlessness* explained through Figure 5.8. on page 288 depicting several stages of LOC), sometimes contradictory (in terms of *empathy* and yet acting with *forthrightness*) and often transcendental in form (such as the use of *prayer* and *meditation)*. However, the cluster headings of *Truth, Valuing Others, Managerial Role, Self Management, Personal Power* and *Higher Power* offer some means of categorising, structuring and sense-making. It cannot be concluded that these themes represent a higher order domain structure applicable to an intelligence construct such as SI.

Established psychological constructs that do appear relevant to this enquiry are locus of control (Rotter, 1966), goal setting theory (Locke, 1968), self efficacy (Bandura, 1977) and emotional intelligence (Payne, 1985). The 12 Step programme acts as a moderator of these

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concepts. Carrico et al.'s (2007) acceptance-based responding research (see page 40) provides coherent psychological insight into how following the 12 Step programme may influence the emotions and cognitions of participants and, ultimately, their behaviour through a spiritual pathway.

In addition, these psychological factors uncovered in the findings and discussion have been associated with relevant business psychology concepts. These concepts include both transactional and transformational leadership (Burns, 1978; Bass, 1985), servant leadership (Greenleaf, 1970), leader member exchange (Dansereau et al., 1975), theory y (McGregor 1960) and Adair's strikingly salient action centred leadership model (1973) and his related theories (1983, 2002).

Conclusions about the influence of the 12 Steps on managers also merit comment about the social aspect of AA. Whether the 12 step programme is solely responsible for the spiritual development of the AA participant managers provokes the question 'what is the role of the fellowship in this spiritual development?' In order to answer this, consideration must be given to Galanter's (1983) work on cult adherence. Belonging to such a social network influences an individual's behaviour as they have the desire to conform. In AA this desire to conform is not in doubt. That is part of the function of Steps 1, 2 and 3 - to conform to another way of being. However, what the alcoholic conforms to is the adoption of the 12 Step programme. The fellowship of AA takes the participant through the 12 steps. The 12 step programme is the causal mechanism that facilitates personal change. The fellowship - other alcoholics, a sponsor, 'old timers' - supports the alcoholic through the 12 step programme by acting as a group of mentors. It is important to state that the individual cannot undertake the 12 step programme on their own. That would be impossible because the sick alcoholic would be trying to fix themselves (the sick alcoholic).Therefore, it can be concluded that the changes facilitated by undertaking the 12 Steps

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are only possible with the support of the fellowship. The resultant spiritual development that impacts upon the way the AA participant managers enact their GMCs, is caused by both 12 Steps and the support of the fellowship. Future research might focus specifically on the role of socialisation in AA and how it informs managerial practice to complement this research into the technical construct of the 12 Steps. In a similar way, the role of the sponsor in the AA fellowship, acting as a mentor, may also influence AA participant managers' approach to their GMCs and this relationship may generate other relevant knowledge through future focused research.

6.1.2. SI as a fledgling construct. The second research question stated on page 128 explored whether SI explains the psychological processes experienced by the sample by asking: what is the nature of the relationship between the spiritual 12 Step programme of AA and the concept of SI at work? Whether SI as a construct explains satisfactorily the relationships between the 12 Steps and GMCs raises the simple question of whether SI explains satisfactorily the psychological processes involved. This research concludes that, at present, it is not sufficient. SI is not an effective means of investigating the spirituality of the 12 steps.

In the literature, Emmons (2000a p.9) argued repeatedly about the validity of SI - he stressed that there is little agreement over how to define intelligence and continued that "I am not suggesting that spirituality can be reduced to intelligence, or even to a set of cognitive abilities and capacities"; however, he then engaged in the debate using a definition of intelligence as "the level of skills and knowledge currently available for problem-solving". Emmons (2000a p.9) summarised "the central theme behind these definitions of intelligence is a focus on adaptive problem solving" and that criterion is common to all intelligence constructs (e.g. King, 2008; Pinker, 1997; Sternberg, 1997a; Walters and Gardner, 1986).

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So this research does not conclude that SI is invalid; as an intelligence concept it is valid because - if the consensual definition of intelligence is 'problem solving' - the sample clearly refer to their spiritual programme as the first reference when solving problems at work – being a manager. However, the existing SI constructs need more structural clarity. As discussed in the last section, future research may question what the higher order domains of SI are? And consensus is needed here before the constructs can be developed further. At present, there is a pioneering mixed up model from the likes of Zohar and Marshal (2000), an under-developed model from Amram and Dryer (2008) that has integrity (at least in the phenomenological methodology used in its development) and a valid and reliable model from King (2008) that needs further applied research - especially more norms to enable comparison. In a way, it is a very exciting challenge for psychology to define this intelligence form more accurately.

In addition, this thesis can comment on the debate in the literature as to whether phenomenology can describe intelligence; it is too simplistic to say that it cannot. As evidence, Figure 5.9. (p.291) identifies the phenomena as outcomes and mechanisms triggered by following the 12 Steps and how they impact on LOC. Clearly the phenomenal cluster of *Personal Power* provides the first cognition in the problem-solving process; it contextualises ensuing decisions and cannot but influence those decisions. Spiritual phenomena inform intelligence processes at a primary stage. They are integral to, and not separate from, intelligence.

In these ways, this research promotes thoughts about wider intelligence constructs. As academia attempts to develop a robust qualifying criteria for independent intelligences, part of the journey for knowledge suggests that researchers will occasionally come up against 'buffers'. In the case of multiple intelligence (MI) theory (Gardner, 1983) and the associated qualifying

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criteria discussed in chapter 2 (pp48-49), it would appear appropriate to question whether, when it comes to qualifying intelligence, a single framework fits all?

This research has found the concept of SI to be valid as the fundamental way of being (and therefore thinking) for the study sample. However, in trying to qualify and quantify this ultimate intelligence through existing concepts such as MI theory (Gardner 1983), this research has to conclude that these structures to not accommodate SI. There is no doubt that MI theory is a robust model with a significant credibility. However, when Zohar and Marshall (2000) and Emmons (2000a and 2000b) suggested that SI is beyond intelligence, this thesis can conclude that a more correct statement would be that 'SI is beyond the current ways of qualifying and quantifying intelligence'. The SI conundrum (it exists but cannot be empirically proven) provokes the need for a new way of measuring intelligence beyond all those structures that have gone before as explored in the literature (pp44-47). At each stage of the development of new intelligence structures, whether it be Terman's IQ in 1916, Spearman's (1927) 2 factor theory, Thurstone's (1938) primary mental abilities, Vernon's (1956) triarchic model of intelligence, Horn and Cattell's (1966) fluid and crystallized abilities or Gardner's (1983) vital MI work, these developments have all been born out of the desire to prove new knowledge. This desire creates an epistemological 'jump'. And if SI does exist, which this thesis believes it does, a new development opportunity arises to create a better model of quantifying and qualifying independent intelligences. SI demands a new way of thinking about intelligence because the current models do not appear to work. Whilst the results and findings of this research do not identify specific ways ahead for this challenge, it can conclude that the time is right to question the methods used for identifying independent intelligences.

6.1.3. Humble management qualities. One of the flaws in research into these matters is the inability to capture mechanisms or phenomena such as *honesty* and *humility* in a reliable and

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valid way. Regarding the psychometric measurement of *honesty*, the AA programme suggests

that admitting dishonesty is a requirement of authentic honesty in context *of personal human

limitations*. This same argument extends to *humility*: those with authentic humility cannot – or

do not need to – conceptualise it. Perhaps *honesty* and *humility* are rare explicit examples

supporting those that claim that spirituality cannot be measured (Emmons, 2000; Munro, 2010;

Wolman, 2001; Zohar and Marshall, 2000). If so, this conclusion paradoxically contributes to

the debate by starting the naming of that which cannot be named – it identifies elements of

spirituality to be explored and eventually measured. It allows more scientific research into these

matters - to put smoke in a box.

In order to justify research such as this, it is vital to enquire just what can be learnt the

process, what is its practical application and what is its impact? In this case, what can other

managers learn from people who would have no quarrel in being labelled a 'group of drunks'?

By asking how can following the spiritual 12 Step programme of AA be applied usefully in a

generic management role, the final research question addresses issues of generalisablity (see page

128). The results, finding and discussion of this research identify AA participant managers'

approaches to their work roles. Whilst these approaches displayed and shared behaviours

associated with various efficacious management concepts as discussed, it cannot be concluded

that the AA participant manager is wholly a single type of manager or another. Whilst they

display behaviours associated with transformational styles, they are not transformational leaders -

they also display clear transactional concerns regarding the employment contract. They are both

person-focused in how they manage and task-focused in their workplace goals. Whilst the study

sample displayed behaviours associated with servant leaders – for example wisdom (Barbutto and

Wheeler, 2006) – they are not exclusively servant leaders. This would be also true of authentic

leadership concepts. The reason for this caveat is that the participants cannot be categorised as

such leaders because of AA's primary purpose: to stay sober. The AA participant managers do

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not go to work for altruistic purposes; they behave in altruistic ways because they need to ensure continued sobriety. They are not concerned about changing neither the world nor the organisation, they are concerned with doing a good job as a manager. Indeed, in an organisational sense, AA participants would not necessarily make good leaders such is chief executive officers; these positions are highly demanding, operate in the public eye and can be extremely stressful. The recovering alcoholic is, arguably, allergic to these conditions.

So if the AA participant managers are not exclusively servant leaders or transformational leaders (and probably not authentic leaders), what are they? What is their management style? Arguably, it is a unique style of their management behaviours uncovered in this research, collated in Table 5.8. on page 354. What these qualities, behaviours, traits and aptitudes (some in the literature might call them competencies) are united by is that they originate from a place of humility as identified in previous sections (pp236-243). The touchstone for the sample's approach to their managerial role is humility developed from their personal crises and their development through AA's 12 Step programme. Their style might be explained through a concept of humble management. This would be defined as managing without fear for one's own position – it is about getting the job done (this is established on p.256). It would be interesting to see whether other survivors of personal crises of whatever sort (those who have experienced 'deflation at depth' (AA, 1953 p. 40)) approach their management work in a similar vein and behave in ways associated with proven efficacious management concepts as established in this thesis.

6.1.4. GMCs – a valid construct? Whether a construct of humble management merits credibility is the domain of future research. However, as New's (1996) GMC construct was chosen for its simplicity and task-based framework (to avoid Sackett and Laczo's (2003) "hodge-podge" p. 21), it is important to state that this thesis found the framework's utility key to allow

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the AA participant managers to explore their role. The participants had no problems using it to explore their function and it was accepted as both comprehensive and generalisable. Despite this content and face validity, there is no doubt that other more sophisticated corporate or job specific competency constructs delve deeper in socio–industrial skills and behaviours in a more prescriptive manner. These include myriad competencies relating to EI (Payne, 1985) and organisational citizenship behaviour (Organ, 1988). Future research into similar samples might utilise management competency constructs that especially measure these.

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6.2. Academic Contribution

This thesis explores several gaps in academic literature to date. In undertaking a triangulated research design, the findings and subsequent discussion produce new knowledge relating to: the application of AA's (2001) 12 Step programme and its limitations, the psychological causes and effects experienced by following the programme, the reliability and validity of existing intelligence constructs, the efficacy of methodology in researching the 12 Steps and management competencies and the relationships between following the 12 Steps and efficacious management concepts.

6.2.1. 12 Steps and work. In the first place the research contributes to academic knowledge by being the first to explore how individuals who follow AA's 12 step programme use this in their organisational role and, secondly, this study is the first exploring how those following a 12 Step programme use it in a managerial function. The participants were all gainfully employed in positions of responsibility and none of them was experiencing any apparent problems in their organisational role; furthermore, all of them advocated positive and responsible management that honours the employment contract. As a result of this thesis, it is known that the 12 Step programme has primacy in both considerations – in employment and then in management. It is the sample's 'way of being' at work. The AA programme is referred to in the first instance when enacting New's (1996) GMCs. The data in Table 4.5 on page 198 (12 Steps influence on AA participant manager) evidence this. Specifically, humility has been found in the data to be the foundation of the AA participant managers' approach to their organisational role (see pages 249 - 257). However, the findings also reveal a subsequent theory that the AA participant managers make better managers than organisational leaders because the programme trains them to 'avoid the limelight'.

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6.2.2. Spiritual intelligence. The research probes also the concept and constructs of SI and identifies gaps in knowledge such as the ineffective means of quantifying spiritual attributes such as *honesty* and *humility* (see pages 346-8). The discussion suggests future focii including seeking consensus on higher order domains and creating valid measures of the meta-physical (but real) outcomes of spirituality as a problem solving capability – an intelligence. As a result of this new knowledge, the findings give new insight into the related psychological factors and point towards heuristics in specific areas such as the need for multi –rater instruments to measure associated criteria. In addition, the methodology deployed in this research provides evidence that the debate in the literature as to whether spiritual phenomena and SI are separate entities should not be dichotomous because the findings demonstrate that phenomena can also explain mechanistic pathways – the samples' spirituality explained through the IPA phenomena lead to and facilitate intelligent cognitive choices.

In a wider sense, this research provides further knowledge that demonstrates on pages 349-50 the limitations of trying to indentify independent intelligence concepts through a single qualifying framework. Gardner's (993) multiple intelligence theory fails to capture SI because of the qualifying criteria used for independent intelligences – it precludes SI as an intelligence.

6.2.3. Humble management. By creating a composite of the sample's managerial approach (Table 5.8. on page 354), the thesis offers a new framework for humble management to contribute to a progressive academic landscape so that new management theories and hypotheses may be tested. It provokes further debate about the similarities and differences between leaders and managers and which competencies develop their efficacy.

6.2.4. Locus of control & emotional intelligence. In a wider sense, the interplay between LOC and recovery through the phenomena under the cluster of *Personal Power* suggest

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heuristics for the treatment of alcoholism. The 12 Step self management loop (Figure 5.2. p. 233) – central to developing internal LOC - may be developed through existing EI tools and exercises and the same goes for existing LOC tools. This is because the data reveals strong similarities with central EI components (see Table 5.6 on p. 330) and they evidence a unique LOC journey experienced by the AA participant managers (see Figure 5.8 on op. 288). Particularly, the IPA process reveals the construct of EI to be very relevant to recovery from alcoholism in promoting self awareness (arguably fundamental to developing internal LOC) and treatment professions might consider this further in creating pathways to health. In this way, this research also answers the call from Kwilecki (2000), Mayer et al. (2000) and Edwards' (2003) for further debate about the relationship between SI and social intelligence (Thorndike, 1920).

6.2.5. Spirituality and AA. Relating further to the treatment of addiction and dependency issues, the IPA process identified specific spiritual phenomena that bridge the link between spirituality and acceptance-based responding (ABR) found in Carrico et al's (2007) model. These phenomena include *humility, ego reduction, personal human limitations, acceptance of real self, daily basis, sphere of control* and *powerlessness* (see Figure 5.1 on p.220). The inherent psychological processes rest on internal and external LOC interplay and proximal goal setting leading to enhanced self efficacy, self esteem and core self evaluation (as displayed in the AA 12 Step self management loop on page 233). Carrico et al's (2007) ABR model, along with the newly identified spiritual mediators in this thesis depicted in Figure 5.1. (p.220), provide a strong psychological model for explaining the mechanisms and outcomes experienced by following the 12 Steps.

6.2.6. 12 Steps and efficacious management. Moreover, the research clearly delves into the world of spirituality and helps to identify antecedents, causal pathways and outcomes in terms of managerial behaviour. These are identified and explained through the 36 12 Step IPA

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phenomena (Table 4.1. on p. 180). Given the importance of management performance and its

impact on organisational efficacy (Barber et al.,1999; Cockerill; 1993; Rucci el al.,1998),

further research can now progress to confirm the impact of spiritually-informed management and

leadership styles on the workplace and organisational performance. The data reveals that the

management behaviours, philosophies and styles of the sample are shared with a wide range of

efficacious management concepts (see Figure 5.7 on p. 279). In this way, the data answers the

provocation raised in the title of this thesis: are there 12 Steps to better management? It would

appear so.

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6.3. Summary

Bill Wilson went on to become a significant organisational manager of AA by the time of his death in 1971 and New's (1996) GMC construct perfectly describes the demands of his role. But he was a reluctant leader (AA Comes of Age, 1957; Kurtz, 1991 – see Part 1 chapter V). The film "My name is Bill W." (Petrie, 1989) does not explore his subsequent leadership and management of AA. Cheever (2005) observed that Wilson found the organisation's reliance upon him as a leader stifling and frustrating; possibly, he saw it as a threat to his own sobriety. In order to organise this growing body of recovering alcoholics, he led on the development of AA's terms of reference which encouraged local group autonomy by specifying AA's own unique maxims for team success – The 12 Traditions (AA, 1953). They are an expression of his personal change as a manager through the 12 Steps - from maverick to facilitator. Whatever Wilson's intent, this development secured the long-term future of the organisation - it was certainly not about his ego. Aldous Huxley, a close friend of Wilson, went on to declare that Wilson was "the greatest social architect of the 20th century" (Cheever, 2005 p. 175); in 1999, Time Magazine listed him as "Bill W.: The Healer" in the Time 100: The Most Important People of the Century (Time, 1999). Not bad for someone who could not hold down a job.

However, "we are not saints" declares AA (2001 p. 56); bearing in mind that Wilson arguably penned this caveat, readers of the biographical writings about Wilson can read between the lines to see that Wilson was always a recovering alcoholic haunted by his own *personal human limitations*. And the sample of managers is not offered as saints. They are a group of 25 fallible human beings who have taken certain Steps to minimize the impact of their demons on their lives - including on their working lives.

As a set of principles, the concept of humble management explored on page 352 tries to capture their approach and make it generalisable for business psychology to consider. However,

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whether this concept can be understood and applied without a spiritual rock bottom and subsequent awakening is questionable: arguably, the psychologists and psychiatrists James (1902), Jung (1961), Tiebout (AA, 2001 pp.xxv-vi) and Silkworth (AA, 2001 pp.xxvi-xxxii) would think not. Life's experiences are the greatest management development tool. Recruitment, selection and promotion processes might do well to try and explore these in an appropriate manner as the ability of a management applicant to overcome personal crises should be highly prized and not hidden for fear of the understandable prejudice associated with alcoholism, other dependencies or even mental health problems. From these conditions good managers can be made. To deny this would be to deny the potential of human change. This change can be facilitated by a spiritual programme. Whilst it is apparent that psychology struggles to encapsulate spirituality, Wilson and his early colleagues would not be put off by this: "We can laugh at those who think spirituality the way of weakness. Paradoxically, it is the way of strength" (AA, 2001 p. 68).

Having undertaken an extensive and necessarily broad literature review, the epistemological and ontological foundations of social constructionism and phenomenology were chosen as the most suitable perspectives in which to conduct this inquiry. The subsequent methods, including the quantitative ISIS (Amram and Dryer, 2008), proved adequate in discovering some of the psychological processes that could and could not explain the interaction between the 12 Steps and GMCs. The limitations of SI as a psychological construct were revealed in this thesis. The discussion progressed to identify established business psychology concepts and theories relevant to 12 Step outcomes and the sample. The conclusion offers progressive platforms for future research.

Half way through the biographical film, Smith and Wilson undertake their first deliberate visit to another alcoholic in hospital, Bill Dobson, with the intention of converting him to the AA

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programme; Smith explains to Dobson that he and Smith are also alcoholics, saying "we've both done terrible things, things we are ashamed of". James Garner speaks with the level of gravitas that a good actor can display. But what the film actually celebrates is that these alcoholics had recycled their condition to become the leaders of a highly successful durable organisation that may have saved the lives of many thousands of people. This organisation subsequently found it difficult to wean itself off their leadership and this required significant strategic and political consideration by the co-founders to encourage the organisation to manage and lead itself.

Having studied the biographical writings about Wilson, it can be inferred that a part of him enjoyed the power of leadership and the prestige associated with his position in AA; Smith cautions him during the film 'we alcoholics have no tolerance for the limelight" and Wilson is seen struggling with what this thesis identifies as humble management. In the final scene of the film (Petrie, 1987), Wilson anonymously attends a meeting at St Andrew's Presbyterian Church. He is travelling through California and nobody at the meeting recognises him at the meeting; James Woods plays the scene in an appropriately uncomfortable manner, showing Bill struggling with the criterion of anonymity clashing with his default ego settings and his desire to tell the other alcoholics exactly who he was as the then unofficial leader of AA. He overcomes his insecure tendencies (arguably demonstrating the AA Self management loop in action) and his wife, Lois, turns to him and asks "are you upset because they didn't recognise you?"; "oh, maybe just a little bit" he confesses, sheepishly. What this scene shows is that, as the leader of AA, he sacrificed his own position at that meeting for the good of the organisation and he found this sacrifice uncomfortable, demonstrating that good management requires conscious effort - managers need to take certain steps to manage themselves firstly. 12 Steps...possibly.

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APPENDICES

Are there 12 steps to better management?
How the spiritual programme of Alcoholics Anonymous may influence management
performance measured through general management competencies.

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October 2013

Appendix A: AA Spiritual Definitions (AA, 2001 pp567-568)

Appendix II SPIRITUAL EXPERIENCE

The terms "spiritual experience" and "spiritual awakening" are used many times in this book which, upon careful reading, shows that the personality change sufficient to bring about recovery from alcoholism has manifested itself among us in many different forms. Yet it is true that our first printing gave many readers the impression that these personality changes, or religious experiences, must be in the nature of sudden and spectacular upheavals. Happily for everyone, this conclusion is erroneous. In the first few chapters a number of sudden revolutionary changes are described. Though it was not our intention to create such an impression, many alcoholics have nevertheless concluded that in order to recover they must acquire an immediate and overwhelming "God-consciousness" followed at once by a vast change in feeling and outlook. Among our rapidly growing membership of thousands of alcoholics such transformations, though frequent, are by no means the rule. Most of our experiences are what psychologist William James calls the "educational variety" because they develop slowly over a period of time. Quite often friends of the newcomer are aware of the difference long before he is himself. He finally realizes that he has undergone a profound alteration in his reaction to life; that such a change could hardly have been brought about by himself alone. What often takes place in a few months could seldom have been accomplished by years of self discipline. With few exceptions our members find they have tapped an unsuspected inner resource which they presently identify with their own conception of a Power greater than themselves. Most of us think this awareness of a Power greater than ourselves is the essence of spiritual experience. Our more religious members call it "God-consciousness." Most emphatically we wish to say that any alcoholic capable of honestly facing his problems in the light of our experience can recover, provided he does not close his mind to all spiritual concepts. He can only be defeated by an attitude of intolerance or belligerent denial. We find that no one need have difficulty with the spirituality of the program. Willingness, honesty and open mindedness are the essentials of recovery. But these are indispensable.

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Appendix B: AA Promises (AA, 2001 p83-84)

"If we are painstaking about this phase of our development, we will be amazed before we are half way through. We are going to know a new freedom and a new happiness. We will not regret the past nor wish to shut the door on it. We will comprehend the word serenity and we will know peace. No matter how far down the scale we have gone, we will see how our experience can benefit others. That feeling of uselessness and self pity will disappear. We will lose interest in selfish things and gain interest in our fellows. Self-seeking will slip away. Our whole attitude and outlook upon life will change. Fear of people and of economic insecurity will leave us. We will intuitively know how to handle situations which used to baffle us. We will suddenly realize that God is doing for us what we could not do for ourselves. Are these extravagant promises? We think not. They are being fulfilled among us—sometimes quickly, sometimes slowly. They will always materialize if we work for them."

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Appendix C. IPA Transcript analysis (verbatim)   HUGH Code = HUG

1   Researcher: Great. As far as I'm concerned that's recording now,
        Hugh.   Just to say that the interviews are transcribed and they're
        made anonymous. Names and places are taken out of the script that I
        use and what I'm interested in is..... I just analyse the scripts using a
5   kind of clustering process to look at what issues come up. So could
        we start just by confirming that in your opinion you aspire to follow the
        12 Step Program of AA and for how long you've aspired to do that?

        Hugh: I do. Well I initially started in 1975 so it's a long time isn't it –
        26 years, but I've continued the sobriety for about 12 years.

10   Researcher: And could you, in general without specifying names,
        explain what your job is and in what sector that would fall within?

        Hugh: Yes. Well I'm the Chief Operating Officer in (**NAME)**, which
        basically means I'm the chief operating officer - that best describes it
        all.   All the divisions of this organisation report to me from a line
15   management standpoint. There is a National Vice (**NAME)** who...he
        sort of goes between the **(BOSS)** and the outside world and runs
        around but I think as far as proving budgets, hiring and firing, problem
        searching and things..... all the mechanical things come to me.

        Researcher: And in general would that...would you be comfortable
20   with the phrase higher education as a sector?

        Hugh: Yes. Absolutely.

        Researcher: Okay. I've got here some management competencies
        that I spoke to you about before we started recording, Hugh. Now
        these have come from a Guy called George New.....

25   Hugh: Uh – huh.

        Researcher: .....and what the literature on competencies says is that
        really, they're only of value if we can pin point it to your job - if they're
        job specific competencies. But if you step back along the hierarchy
        you can find some general management competencies. So I've got 8
30   of these here. I'd like to talk to you about each one and I'd like you to
        see if you can find an example in your work where it would apply. So
        the first one of New's GMC's is action management which he really
        says is encompassing the oversight and co-ordination of jobs as they
        are happening and includes, at the end of that, correcting faults as
35   you find them.

        Hugh: Okay. I understand I'm somewhere between four and five staff
        removed from the firing line so I don't literally roll up my sleeves and
        do anything. I manage processes and people. However, this sort of
        thing would come into play..... I can give you some..... for instance,

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40   right now, I'm wording an agreement with another national institution
      (ORGANISATION) to slowly take over all of their bridge work which
      means getting students ready for college level work. Right now I'll.....
      there are three federal institutions. There's the (**NAME)** University
      (**ORGANISATION**) and (**ORGANISATION**) and we've all got separate
45   bridge programmes that are bigger networks because almost every
      student that comes to us needs English or mediation. Well it doesn't
      make   much   sense   in   the   sense   of.....   In   the   case   of
      (**ORGANISATION**) because they have one location which is in
      (**PLACE**) and these students have to be moved there, literally. So
50   you're moving 2,000 people from all over the country to live in
      dormitories and trying to learn English. If they don't they go home,
      well that's kind of counterproductive. We have colleges in every
      community in this nation. We can teach them where they live and, if
      they make it, they can go to (**PLACE**) and be fully fledged college
55   students, which makes a lot more sense as far as the practicality and
      the cost and logistics and keeping the kid's home..... If the kids failed
      learning English in their local schools, they should be forced to stay in
      their communities. So the problem becomes apparent. So anyway
      we started this about 2 years ago and just today I was working with.....
60   The situation in (**PLACE**)..... Because in the new name of 'vaguerism'
      at the (**ORGANISATION)**, we're not getting full funding for all the
      students who are educated. So I've got to play this trick in (**PLACE**)
      and basically I've got to enrol..... now these kids are coming to our
      college on our campus, but behind the scenes I'm going to enrol 600
65   of them in (**ORGANISATION**).   They'll be with us but they'll be
      registered there and (**ORGANISATION**) will get the money and then
      they will give me that money which is about twenty million bucks.
      There's no other way I can fix that because the (**ORGANISATION**) is
      inflexible – they won't change. Once they say what they're going to
70   do, that's it. So either we have to abandon the programme or we
      have to find some way to cut a money ring around it and that's what I
      was just doing there this afternoon. I was just assigning 20 additional
      faculties with that campus that we don't have any money to pay for.
      So I'm paying for 20 people that I don't have any money for payroll.
75   I'm paying them on faith that they'll teach the students. I will bill
      (**ORGANISATION**); they will give me the money, then I'll float the
      difference with the bank or something. That's sort of what this is.
      That's action management. I have things like that happen all the time.

      Researcher: And would that include Hugh, corrective action? The
80   problems.....I think problem solving in terms of the psychological
      construct is where I'm leading for on that. Do you need to solve
      problems like that as a regular part of your role?

      Hugh: No. Like what? Like the one I just described or do you
      mean.....?

85   Researcher: Yeah, like that or in general. If mistakes are made do
      you need to get in there and sort those out?

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Comment [A1]:
HUG71-78/N1

Comment [A2]:
HUG71-78/N7

Hugh: Yeah I.... We have pretty good policies and checks and balances and there aren't too many - quote unquote 'mistakes.' I'll give you an example of one mistake that was made though and again this is before I had to take corrective action. We have a requirement..... we have a sort of category of certificate called a Diploma which is basically a three year study to get it. It's kind of technically orientated and the rule says you've got to have a 4.5 IELT band to get your Diploma. So a lot of kids come in here with maybe a 3 IELT or 3.5 in it, but they study the technical stuff and then they study English and then the whole business..... it all gets to the end and they get their Diploma and they take their IELT and they're out the door. They can also take the TEFL or they can take the..... those are the only two that are currently acceptable. They count the total but what some of these kids will do, and I'm not sure how they do it but they find a way, well some of them bought a fake IELT Test. They've got some kind of thing with the printer in the truck of his car and they get the IELT certificates for (**XXXXX CURRENCY)** each and..... this time we had a group of about 56 students who come with the total scores and the way that works is the student can go..... wherever they happen to be - it can be in England or it can be wherever - and they take the total score and each has an educational testing service which holds the total. They'll send the result here to the registrar. Now say you're a student in (**PLACE**) and you were.... for some reason you were in England and you took the total; well they would..... (**ORGANISATION**) send the total here; we cross reference your name with your student number. If you go to (**PLACE**), we will send your test results to (**ORGANISATION**) and they're supposed to be the ones that make a determination in order for you to graduate. Well, we had 56 of these come in. Now most of the time we have savvy people around but the total comes from outer space. They'll look at the student and they'll look at the student's performance. You know - if you've been getting D's and C's in English and you've been..... your attempts at an IELT was about 3.5 and now you've got a 900 total which is like perfect English, then there's something funny going on. So they might interview you and they might say, 'Well we just can't accept this. We think there's something irregular,' because we have the right to accept it or not accept it. Well, anyway 56, came in and this is all crap to me but they stuffed the system. 'Brum, brum, brum, brum, brum,' all but 17 were found out to be odd and they weren't accepted, but one college was sloppy and they accepted all 17 and these people went out the door and they got their Diplomas and they left. We asked (**ORGANISATION**) to investigate it and they invalidated all 56. So here I have a situation now where I have 17 people who have actually got a certificate and they have left the institution and they did it based on an invalid total score or one that had been rescinded by (**ORGANISATION**). So I mean that was a mistake. The mistake was that the site management should have detected this and so then, what I had to do, I had to make a decision about what I had to do. Do I either just look the other way and say,

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'awe, bad; too bad; way it goes,' or do I say, 'No, we have a requirement that you have a 4.5 IELT or equivalent total.' These had never said that, 'I'm going to rescind your certificate and you have to come back and test again,' which is what I decided to do, but of

140   course, this is not quite that easy. These are all (**NATIONALS)**. I mean some American kids..... if you take away 17 credentials that are out there..... because these guys have all got raises at work already. So I had to go to the (**BOSS)** and tell him, which is not good because he doesn't like sloppy work. So I had to tell him all this had happened

145   and I told him what I was going to do. And I did. I gave the results for a bunch of people who were supposed to retest in the last couple of weeks. My sense is, probably most of them won't re test. My hunch is on what these people did; and (**ORGANISATION**) won't tell you; they discovered something but they won't tell you what they

150   discovered. Probably what happened is they probably didn't identify who was taking the test but these guys paid someone else to take it. That's what they usually will do. But, anyway, I think that's a..... there's a sort of a..... it has a little bit of a moral overlay to it as well. But you know.... I think those..... probably once a week something.....

155   some garden variety or some snaff or something like that will come along and I have to make a judgement. I have to go and take corrective action. I have to find out if it was a breakdown or just an anomaly and what caused it and then try and fix it so it won't happen again and so forth but.....

160   Researcher: As we go through these we might find that some of them feel repetitive. I think New's competencies we're talking about for managers, are a matrix as opposed to a linear process. The second one may sound familiar, 'Change Management – The willingness to take responsibility and accept change.' Are you a change manager Hugh?

165

Hugh: Oh there's no question. That's one of my arts. I've always been a change manager. I've never been in any place that didn't have to reinvent itself and when you reinvent yourself it's about change because you're not going to reinvent what was. I have a

170   whole history of that through my career. In this place..... I was really brought here..... I'm the first (**TITLE)** to ever be brought here. This place is going from what was really kind of a run down technical training academy to..... really a baccalaureate granting Higher Education Institution which is a considerable transformation and as.....

175   We aren't there yet. I mean I've been here 2 years now. We've re-done all the curriculum so that we now have a..... we have no more Diplomas at all. We have only Bachelors' Degrees and we have some Associates Degrees which has a 2 year flavour. But, you know, everything had to get..... everything from the curriculum to the faculty

180   to the student matriculation process..... because you know – how long you have to go to get things to get certain outcomes is different. So I mean we had to change everything and we're right..... next September, which is coming right up, will be the first full year of the

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Comment [A3]:
HUG129-39/N1corrective action

Comment [A4]:
HUG163-74/N2

185 new model. So it's a big change. But I mean I'm always doing that. It's like I've said, I've never worked anywhere where I didn't go and.....the reason I went there was there was something wrong if somebody hired me because..... I mean since I've been a Chief Executive, which has been since about 1982..... I've been a Chief Executive and you know, right at the very beginning..... I was first

190 hired by a corporation because they wanted us to open a new division that didn't exist. So that's changed..... I made something from nothing. So I had to go literally kind of like paratroopers when they hit the ground: hire people; get offices; make this thing come to life. And then, ever since then, every place, every job I've had has been.....

195 because the institution was in a sort of crisis and they wanted a reinvention so..... I was a (**TITLE POSITION)**; I was different things - but every time that was the story. So I've a lot of experience with that.

Researcher: The third one is, 'Co-ordination – the ongoing integration of actions and people.' Is that one of your role responsibilities?

200 Hugh: Absolutely. I'm just doing it because.... I'm changing some of the reporting structures in this office. In fact when you walked in I was just getting ready to put the word out of 'who now approves what' as leads, because different people were reporting to different people then but..... fundamentally, we have say 50 people, all doing certain things

205 and we're going to sort of put it back in the thing and roll the dice again and they'll be..... they'll be doing the same things but it will be integrated in a different way. So that's definitely..... that's what that's talking about.

> **Comment [A5]:**
> HUG197-207/N3

Researcher: The fourth one is, 'Creativity – the ability to visualise and
210 effect changes with appropriate insight and originality.' Is creativity demanded of you in your management role?

Hugh: At this point in time..... Yeah, I used to be but I think it's more limited….. I've had times in my life when a higher level of creativity was demanded because it was expected. Here..... the reason there

215 can't be too much creativity is because there's really strong cultural and social morals and expectations. You know that because you work here, too. So I mean you just can't get a blank canvas and paint this sloppy thing and convince people it's a great idea. I mean, it has to fit.

Researcher: But do you need to be creative within that limitation of a lack of creativity?
220
Hugh: Yeah. I have to be creative because..... there are problems to be solved and..... you know, there's solutions, which have been tried and perhaps haven't worked and there's also this very strange..... in this place, as you know, there's a kind of a (**NAME)** management

> **Comment [A6]:**
> HUG220-2/N4

225 mentality where everything flows from the top down. I mean everybody here wants to be a (**BOSS)**. I mean if you're here long enough..... probably even us but..... certainly the nationals think in

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230   terms of the (**BOSS)** because everybody belongs to the (**BOSS)**. Everybody belongs to a family the (**BOSS)**. The (**BOSS)**'s the one that decides basically what's going to happen, you know. Before you get married the (**BOSS)** usually is going to bless you and going to marry..... the whole nine yards. So I have to be creative just to work around that line. I had to..... and I had to know what thoughts these other guys had or I won't get any traction.....

235   Researcher: The word leadership and management's often confused but it seems to be that they are interrelated at least and that management is sometimes the domain of leadership but leadership is always a domain of management.

Hugh: Right.

Researcher: So do you need to lead?

240

Hugh: No doubt.

Researcher: 'The effective influence on other people in relation to results of the goal?'

Hugh: Absolutely.

Researcher: And set the goal or identify the goal?

245

Hugh: Yeah. I tend to..... my practise is to set goals collegiately. I mean I come up with the ballpark, if you will, and then we collegiately..... I have councils I establish. That's the way I just do things. I always hire in smart people when I want to consult with them

250   so..... I have consultative goal setting. But even in our evaluations I just finished this week, I have about 14 direct reports and we have an ongoing process that each year..... we have key performance indicators that involve..... that the consultants agreed upon; but then we have goals related to those and other things being based on our

255   goal attainment and the outcome is I really don't get lost. I used to always evaluate..... In fact I always used to evaluate myself because I worked for Boards and stuff. But here I..... I really should probably sit down and evaluate myself but nobody gives a shit. I mean with the (**BOSS)** it's either that you're 'on' or 'off', you know. I mean - you're alive or dead and.....

260

Researcher: Pretty effective but a harsh means of evaluation.

Hugh: Right.

Researcher: It cuts to the chase doesn't it?

Hugh: Well, it does but the problem is about all this..... I mean you'd

265   be in it up to your ass for relatively small things with the (**BOSS)** if he

Comment [A7]:
HUG245-54/N5

isn't favourably disposed towards it, so it's difficult in this environment when it gets to lead at a pace beyond me. I'm the first guy in this place in its (**XX**)-year history to ever do goal-based evaluations and - while I use them to determine people's fate: promotions; raises; firings

270   whatever, - the guys in the (**UNIFORM**) don't want to see them. It's all perception. So I find that very interesting but that doesn't stop me from doing what I need to do. But I mean leadership..... to me part of that..... what leadership is… is to lead the consultative process... to evaluate it and believe it and the people know you value it and believe

275   it. I'm just trying to think of something that will explain what I want to say.   There's this guy who was a (**TITLE)** of a very fine (**ORGANISATION)**. I had him come in and he's made great strides in getting his institutions praise and recognition. You might look at this in that paragraph..... (**HANDS RESEARCHER DOCUMENT**)

280   Researcher: I'm just going to read it out because it may be of interest in the analysis. (**TITLE & NAME**) in the short time that he has been at (**ORGANISATION**) has fostered a high level of transparency, encouraged broad participation and cooperation amongst the leadership and faculty of the institution and supports innovative

285   initiatives to provide effective learning environments that utilise an array of learning resources. Strategic planning is taken seriously as an important process to define and measure progress.   It also provides the framework for institutional transparency and communication.

Hugh: So, it's much better saying it.
290

Researcher: Yes, it's a definition of leadership.....

Hugh: I mean it's nice when somebody else notices. Sometimes you think when you're doing things but it's nice when somebody else comes in and there's been a few others. They all notice and it's not

295   because I'm so great, it's because this place was a vacuum. These things don't typically happen in this country.   If you want to be successful in higher education you have to have these types of processes – I know that.

Researcher: The sixth one is a word often associated with leadership

300   and management; 'The building of commitment and the awareness and ability to stimulate and control others successfully.'   Under the meta competency of motivation, is it your job to motivate?

Hugh: It is my job. Probably it's one area I'm not the strongest at but I was not a team sports player. I was a runner back before I got fat.

305   There's a bunch of my marathon medals hanging on the wall over there. I was a tennis player for.... I always played lonely person sports where you only had to compete with yourself and motivate yourself. I never played the kind of sports where you have to try and be a sports leader or a team leader of any kind to motivate. So I never really got

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Comment [A8]:
HUG266-9/N5

Comment [A9]:
HUG300-3/N6

310   those skills down real well. I try to motivate by giving good feedback and by being kind of supportive but I'm not immensely motivational but, yeah, it's part of my job. It's what I have to do.

         Researcher: You mentioned in the initial conversation, a consultative approach within your leadership.....

         Hugh: Right.

315

         Researcher: .....which may be seen as a technique for motivation.

         Hugh: It is for people who like that sort of thing. I've never really liked consultation. A lot of people like the Hitler approach or the dictator kind of approach. A lot of people think consultation is a lot of waste of
320   time and a lot of talk. I think the proof of the pudding is in the eating. You're judged. If you're some place for a long time and you put some good consulting processes in place and you have good strategic planning and a good measure of where you're going, I think time tells that that's an effective way to do things. Now is it better than
325   dictatorship? I don't know. Dictatorship's a pretty efficient thing too but dictatorship hurts. You don't jump up too high, you know - that's motivation. I mean, I have to motivate spiritually and motivate morally or motivate from an ego perspective and that's..... I find that's more difficult. So yeah, I'm supposed to do that. I have reservations about my ability to do that.
330

         Researcher: Organisation is a competency that says, 'Determining resources and how to organise and apply them in the light of the perception and evaluation of alternatives.' Again, it may be slightly overlapping but please feel free to elucidate. So.....

335   Hugh: Yeah, yeah, yeah that's a lot of what I do is deciding..... and that's kind of a militaristic thing; that deciding how you're going to form your battalion and whose going to do what and what type of logistics you're going to give them and... in other words, it's engaging an organisation to accomplish something and how you're going to
340   organise it to accomplish and you have to distribute resources in a controlled expanse. That's what that's about. I do a lot of that.

         Researcher: And finally New found planning to be a separate competency – 'The analysing and deciding of relevant goals and potentials as well as the sequence of sustained action necessary.'

345   Hugh: Yes a piece of..... in my operation..... I mean I don't do it myself. I have a planning mechanism. That will hold the part of the people doing planning. We have a methodology we use. We have target timeframes; we have target goals but all the stuff that goes in between is developed through processes but..... I mean there's a
350   machine to do that and..... I mean I find that highly important. I developed this. When I came here there was nothing. Now we have

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Comment [A10]: HUG309-10/IS

Comment [A11]: HUG311-24/N6 (?)

Comment [A12]: HUG334-40/N7

355 like 18 people in planning assessment in institutional research. You know I'm a big believer in that. I mean if you don't have a road map, any road will do - right? I mean my personal anchors in leadership really are planning, creativity and..... I don't see assessment in their but I mean, that's a huge piece of it to me. You can't really tell if whatever it is you're trying to do is working, if you don't have good ways access it. But this feeds back with planning..... creativity and planning kind of go together and the strategy and the action and

360 assessment and then back to planning because it's kind of an inland cycle.

Researcher: It's in perpetual motion not a one off event?

Hugh: And it all takes leadership because you have to believe in that. If you don't believe in it as the leader, people will blow it off. They'll

365 just say it's a waste of time and paperwork but if you believe in it..... and nothing happens unless that works. In other words, if you're running a college in..... you know… you've got your own ego bound in that college and your own ego binds with that college. You think you know what you need to do your job, but if you can't get resources

370 unless you engage in this planning machine, you'll engage it because otherwise you're going to be starved. Some people respect that planning is a good thing because of the sake of the activity and other people just put up with it because that's where you get the resources. But no matter why you do it, if you tie it to resources - and you don't

375 get anything if you don't plan - then you're going to buy it.

Researcher: I think I heard the phrase once that planning is effective but plans are ineffective because it's the planning that get the end result. I've got 12 Steps here of AA I'd like to talk about.

Hugh: Sure.

380 Researcher: I'm going to start with the 12th Step final phrase as a provocation that says, 'that we who follow the programme are to practice these principles in all our affairs.' That's what's suggested. Is it possible to practice AA's 12 Steps at work?

Hugh: Um. I mean.....

385 Researcher: As a general question.

Hugh: I think some of the Steps most certainly. I think some of the Steps..... I've never really tried at work.... I mean I use the 10th step a lot at work and I use the 7th step a lot at work.

Researcher: Is there..... an American statistic says that..... If it says to

390 practice these principles in all our affairs, that 8.8 hours of our waking time is spent at work..... the majority of our waking time is spent in the workplace and if we're..... it's suggested that we practice these

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Comment [A13]:
HUG345-57/N8

Comment [A14]:
HUG352-5/INT (?)

Comment [A15]:
HUG374/N8

Comment [A16]:
HUG374/TP

principles in all our affairs. I'm just.....

Hugh: I certainly wouldn't differ with that. I think, though, that..... I
395   think there's only some..... in my opinion, there's only certain ones of
these principles that I'm continually using in practise. That means
literally that you employ them. You don't do them once and then put
them away - you employ them and so certainly the concept of the
powerlessness is very important.

400   Researcher: Can we go through them and start with that because the
first Step says that, 'we are powerless certainly over alcohol and that
our lives had become unmanageable.' I would just ask as a
provocation, are you powerless at work?

Hugh: Yeah, well, what the 12 Steps talk about is being powerless
405   over people, places and things..... certainly that concept is a lifesaver
or has been for 20 years for me at work. No, I can't change you. I
mean I can basically tell you.....if you work for me, I can tell you what's
expected of you; I can tell you in my opinion how I see you seem to
come across; I can tell you what I think are your strengths and your
410   weaknesses from what occupations I might have and I can even make
some recommendations for ways you might be more effective. That's
kind of my job as manager/coach, because I mean part of managing is
being a coach - to coach - but I can't change you. If there's things
about you that, for whatever reason, either you're unaware of them or
415   you own them or whatever they are..... and maybe there's some
things that are fairly irritating..... I know I can't change them and so my
choice is to accept them or not. If it's so irritating, it's so disconcerting
in the workplace, I may have to get rid of you but I know I can't
change you and that's very empowering. I know I'm not powerless but
420   what I can do is, I can do the coaching and I can be honest with you
but what I can't do is change you. I can't expect to change you. So I
mean I don't go home frustrated. I don't go home and think, 'Oh, shit,
these people don't behave like I thought they should,' or, 'I didn't get
my way; maybe I shouldn't have got my way,' but all these things –
425   because I know that I'm powerless - the only thing that I have power
over is putting processes in motion. I can do that. I have the power to
do that because I have authority. I can put a process in motion like
the planning process. I have no power though over the outcome. I
mean, I don't know where the hell I play as a middle lead. I mean I'd
430   like to think they're going to lead to where I..... I mean I have my ideas
but rarely in my career has my plan had the planning process cut
down to where I really wanted it to come out. Now I was hoping it
would come here; but maybe it went there; maybe it went here. I
never have a goal for here but it doesn't do that. It isn't my plan. It
435   isn't what I wanted particularly but I started the process so I have to
have faith in the plan for longer. So the idea of powerlessness makes
it okay. I don't have power over all the people that are engaged on
this site.

Comment [A17]:
HUG404-19/S1

Comment [A18]:
HUG422-3/SR

Comment [A19]:
HUG421-8/S1

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440 Researcher: But we couldn't say that to our employers could we, because they might say, 'Well don't hire that guy there because he's not taking responsibility for outcomes?'

Hugh: Well I don't..... I mean in this country they don't drink anyway, so they don't understand AA's talk at that stage. They're not very..... you can read the Koran. It has a lot of stuff to say about behaviour
445 and.....

Researcher: I know it's a simplistic provocation but some employers might not get that complexity of what you just explained and expect the manager to deliver.

Hugh: Right. Yep, well and my answer to them will be, 'Look, you
450 want results and you want positive results. Do you particularly care exactly how the results come if you're making money or you're producing the outcomes you want and the firm - by all measures'. If it's a private firm, profitability or whatever..... In this place we have measures of efficiency. If those things are in fact succeeding and
455 improving, then do you really care specifically how that's happening? I think what you should care about is that they're improving.

Researcher: Some of us work to targets though don't we? If you take a sales environment and you're going to produce a hundred million dollars worth of business; and if you don't....

460 Hugh: Yeah but how you do that is what I'm getting at. That is a more targeted goal. If that is a goal, that narrows the targeting area quite a bit but still, how you get from here to there is going to be manifested if you have a fast bearing planning process..... maybe how the way the team - through all these machinations - decide to get
465 there is different to the way you would have got there. That's my point. So either you believe in it or you don't. If you believe in the process and you start the process and you live with it but you know you're powerless over it.....you do that right.....if you see something obviously broken or there's something that.....there's a
470 misunderstanding or something isn't working as it's supposed to be…then you have the power to go and say, 'wait a minute, we have to play by the rules.' I mean the rules are fair but you don't have the power over all the different people's inputs and where those inputs are going to go. So, anyway, the first step now that is written there about
475 the alcohol business is written about either people, places and things and has been of immense help to me in basically letting go and not letting the fact that it isn't going the way I think it should exactly drive me crazy. I mean I'm perfectly happy with it – with whatever's happening and the first step is why that is so. The second step.....

480 Researcher: You mentioned the phrase, 'Crazy' there, if I can use it as a cheap link to say that, do you believe that a power greater than yourself can restore you to sanity at work? How does that sound to

Comment [A20]: HUG446-56/S1

you?

Hugh: Well I think..... I mean certainly..... now here you're getting to a
funny place where you have to kind of separate the individual from the
organisation-person, kind of. They vary in Steps. I mean, I am the
Chief Operating Officer you know in the (**ORGANISATION**). I'm in a
box and that's what I do and that's..... If you describe me..... If you just
bring in my job spec I mean that's me; but then I'm a human outside
the box and certainly I need salvation as a human. I have all of the
seven deadly sins that can corrode what I'm trying to do as a leader
and I don't know how else you overcome those things. I mean, for
sloth I might want to go skew off for this afternoon; I think that girl over
in facilities is cute, I'd like to go screw her if I could get hold of her. I
like to figure out a way..... I run through 1.3 billion (**CURRENCY)** a
year - I'd like to steal some of that. I mean, all these things that could
come into your mind that I think.....you know… to me it's a spiritual
question. If you can guide the goodness and rightfulness of what
you're doing and God can help you, and power you over the dark side,
so to speak , I mean there's always the dark side. We have....and
some of our people here, they abscond and they do all kinds of things.
I mean here..... this is a funny country if you abscond. I heard that
before I came here. In (**PLACE**), if you don't pay your bills nobody
gives a shit. That's part of the deal. I mean, everybody stiffs
somebody sooner or later. Here you go to jail if you don't pay your
bills. So we have people who live kind of on the high life for a little bit
and then it's time to go and they figure out that if they don't want to
work and can't pay bills.....and they just disappear into the wind and
become absconders. But, you know, all I'm trying to say is I do think
that yes..... I mean I do actually pray at work at times when I'm
challenged with a sense of a morality or...that's usually a...or
sometimes I'm challenged just because I'm really sort of offended and
then I have to have a power greater than myself to pull me out of that,
particularly the moral challenges. In this place, I have more
challenges here than I ever had in my whole career and I've been
working for about (**XX)** years and..... for (**XX)** years I never had
circumstances where I had to go and get rid of somebody just
because I was totally having a go type of thing - without any real
structural cause for that or without any just reasoning. I mean there's
no justice to it with, 'you gotta go.' and she said, 'You've got to go - so
you've got to go.' Now you can arrange this apparently and this is the
way I can deal with it frankly…. I think, 'God help me with this.' You
know, you've got to realise that this is these people's place; it's their
historical claim and they literally own it. And secondly, this culture and
this society and all the things that go with it belong to these people.
We're here as invited guests to try to help them accomplish something
and we're not here in history to rewrite all their rules. They didn't ask
us to do that. They didn't say, 'come and reset our society; come and
challenge our cultural assumptions.' They never said that. They just
said, 'come and help us have better colleges.' You know, 'help us to
be more efficient.' So yeah, I think the higher power comes into play.

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Comment [A21]: HUG486-499/S2

Comment [A22]: HUG509-10/PG

Comment [A23]: HUG509-13/S11 (?)

Comment [A24]: HUG521-2/PG

Researcher: And as that example of maybe having to remove somebody as a simple example that you gave there, you mentioned God helping you. Is that part of the Step 3 process of handing things over that are beyond your power, which might be beyond yourself according to the program?

Hugh: Yeah there's no question. I had to get rid of a..... I brought a (**PERSON)** here who..... I didn't know them.   I knew about..... like I know you. Maybe you know them better than me. THEY wer an Executive at the college at another place and I..... over a number of years with sort of Boards and Commissions with this (**PERSON)**..... So I knew them professionally. I talked to them. I always thought they were pretty savvy and pretty together so I talked them into coming over here and..... But they just didn't quite ever measure gears with..... I have a couple of people like this. Unfortunately there's another guy who's in (**PLACE**); I'm kind of having the same problems. They just never..... you've got to understand what I said to you a couple of minutes ago; these people..... this is their historic place. It's like going to an Indian tribe in (**PLACE**) and going on a reservation and saying, 'Well, what do you mean it's a sacred place and nobody can go hunting there except the tribal members? Screw 'em! I want to hunt a deer. I'm gonna go there. Get out of my way.' You can't. I mean it's sacred because they've said it's sacred and you can't come in and say it's not sacred. It's not your place and it's the same thing here. I have..... they never could quite understand that. So it was kind of like 'square pegs and round holes' and a lot of small things that this (**PERSON**) should have simply understood that they had to comply with but they just didn't want to, because it wasn't their way. So I had to get rid of them you know. And they didn't fail. They did an okay job as far as I'm concerned but these people didn't like them at all. It was really hard on me because they came here largely because they had confidence in me and I invited them and I had to pick up the shit and they had to go and I may have to tell this other guy he has to go.

Researcher: And so do you hand that over as such.....

Hugh: Yeah.

Researcher: .....without negating personal responsibility?

Hugh: Well I have to because it isn't my choice. It's part of my reality in this place and a:- I'm powerless over it and b:- if I let it drive me crazy..... I only have a couple of choices. Either I could pack up and go away and say, 'I refuse to do these things,' or I do them. And then if I do them, I have to have some way of absolving the fact that I don't think that it's really correct behaviour. I mean it's not necessarily immoral - it just isn't what I would call appropriate behaviour that I find myself engaged in it. So I mean if it wasn't for the higher power..... I

find that, more here I use the 3rd Step I think in my work.... Now the 4th and 5th… um.....

Comment [A25]:
HUG555-575/S3

Researcher: Yes how did your moral inventory impact upon you as a worker; as a manager of organisations?   Is there a relationship between your 4th Step?

580

Hugh: Well there is…um....the main things that come out of the 4th Step in my case are...it's not unusual, but fear: fear of rejection; fear of not measuring up and that type of thing; fear of being found out - just general fear. A lot of fear and also insecurities which are linked to the
585   fear and then the myriad of coping mechanisms that go with that. Up until the drugging and drinking. If you're drinking, you'll do anything. You say, 'Fuck everybody else.' That's my father figure expression. When you get drunk you say, 'Just fuck everybody.' But as a foundation, what that does, it..... and also a little bit of ego but mostly
590   fear, you know, and this inferiority thing. I can..... when I start having problems with a person, or have problems with something - you know some type of admission that I've got to deal with, and I ask myself why I'm having so many problems, usually I can..... many times I can trace it back to those strings that are getting pulled. Particularly when it's
595   with people; if I'm having difficulties with a person.   They are somehow threatening me and I'm afraid somehow that at the end of the game they might be right, you know. Maybe they are..... maybe they're superior to me; and they're threatening me and challenging me. But, you know, I'm the boss and so...I mean I can't have these
600   people pull my chains. I have to be professional but why do I feel like I feel? You know, certainly the 4th and 5th are..... because I never had a lot of psychological counselling. I did have a go with this fellow; he was kind of helpful for a couple of years but that's kind of off at a different kit than the inventory approach.

Comment [A26]:
HUG585-87/PM/SC

Comment [A27]:
HUG589-93/PBI

Comment [A28]:
HUG580-600/S4

605   Researcher: So, if you recognise that your strings are being pulled that you've just mentioned there, does that lead in to the admitting to God, to yourself and to another person and or.....?

Hugh: Well no not really. It just relieves me of the strength of the struggle. I mean, maybe, at one point long ago, what led me to the
610   sort of..... like the 8th and 9th [STEP]. Now the 8th and the 9th is something also that..... again I practise the 10th which is a sort of more instant reconciliation; a more instant inoculation for trouble you many cause. I do it quite frequently. I did it this week. I was kind of an asshole to my secretary. That wasn't really bad. I was stressed
615   out. I had a horrible week last week because I had to get this decree approved by the (BOSS) and I knew he wanted it but..... the decree is forcing some nationals to do some things differently than they want to do them. They don't like it but I really needed to do this thing and it was really tense because I knew he wanted it. I knew it was the right
620   thing to do but I knew these people..... they were pulling some capers and this would make them clean it up and stop doing that and I knew

Comment [A29]:
HUG607-8/S5

Comment [A30]:
HUG607-8/PS

Comment [A31]:
HUG610-15/S10

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that I would have to pay the final price. I'm sure there's plenty of.....
my dog will be poisoned or my tyres will be slashed. There's plenty of
punishment to come. But I had a very stressful week so..... and at
625   the end of the school..... this is a very funny business you know –
(**NAME)** university is nothing. In June everybody gets like psychotic.
You start the year in September and it's all sort of, 'it's great to see
you. Did you have a good summer? Let's get going.' There are new
hills to climb. And you go through the year and by the time you get to
630   June, you're so damn worn out and everybody is slightly psychotic.
The people are around at the exit doors. So, I mean, you get that
phenomena plus I had this strange..... this (**BOSS)**-versus-the-other-
people thing going on and, once I got into it, I had to see it through
because if I had not seen it through - well I don't know what the
635   (**BOSS)** would have done or expected me to do with these people.
They would have gotten their way. In theory, they're nonsense and
what it basically is, is some people started to revolt and they kind of
were doing it under my nose. They started getting Masters Degrees
based on the institutional reputation but they didn't have a proper
640   graduate office set up to really develop, approve, police and oversee
graduate programmes or even to designate a graduate faculty. They
were just run..... and they kept adding the kind of flavour of the month
and there's always plenty of (**NATIONALS)** that would come and take
these things because if they get a Masters, then they can go back and
645   get a bigger raise and.....I mean, I'm the Chief Executive Officer; I
can't have that going on under my nose, you know. So I mean..... and
a couple of consultants through the years have come through here
and they've made mention to me that this was sort of starting and
those reports went to the (**BOSS)**. So he kind of knew but I had to
650   blow the whistle and say that this was getting totally out of control. It
went from a little bit to.....now we could have thousands of people in
this game and worse yet..... I mean I didn't even get into this bit, but
the guys that are running it collect full fees from the students and they
throw them in their..... It's kind of like a corporation pot but I actually
655   paid a faculty and they teach and I'm not getting any of the money
back. So it's a scam from a money standpoint, which I haven't even
gotten to yet, but I just didn't want the academic credibility threat that
was what was bothering me. So.....

Researcher: We're on Step 10 …

660   Hugh: and just through that process..... In the last two weeks I've had
a couple of times when I had to tell people I was sorry; I was a little bit
impatient. I didn't do anything bad I was just impatient.

Researcher: What's the..... what affect does you apologising have on
these people, if any?

665   Hugh: Well, I knew immediately it has an effect on me which is the
whole program and that's the whole idea of the 12 Steps. It's for you;
to make you okay. It keeps me mindful of my standards of behaviour

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and my treatment of others, by calling myself when I do that and apologising. Going to that extent is just a corrective training course

670 for me. I think in some ways though I would say, probably people..... at least..... I think it helps being a humane and individual.....you know if you're..... it's kind of like, if you have a dog and you're nice to it all the time and you take it out walking and everything's good and then one day you just fall off and hit it. You really fuck the dog up and it

675 doesn't know why it happened. 'What happened? I loved this guy. He's my master and I love him and I do everything for him and he hit me!' And then the dog is going to be all confused, you know. He's going to be afraid to approach you and he's going to be turning if I did that. It's the same way with all these people. First of all you have to

680 understand..... again in this - what I think is a basically hierarchical society..... you know, the people who clean the buildings; the people who are..... my driver; my clerical staff..... you know, these are mostly sub contract people who don't have a pot to piss in. They don't make any money. My driver I think makes maybe **(XXXX CURRENCY)** a

685 month you know and, yet, that's so much more than he makes in (**PLACE**). He puts all his energy in every day and goes home for the summer. So you know.....and you see a lot of the ways in this hierarchal society, there's kind of a lot of abusive behaviour that flows downhill. I mean, I see a lot of locals kind of be abusive towards

690 housemaids or drivers or they just..... they aren't gentle with them. They don't treat them like they're equal human beings. I mean I try to treat everybody like they're equal human beings. I even open the door for the guy who..... we have these cleaning guys here who are not our employees. They're paid by some company called (**NAME**)

695 and I think they get (**XXX CURRENCY)** a month. They get dreadfully little money and these guys are..... you know, they almost piss in their pants when you walk by because their job's important to them. They don't want to get anybody..... and there's a history here. Occasionally some of the national guys just.....the locals just fire people and send

700 them back and it scares them to death. So, I mean, I'll even open the door for these guys. I just treat them like human beings so..... I mean, if I'm that way year in and year out, and day in and day out and then one day I've got a cob up my butt and I'm impatient with one of them, they'd probably wander what it's all about. It's kind of like the dog; if I

705 hit the dog. So I feel I have to go and set it right but I think it's mostly for me because I want to reinforce my humanity.

Researcher: How does..... Just looking at 5 and 6.....

Hugh: Yeah.

Researcher: If you noticed that your defects of character are coming out to play as such.....

710
Hugh: Right.

Researcher: .....this suggestion that 'we're entirely ready to have God

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Comment [A32]:
HUG666-8/OMS

Comment [A33]:
HUG656-69/S9 (?)

Comment [A34]:
HUG666-9/S12

Comment [A35]:
HUG691-2/EQU

Comment [A36]:
HUG705/EQU

remove all these defects of character'..... does that phrasing..... does that process come into play for you when you're noticing these things?

715 Hugh: Yeah. It comes into play all the time. I get a little bit fucked up because I'm sort of a..... I try to practice Buddhism as well and mediate, so the Buddhist is around my neck and also the family do.... okay, well ….God. You understand what I'm saying? And they're not in any way incompatible. With the 12 Steps there are certain
720 pathways.....so, I mean, I tend to view most shortcomings as unbridled desire and unrequited desire and things that stem from that 'want' and the behaviour that comes from it and it's largely the same with that. So when I find myself getting worked up over something or feeling really bad about something, then I try to dig back into it and try to sort
725 of pull the layers apart and see what's at the bottom of it. Like I say, more times than not it's my character defects; that somebody's pulled those chains and then, whether you try and solve it in the meditative sense or try to solve it..... a lot of the language hasn't got removed like in Step 2 over there, but..... I do a lot of that and I never know if I'm
730 thinking in Buddha or if I'm thinking in the 12 Steps, but I do a lot of reflection. I probably do, I believe, probably about an hour a day at least. If you thought and had a stop watch, it'd probably be an hour a day of reflection.

Researcher: Even with my crude links I can't excuse not dealing with
735 this now because you've raised meditation - Step 11. Do you pray or meditate at work?

Hugh: I do. Like I just said, I see reflection as a sort of meditation. And I do pray. I mean I don't have a prayer pattern. I don't say..... well like my Chief Financial Officer who throws down his mat and gets
740 down on his knees and does a Muslim thing. I don't know how many times I go into his office and..... what happened one time, was I had a bunch of stuff I needed done really fast and I was talking as I walked in and I didn't see him and there he is in the corner. He was rolling it off his tongue and I broke off his meditation but he didn't do anything he just kept praying.
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Researcher: But are you ever doing that? When you're in the presence of others at work..... It might be at a meeting - to paint a picture, Hugh. Do you ever go in to that mode?

Hugh: Yeah, sure.

Researcher: And can you do it in the situation that you're in?
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Hugh: Uh – huh.

Researcher: Can you give me an example? Even just a painted example.

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Comment [A37]: HUG722-4/PBI

Comment [A38]: HUG717-26/S6 (Buddhism)

Comment [A39]: HUG728-37/S11 (?)

Hugh: Well, I mean most of the time it's just simple stuff. I mean,
most of life is simple. Usually, I might just pause..... like if I'm getting
heated up. I run a thing called the (**NAME**) council which is my main
consultants – the consultative body; and there's one guy in there. He's
a real bright guy. He's the longest serving (**TITLE**) we have. He's
been here over XX years and..... but he's a..... I don't know what word
to use to describe him but kind of a tenacious guy.   He fiercely
defends what he thinks is right and he's not very open to other ideas
and even if we have..... like there's 14 people in that group and we
pretty much have a meeting of minds and we're kind of coming to a
resolve..... I mean it's always a sloppy thing if you've got 14 people
that are fairly high powered people and you're trying to come up with a
resolve. It's never easy but when you're kind of getting everybody
heard and, 'Okay, we've now got an agreement here,' but he'll go off
and damn near shipwreck the whole thing. You know it really makes
me want to scream sometimes and tell him he's out of order and shut
him up but I mean that's not the way to do it and I might say the
serenity prayer. I say that quite a bit in cases like that. I'll just simply
stop..... I mean, as he's ranting on I'll just toot it out and say the
serenity prayer and then..... Usually the way you deal with people like
that is that you let other people deal with them, or you see if there's
any compromises or any room for common ground. If there isn't any,
then you have to just make a decision with an exception and.....
you've got 30 years experience and we're playing with this because
we're not going to have a consensus but there's a rough edge -
especially if you're making rapid progress towards a consensus and
you have a pretty good outcome shaping up and then you have one
guy that rattles the whole damn thing. This isn't anything new. I've
had this guy..... I've had so many people..... I mean back 8 years ago I
had a thing called (**NAME**) council back in (**NAME**) and I used to sit
down and go to the shoot out of the deal because it would be like -
whatever day it was… Friday afternoon…whenever we had a bunch of
stuff to solve and invariably there'd be one or two of those guys who
would do the same thing. It's just kind of the nature of this work.
Some people think it's almost their obligation to be contrary.   But
yeah, I do the serenity prayer and sometimes I pray for the people.
That's another thing I've been taught in the program. I mean none of
the stuff that I ever..... I didn't learn any of this on my own and I didn't
learn any of it in church you know. The concept of praying for people
which comes to you in the..... maybe the 8th or the 9th..... you've
heard that before have you?   Like, if there's somebody that really
hates you because of what you've done and you need to make
amends to them, one good way to do it..... and also even beyond the
9th - even later when you have people that really cause you
difficulty… one way to be able to co-exist with them is to pray for them
and ask for help for them and..... so I do that quite a bit in these
meetings. I'll ask God to help this crazy guy. I'll be more happy and
relaxed and smell the roses.   I used to get..... there was a guy
leaving..... He was a wonderful guy. He's a (**TITLE**). He quit. He just
left yesterday. He was my (**TITLE**) Officer and I hate to see him go.

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Comment [A40]:
HUG757-71/S11 (?)

Comment [A41]:
HUG799/PG (?)

Comment [A42]:
HUG790-9/S11

805 He was really good but, you know, he'd been here for 4 years and he has little kids that are going to be in school and he wants them to be around the school where he can see them rather than here. I can understand but it's sad to see him go. But, like, I have this organisational change that I haven't even quite got all finished yet - shuffling around who's reporting to who and how it's all set up and

810 there's one guy that's not even that important. He's sort of a philosophical thing. He's a (**TITLE**) Officer and I had him over in quality control as we were developing this new methodology. It was experimental and it took about 2 years to develop and he was good at that and then we pilot tested it in the colleges. Well, now it's all

815 been..... it's working. There's no more experiment going on it's just that I'm doing a piece of it in business. So I think it was a smart thing..... in fact, it wasn't even my idea. A guy below me that I put inthat part..... in the academic part of the organisation….said he wanted to move that guy over to his part and it made sense to me

820 because it's not experimental; it's ongoing and there were some communication problems because this guy was over at his unit and yet he's doing things that affected these and I thought that it made some sense to put him over there. But, you know, these things can often cause a lot of trouble because it all has to do with people's self

825 worth and you start changing who reports to you and how you deploy and..... you know, it's really difficult to get that right. I've never been able to get it right. No matter how much you try to explain to people or ask for input, there comes a day you've got to put up the wall chart and usually there's trouble. Anyway this guy who's like 4 layers

830 down..... I still have the final decision. It has to be me. Is he going to be here or is he going to be there? And I have two guys that are really impassioned, arguing different arguments. And the funny part is it's all so low stakes. It's, like, not a big deal, you know, but now they've taken it as their fight. They're both just really steamed up

835 about it so I thought, well either it's going to last until August or we're all going to sit down and talk about this before..... but this guy who just left, he was two layers down; even this guy reported to him and a day before he leaves, he writes me this big..... and copies all the other players in this brief; this big rationale of why this guy shouldn't be

840 moved. I said to the guy 'Oh Jesus,' but first I prayed for him, 'You're leaving me with this burden,' you know. He shouldn't be worried about it, though. He should just go to (**PLACE**) and have fun and I said, 'Well, it's your last day, why have you sent me out notes just like this?' He happened to say goodbye and gave everybody a hug before

845 he went to (**PLACE**) and I will sort this thing later, but I mean I had to pray for that guy. In that praying, that.....because these two people..... when you have two hard-headed guys..... There's an (**NAME**) who is a PHD for (**PLACE**) University. He's a (**TITLE**) engineer. He knows how to make (**NAME**) better than anybody in the world you know. He

850 is a genius. He's one of..... this guy; I swear to God I know he's upwards of a 160 IQ. He's really up there. He's really bright. And the other guy is..... he's a (**NAME**) who's lived in (**PLACE**) most of his life and he's an academic but he's as hard-headed as hell. He's got.....

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855   and he has all the..... besides being a hard academic he's got all the (**NAME)** mannerisms, too, which makes it even weirder you know. So I've got these two guys and I've got to hear both of them and here I've got this insignificant stupid decision to make of where to sit this guy. All you can do is pray about it. I mean there's no right answer.

Comment [A43]:
HUG854-7/S3

860   Researcher: When you mentioned praying for other people as part of an amends, do you..... besides the apologies and the praying…are there any other examples of making amends at work that you can think of?

Hugh: No.

Researcher: I mean it's clearly relevant.   You have given two examples. I'm just seeing if.....

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Hugh: No, I haven't done it lately. I haven't historically. I remember there were a couple of fairly big wrongs that had to be righted. I made a bad call based on information I thought was valid information, but, you know, it was like damaging. It was hurtful to some people and I
870   found out that the information wasn't right. It wasn't considered right. And there again you have the choices. You can either just bury it and move on or you can go and try to undo it and re engineer it you know. I've done that a couple of times. I've gone back in and said, 'okay well here's the facts. At the end of the day this is what came out and this
875   is what it looked like then. These were the decisions and why but this is how it is now. So we need to make all of this right and re set it all.' That's really bad because if I hadn't done that.... I couldn't..... I know I've done it because I can remember the pain of it but it's been a lot of years since I have done that but I have had to do that.

880   Researcher: Does the pain or the memory of the pain make you wary of having to do it in the future?

Hugh: It makes me hopeful I don't have to. It makes me all a bit more careful and I am a bit older. Of course as you get older you get a bit more conscience. You slow down a lot and you've seen everything
885   and done it four times yourself. You know, you don't make those kinds of foolish errors of youth and..... but, yeah, I know..... this whole thing..... the whole structure that I believe in which is the transparent structure based on good faith and participation and collegial schedules and collegial assessment..... we all look at the
890   assessments and we read them and we all look at it. We all agree to it upfront and when it comes out we all see it. It's all based on morality, you know, and so you have something that you screw up and you've got to set it right. You've got to do it because if you don't you mess up your whole construct and your whole philosophical basis for
895   your organisation which you're talking about. This is an example. This is a..... the guy that just headed for (**PLACE**) - this is the first edition of the report and this came out about a month ago and this

Comment [A44]:
HUG886-7/ETH

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was given to the (**BOSS**). What this basically does is it takes all of our colleges and we have key performance indicators.....

Researcher: Yep.

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Hugh: .....and they're over here and going down the colleges then we can see how everybody basically performed by those key performance indicators. So we read them and we..... some of these aren't very good. Some of these things..... like this one's really a screw up. What this means is..... what we did is we..... you have a few problems in..... if you have a standardised curriculum and you teach it in various places, there's problems with consistency. One is that do you apply it consistently so the student learning it in this place gets the same thing as the student learning in this other place? There's always that question. And in the second piece is that there's personal dynamics in it in that..... and that's more to do with creating education. Some teachers just haven't..... especially in this culture. Once again, a lot of the time people who come here who want to keep their jobs don't want to have trouble with the locals because you never know who his father is. These kids will give you a real buzz-rush about getting them and giving them good grades and excusing all sorts of things. You know, to be a disciplined teacher here is more difficult than it is any place else because it's..... but if you do your work right and you keep good records and you are disciplined every time that there's any trouble, then the shit will always come back to the teacher but you've got to be sure you do your job right and some of these teachers are afraid. So.... I mean I've got 17 different places teaching the same courses and so I have no idea..... I've got to know what the consistency is - so we came up with this audit process. This is this experimental thing that I told you about. Every course that we have has learning objectives that say if you finish this course you should know your a, b, c, d and e and so forth. Okay, so we actually constructed a test and I can tell if you actually mastered those objectives – at least reasonably well I can tell. So we did all of these centralised tests and what I do is, unbeknown..... Let's say you're a teacher in the (**PLACE)** and one week before the class I'll send you a signal to say, 'your course has been selected for one of these audit tests and you must administer it. It'll be online.' We have computer labs. 'Go to the computer lab at 8 in the morning on this day; the test will be there and your students must take it. It's like a 40 or 50 item test and it's going to check up on their learning objectives.' So then what we can do is, I can compare it from that test with their course grade and what that tells you here is there's a 21% difference. These course rates are 21% higher than what came out at the audit. And you can see it goes down that road. These are almost right on the money. There's no difference and you can see there, there's 11%. My opinion is that this is a science because there's a lot of variables that can make a difference in exactly how a class should have done but probably there's a reasonable..... it's like 5 – 7%. There will be a reasonable reslt and we have to do more research to find out what

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that reasonable result is but I can tell you that it shouldn't be 21%. There's something really wrong there. I mean, the first one..... these were only the first experiments. This is the actual whole year. The first..... two years ago I bled the first one out of the box. They had an economics test. Everybody that took it flunked it and everybody got an A across the board. It was 180% off - so, I mean, that was fascinating. So we were running out there to see what the hell was going on and what I found out was that the only objectives of whether somebody mastered them, where largely built on the text book and on the course materials and when I got to the college, I found out that the structure that was required was to use the text book. He was just writing these little sort of lesson plan things he was standing out and I said, 'Well, why wasn't he using the text book?' We buy these damned things and give them away free. They're expensive. He said, 'Well, because it was too hard for students to read. They wouldn't understand it.' Well, that's a pretty sad excuse for a Professor to say, 'the students can't master it.' 'Well, then let's back up that up then. Do you have any student records for your course? Let's not use that as a cop out just to hand out grades.' But I mean that sort..... so this thing is really good. And now we have a system for the tests. Ten percent of all the courses administered in any given term get this audit. It's a mindfuck. You never know if yours is going to be one of them so you're going to be paying attention to the course outline. And you know.....it's not..... I'm not going to come and fire you. I mean the guy that was 180% off - I didn't do anything to him. I just said, 'Jesus, we've got to find out what's going on here,' and then we found out what was wrong. But I knew that wasn't the only thing wrong. We just..... we had a little improvement plan with this guy and it came around.

Researcher: One word we've skipped over I've been talking to people about in these interviews Hugh is, in the 7th step is this word 'humbly.'

Hugh: Yeah.

Researcher: Taking the word humility from that, what relationship does that word have to you at work if any?

Hugh: It has a lot. It's..... humbly has a little bit of a linked power to this because..... those who know about being powerless already say that humility...... I forget the exact depiction of this in the dictionary but I've looked it up enough times, but it's basically..... humility isn't weakness; it's sort of a gentle understanding of one's place in the world type of thing. What humility does is it lets you know that..... you know, pounding on the desk isn't going to get things done. I mean the whole idea of working through others and the whole idea of inspiring others to accomplish a task and this sort of thing..... in that is an unwritten statement that we're all equals. I mean, you may have a different set of preparations that I think..... you may have different life experiences but you're not unequal to me. Well, you're equal but you

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Comment [A45]:
HUG948-73/N1

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may have different strikes of equality than I do. But we're all basically equal in this game and to me that's an important..... Humility - the way I read it - is that I don't think that I'm in the driver's seat, you know. I
995 rarely ever have to exercise that because I can't afford it. I can't even tell you the last time I did - when I said, 'This is how it would be.' I just don't do that. I mean, I have done it in my long history. If something..... especially like a..... I was involved in a couple of political campaigns. There was a lot at stake and time was short and there
1000 were some decisions that just plain had to be made about how some money was going to be spent or else how some of it was going to go. I didn't have time..... I mean I tried to get all the input..... we worked the whole thing but I had a deadline and I had to give an order to a media company about what they were going to print or something and then I
1005 had to say, 'okay, this is what it's going to be,' and then I had to just issue orders. I don't usually do that. I don't like to do that. I'd much rather again, have the process come up with the answer because you're going to get..... 9 times out of 10 you'll get a lot better answer if you've got 4 or 5 good brains contributing to it. That just won't break.
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Researcher: I can see that as an example.

Hugh: But this is part of humility. It's knowing..... that's like a truth to me. That's not an assertion. That's not a proposition. That to me it is a truth. The idea of equality is a truth. And so with that, I think humility helps make that happen because you have to have an admiration of
1015 the people to feel equal so they aren't intimidated.

Researcher: If you see somebody at work who may have some problems beyond their technical performance, do you carry the message?

Hugh: You mean like abuse of some kind?
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Researcher: Well it could be abuse. I mean, some people have spoken about just problems in general and about how they use this program within their working time, sometimes very subtly to help others. Does this program help you help others?

Hugh: You know it has in the past. This place is..... the
1025 (**ORGANISATION**) is a funny place. At least..... maybe it's partly to do with me and my history and my job, too, but I don't really have a social network or social community. I mean I know some people go on to the (**PLACE)** or..... you know, they seem to have these kinds of sub groups of ex pats that hang out, especially the young people. I
1030 understand that if you want to get laid and you want to have fun. So you have your little network of ex pats that you hang with. I don't have that. I've got my wife and I've got the people on the program but you know my life's pretty much work. I get here at 7 am. I don't get home until 7 at night and I'm pretty tired. I have a horse I'd maybe attend to
1035 and so between them and my work and my horse - sometimes my

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Comment [A46]:
HUG986-93/EQU

Comment [A47]:
HUG983-93/S7 (?)

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HUG995-7/DIF

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HUG1008-10/DIF

Comment [A50]:
HUG1013/EQU (?)

Comment [A51]:
HUG1012-16/EQU

wife - that's about the end of it for me but I find in this place..... what I'm saying is people here are not nearly..... at least in this organisation; I can't speak for everyone because this is the only place I've really been here, but people here are not like they are where I

1040 come from; where they really bring a lot of their kind of personal life into the office. I don't know what these people do. I don't know who beats their wife or who drinks all night or..... I mean a few people - I know there's one secretary here; I think she goes drinking and then ….and then goes out with her guy..... he would take her out for dinner

1045 and out bogeying down the road and she..... you know, if it was a small group of people, she does knock the drinks down pretty fast. She fell down and really bashed her face and she was complaining because I heard but I don't really..... she doesn't to me look like a person...... her husband drinks quite..... they're a couple of (**NAME**).

1050 He's an (**NAME**) company guy. They both drink quite a bit but they look like they're those kind of moderate to heavy drinkers that aren't alcoholics. You know those kind of people. There seems to be a lot of people in Scotland who are that way.   There's a line in there somewhere but there are other people who drink quite a bit. You

1055 know, their breath's got drink on it when they go to the pub. They're not all alcoholics, you know. Some of them drink their three pints a night and they're fine and they smoke their cigarettes and things but they think they don't do anything bad. Some of them are really bad but they usually..... where I've worked before, I can tell a lot more about

1060 who was having what kind of problems, you know.   Anything from people that are being..... that weren't happy at all. They were people who were probably doing too much partying and gambling or something or people who were being discriminated, especially..... I've had a lot of situations through my career where homosexuals..... one

1065 of these men was being discriminated against and you know, definitely, I've been able to kind of use the 12th step. I've been able to reach out to people, you know, that I can see are kind of suffering and try to offer them some type of understanding and support and also know that even though I'm not homosexual and it's pretty obvious

1070 to me that they're being abused for improper reasons and I don't like..... I don't approve of that and I also don't think they should feel bad about that and I've had other occasions with..... I've never really been successful..... I've done a few interventions with people I know that drink too much but they'll die on the elevator. They always like

1075 whisky, and they either drink it all night and drink it in the morning and you know..... a few of these people, I suppose, I've reached out to and I think, 'I used to smell that way too.' It's a different way to live but no, I don't find..... in this place I find zero. And by the way, I even noticed at the AA meetings..... if you go to the AA meetings in the US, people

1080 drag a lot more of their shit and waffle in: 'My cat shit in my boot this morning,' 'My old lady did this to me,' and..... I mean people come in with all this 9/11 stuff, you know, or the 4/11..... the latest thing that happened to be what happened with this and how he got shafted. Nothing necessarily to bring to the program but in some way these are

1085 things troubling people. They come in and they throw it on the table

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Comment [A52]:
HUG1067-8/EMP

Comment [A53]:
HUG1064-9/S12

1090 and give it some room discussion. Even though..... even the speaker meetings, though..... you know, whatever the topic is of the Step meeting.....the people who are the speaker. The questions they ask about why they're struggling, or this or that, are a lot more just kind of colourful and needy. This place seems to be really sterile. The people just come in and we read the book and we say some things and..... it's really, really at a very sterile level. It doesn't have a lot of..... that's why I told that guy..... who was the guy that was leaving? (**NAME**).

1095 Researcher: (**NAME**).

Hugh. **(NAME)**. I thought..... I miss him a lot because he's one of the few that came in and I felt he really brought some life with him..... he brought some energy into the thing and he'd be struggling and guilt..... but to me he energised me. And with most of these people though, I
1100 can't understand what half of them are saying but if the fans are on and the **NAME** are talking, I'm going to want to know what the hell they're talking about. But at home the room's full of Johns. Guys come in and..... and I like that. It makes me..... it just gets me into it. It gets me thinking about what I'm up to and what's happening with
1105 me. But this whole place is sterile to me..... maybe I'm not seeing this whole reality. I just see slices of it - right. I see my work in the meetings I go to, but I would rate them all as sterile. I don't even know who's married to who in this place unless they happen to tell me. I've never met any of the families and we don't have..... like back
1110 at the (**PLACE**), we have all these functions - like the 4th July's coming. We'd probably have a huge corporate picnic some place where everybody would come and play games and the kids would like bring a horse and the kids could ride the horse and..... we have all that kind of stuff. So you get to know what's going on and the people here
1115 just..... they don't do that so..... I answer your question to say I don't really feel I have very much interaction with people on a personal level where I'd be dealing with any sort of problems they might have and I haven't had anybody come to me with a problem ever since I've been here and said, 'this is really bothering me. Can you give me some
1120 advice?' Not once.

Researcher: If you look at both of those…what should we call them - constructs - Hugh… in this environment, do the 12 Steps help your fulfil your management role?

Hugh: Yeah, well I mean the 12 Steps..... They're part of my life.
1125 They're part of the way I think. I mean..... I couldn't tell you the 10 commandments. I don't remember them. I know you're supposed to love your mother and father and you're supposed to not murder people and you're supposed to not steal. I remember..... my favourite one..... I can probably only remember six of the commandments but I
1130 can close my eyes and tell you all 12 Steps, you know. At various times in my life I have, um..... and it may well happen again that I have

some kind of a crisis but I have something to fall back on. I've always found that the solutions to any problems I've ever encountered in life are..... the tools are there to deal with those problems. I mean, I've
1135   not found anything, in that the tools aren't there to deal with it no matter how life threatening or how.....

Researcher: Including at work? Those are the tools to help?

Hugh: Yep. I certainly..... I go to the temple and I read about Buddha and..... I've been around Buddhists for a long, long time but I don't
1140   really..... I'm not good enough at that. I mean, you really almost have to learn to speak a different language to be in with a chance. I mean I..... I'm not really a quote, unquote, 'practicing Buddhist.' I get it all. Well, I get the principles of it. I get the behavioural principles and I think it's a very nice, very positive way of life, you know, but I mean
1145   that's not what drives me. It drives me a little bit in general terms about being responsible for myself and treading on the earth and trying to do some of those things that kind of comes from Buddhism, but as far as like how I deal with you and how I deal with people and how I..... I mean that's my framework and to the extent that I don't
1150   have any success in dealing with people and dealing in..... that's what management in organisations is of course. It's all about people and I don't..... I mean there's no leverage for me to pull here. I mean, I don't have a machine that I sit and operate. Everything I do is with people and everything happens through people. So the 12 Steps is
1155   my recipe for those human interactions.

Researcher: Are you a better manager because of the 12 Steps?

Hugh: I don't know. I mean I told you I got involved with the AA in 1975 and I took it fairly seriously as far as understanding the program and putting it together, but I didn't really become a manager until
1160   about 1980. So I mean the 12 Steps..... I was a (**TITLE**) right and that's a different kind of a world being a (**TITLE**). It's....we had a classical student..... especially..... you know, Professors only see their students for 50 minutes at a shot. You know, I mean it's like you're a practitioner when you're a Professor and while.... I mean some of
1165   these principles will help with troubles from students and with some of your own behaviour. The point is that it's not until you start taking the reins in your hands; but now you're responsible for the way an organisation's performing and it's performing because of the way people are behaving literally. That's when this starts to get important.
1170   It's funny and I think a normal person can probably..... you just find that..... I think there are some really good managers that don't know a bloody thing about the 12 Steps. In fact I know there are. I mean I've been around some. I mean this guy that runs (**ORGANISATION**)..... I've known him..... I knew him in (**PLACE**). He's an (**NAME**) guy but
1175   he was (**TITLE**) at the University of (**PLACE**) of the entire system and I was the (**TITLE**) and so I worked with him quite a bit because we had to go and testify together about things before they got rid of him

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Comment [A54]:
HUG1153-5/IS

Comment [A55]:
HUG1166-9/CR

and I got to know him and I worked with him really closely. He's a marvellous manager. He's not an alcoholic. **(NAME)** I think, he has
1180   never even heard of the 12 Steps but he's absolutely..... he's really good. I know some guys and..... if I had to lay out my top five managers I've ever seen in my life that I've worked around, none of them were in any program and they're great at what they do..... they've got their own moral compass somehow. Some of them are.....
1185   maybe one guy I know is pretty active in the church. However they've got to where they are, they've all got some type of checking analysis on their behaviour and they're well balanced orderly people but they didn't start out like me. They don't get maniac. I mean they were probably squared away when they were in high school but you know
1190   there are people like that. They're just..... they're pretty okay people and they just seem to come out of the box kind of being normal and being fair and being just and all that kind of stuff.

Researcher: But their behaviour and their values sound similar to yours; but you use the 12 Step program to help your balance score
1195   card?

Hugh: Right, yes, because I have to because without it I'm a maniac. I mean, without it I can't be a manager. I would be a despot because I would be terrified all the time and the only way I'd overcome that black fear..... like Gadaffi or something, is just kill a load of people and be
1200   viscous. You know, you've got to have a coping mechanism. You know, if you're crazy and if you're inferior and if you're afraid of everything, you're going to cope but the copings going to be violence. That's what comes of it and so if that's the way you are, in my opinion, then you can't be a successful manager unless you have something
1205   like this to help pull you out of the shit. I think you could be fine as a physician but there's..... I don't know if you've ever watched House on your TV. He's crazy himself you know. I mean there are a lot..... I've know a lot of really whacko, really good surgeons who are as crazy as hell but God gave them this great gift that they can pull up your brain
1210   and fix things and fix hour heart, but they're crazy. But they don't care.

> **Comment [A56]:**
> HUG1196-1205/PM/CON

Researcher: So my last question to you Hugh is, describe a good manager to me – in your opinion?

Hugh: Okay. In my opinion a good manager first and foremost is a
1215   person who leads the organisation in whatever piece of it they control; that they manage; that leads an organisation to an affective conclusion or effective outcomes. I mean that has to be the measure in my opinion. If you don't have effective outcomes, I don't care how wonderful you are, you're not a good manager or a good leader if you
1220   don't have outcomes. You've got to have the outcomes. That's number one. Number two; I think that the second most important part besides the outcome, is that in the pathway of those outcomes..... you know – are you empowering people and are you developing people?

> **Comment [A57]:**
> HUG1214-26/GM/GD (?)

> **Comment [A58]:**
> HUG1220/GM/GD

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1225   Because to me a manager and leader is also a teacher/coach and we've all got an obligation to mentor the next generation of whoever it's going to be; what they're going to be. That's just to me..... that's just a rite of passage that if you're in this spot and you've got all these people in this spot to the extent that they're willing to allow you to help coach them and mentor them and show them..... there's a guy here

1230   that..... he's a (**NAME)** guy who..... they gave him to me to fire actually. He wasn't getting along with some other..... but he's sort of higher but the other guys had more power. There was some kind of a dislike. Anyway they wanted to get rid of this guy and..... but I will still do that. If I can avoid it..... I mean, I will put someone at work and see

1235   if they're well intended and they have some possible use. And this guy's actually got quite a few..... he's definitely doing quite well but he's also..... he really does take to mentoring. In fact, he's given me feedback. He sees how I do certain kinds..... and he kind of watches and then he asks about it and he incorporates some of that in his

1240   behaviour. But to me that's the second piece of a good manager leader. You've got to develop people. If you didn't have a track record..... all you have is a lifetime of results you read as far..... you've also got to have a lifetime of people who become successful. I just had..... on Father's Day, this guy who was the..... he was the **TITLE** of

1245   (PLACE) University. There's only been ten presidents..... He's the first black one and he's got a higher..... When he was a young man in (PLACE) 25 years ago, I hired this guy – he's just got his PHD and he's *****. It pulls me out how interesting a guy..... I met him some place and was asking him what he was looking for, for the future.

1250   We'd got to know each other and I had a job that..... I needed a good ****** of students. Even though it was a little bit distracting I thought that with his experience, he could probably do that. So anyway, I ended up hiring this guy and then I mentored him. I've mentored a lot of people but he's one I mentored. He went on to **PLACE** for about 6

1255   years but then he was hired as the (**TITLE)** of (**PLACE)** University. Then he was hired as the (**TITLE)** of the University of (**PLACE)** which is what I was in (**PLACE)** and that was the (**TITLE)** of (**PLACE)** which is back at where we all started. But he sent me a Father's Day card and he told me what a huge impact that had on his life you know. It

1260   really made me feel good because I..... if I never do anything else, I really gave this guy honestly some tools and I gave him some..... I trusted him and gave him confidence and empowered him. He's a very, very, very successful person. But there's more evidence - but that's a large measure just to say I manage well. I do the institution.....

1265   I got these recognitions for the institution; I did this and this and that. Those are outcomes but again that's only half the story. The other half is the people so..... and again this 12 Step thing makes all that happen because..... you can get results as a despot you know. You can be a tyrant and get results and you can just keep going through

1270   people. And there's some people by the way that will survive under a tyrant. They like it that way because they just hunker down and the tyrant protects them as long as they're part of the system but that to me is not moral. It's not effective. It's not sound.

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Comment [A59]: HUG1241/OD

1275   Researcher: I'm going to stop recording there. We've been talking for an hour and twenty minutes of your valuable time. Thank you very much.

Hugh: Okay.

Appendix D: Transcriber confidentiality agreement

UNIVERSITY OF
GLOUCESTERSHIRE

Confidentiality Agreement   T.B. Eccles S0811784   PhD Thesis

I understand that role as transcriber will involve transcribing digitally recorded voice interviews into MS Word files.

I understand that these interviews were conducted within an environment of conditional confidentiality subject to legal compliance.

As transcriber, I agree to keep all contents that are legally compliant confidential to protect the identities of those involved. This will include changing all names for the pseudonyms given and blanking any location with the phrase (place) and any other names mentioned with the phrase (name).

In accordance with the Data Protection Act, any files should be returned to the research student immediately after transcription. No files should then be kept by the transcriber and if any exist they should be destroyed in a secure manner.

I understand that I am free to ask questions at any time. If for any reason I experience discomfort in my role as transcriber I am free to withdraw or discuss my concerns with T. B. Eccles at benedicteccles@gmail.com or call 07825809657. Alternatively, I can contact the course tutor, Dr David Biggs, on 0844 801 0001

I, _____ consent to act as transcriber for this MSc research dissertation conducted by T.B. Eccles, School of Health and Social Sciences, University of Gloucestershire.

Signed:

Thomas B. Eccles

Appendix E: IPA participant consent form

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CONSENT FORM   T.B. Eccles S0811784   PhD Researcher

I understand that my participation in this PhD research project will involve taking part in an interview led by the research student into my work role activities.

I understand that my participation in this study is entirely voluntary and that I can withdraw from the study at any time for any reason without loss.

I understand that I am free to ask questions at any time. If for any reason I experience discomfort in any way I am free to withdraw or discuss my concerns with T. B. Eccles at benedicteccles@gmail.com or call 00447825809657. Alternatively, I can contact the lead PhD Supervisor, Dr David Biggs, on 00441242714758.

I understand that the information provided by me will be held anonymously such that it is impossible to trace the information back to me individually. I understand that, in accordance with the Data Protection Act, this information may be retained indefinitely. I also understand that at the end of the study I can request any additional information and feedback. Finally, I understand that any confidentiality agreement is subject to legal compliance.

I, _____ consent to participate in the study conducted by T.B. Eccles, School of Health and Social Sciences, University of Gloucestershire.

Signed:

Date

Thomas B. Eccles

Appendix F: Workplace observation request

UNIVERSITY OF GLOUCESTERSHIRE

Home: Siddington Barn, Siddington, Cirencester, GL7 6EU

Workplace Observation Request   T.B. Eccles S0811784   PhD Researcher

Dear XXXXX

I write to ask if you and your organisation would be willing to allow me to observe you in your work role for a 4 hour period sometime in late December 2011 or early 2012.

As part of my PhD, I am studying a general management competency framework. These competencies are very broad and apply to any supervisory, management and leadership role. I need to study a sample of male and female senior workers from a wide range of sectors.

The observation would entail me shadowing you as you go about your work. I would not interact with you in any way during your duties – simply observe and make notes against the competency framework. I do not need to witness any confidential meetings nor discussions. To that end, an 'office day' would be fine. No names of people, places or organisations are recorded.

I am happy to discuss my request with you or your organisation via email benedicteccles@gmail.com or on the phone (00447825809657). My lead PhD Supervisor is Dr David Biggs, who can be called on 00441242714758 c/o The School of Health and Social Sciences, University of Gloucestershire.

Kind regards

Ben

T.B. Eccles. PG Cert, MSc (bPsychol), MBPsS, mABP

Thomas B. Eccles

Appendix G: Invitation to participate in ISIS qualitative study

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SPIRITUALITY QUESTIONNAIRE   T.B. Eccles S0811784   PhD Researcher

I understand that my participation in this PhD research project will involve completing the attached questionnaire exploring spirituality.

I understand that my participation in this study is entirely voluntary and that I can ask for my questionnaire to be withdrawn from the study at any time for any reason without loss. Completion of the questionnaire implies informed consent.

I understand that I am free to ask questions at any time. If for any reason I experience discomfort in any way I am free to discuss my concerns with T. B. Eccles at benedicteccles@gmail.com or call 00447825809657. Alternatively, I can contact the lead PhD Supervisor, Dr David Biggs, on 00441242714758. School of Health and Social Sciences, University of Gloucestershire.

I understand that the information provided by me will be held anonymously such that it is impossible to trace the information back to me individually. I understand that, in accordance with the Data Protection Act, this information may be retained indefinitely. I also understand that at the end of the study I can request any additional information and feedback. Finally, I understand that any confidentiality agreement is subject to legal compliance.

Thomas B. Eccles

Appendix H: ISIS Questionnaire

The Integrated Spiritual Intelligence Scale

1.Never or almost never 2.Very infrequently 3. Somewhat infrequently 4.Somewhat frequently 5.Very frequently 6.Always or almost always

Research ref: ....

Integrated Spiritual Intelligence Scale

Appendix 1: The Integrated Spiritual Intelligence Scale (ISIS).

On the next few pages, please score all the items with a circle from 1 to 6 based on the general frequency of your behaviour over the past 6 to 12 months:

1. Never or almost never
2. Very infrequently
3. Somewhat infrequently
4. Somewhat frequently
5. Very frequently
6. Always or almost always
....

1. I notice and appreciate the beauty that is uncovered in my work.

1 2 3 4 5 6
Never   Always

2. I expect the worst in life, and that's what I usually get.

1 2 3 4 5 6
Never   Always

3. When things are chaotic, I remain aware of what is happening without getting lost in my experience.

1 2 3 4 5 6
Never   Always

4. During an activity or conversation, I monitor and notice my thoughts and emotions.

1 2 3 4 5 6
Never   Always

5. I practice inner and outer quiet as a way of opening myself to receive creative insights.

1 2 3 4 5 6
Never   Always

6. I have a good sense for when my purpose requires nonconformity, out-of-the-box thinking, or taking an unpopular stand.

1 2 3 4 5 6
Never   Always

7. I resist events that I don't like, even when they need to occur.

1 2 3 4 5 6
Never   Always

8. In my daily life, I feel the source of life immanent and present within the physical world.

1 2 3 4 5 6
Never   Always

9. I get upset when things don't go the way I want them to go.

1 2 3 4 5 6
Never   Always

10. In my day-to-day activities, I align my purpose with what wants to and needs to happen in the world.

1 2 3 4 5 6
Never   Always

11. I find it frustrating when I don't know what the truth is.

1 2 3 4 5 6
Never   Always

12. I pay attention to my dreams to gain insight to my life.

1 2 3 4 5 6
Never   Always

13. In my daily life, I am disconnected from nature.

1 2 3 4 5 6
Never   Always

14. Seeing life's processes as cyclical rather than linear gives me useful insights to daily challenges.

1 2 3 4 5 6
Never   Always

15. A higher consciousness reveals my true path to me.

1 2 3 4 5 6
Never   Always

16. I live and act with awareness of my mortality.

1 2 3 4 5 6
Never   Always

17. In difficult moments, I tap into and draw on a storehouse of stories, quotes, teachings, or other forms of time-proven wisdom.

1 2 3 4 5 6
Never   Always

18. I don't know how to just be myself in interactions with others.

1 2 3 4 5 6
Never   Always

19. I hold my work as sacred.

1 2 3 4 5 6
Never   Always

20. I have a daily spiritual practice such as meditation or prayer that I draw on to address life challenges.

1   2 3 4 5 6
Never   Always

21. I enjoy the small things in life such as taking a shower, brushing my teeth, or eating.

1 2 3 4 5 6
Never   Always

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The Integrated Spiritual Intelligence Scale

1.Never or almost never   2.Very infrequently   3. Somewhat infrequently   4.Somewhat frequently   5.Very frequently   6.Always or almost always

22. I am driven and ruled by fears.

1   2   3   4   5   6
Never   Always

23. I tend to think about the future or the past without attending to the present moment.

1   2   3   4   5   6
Never   Always

24. My life is a gift, and I try to make the most of each moment.

1   2   3   4   5   6
Never   Always

25. I draw on my compassion in my encounters with others.

1   2   3   4   5   6
Never   Always

26. I am limited in my life by the feeling that I have very few options available to me.

1   2   3   4   5   6
Never   Always

27. I spend time in nature to remind myself of the bigger picture.

1   2   3   4   5   6
Never   Always

28. My actions are aligned with my values.

1   2   3   4   5   6
Never   Always

29. In meetings or conversations, I pause several times to step back, observe, and re-assess the situation.

1   2   3   4   5   6
Never   Always

30. I use objects or places as reminders to align myself with what is sacred.

1   2   3   4   5   6
Never   Always

31. I have a hard time going against conventions, expectations, or rules.

1   2   3   4   5   6
Never   Always

32. Even when things are upsetting and chaotic around me, I remain centered and peaceful inside.

1   2   3   4   5   6
Never   Always

33. I find it upsetting to imagine that I will not achieve my desired outcomes.

1   2   3   4   5   6
Never   Always

34. In my day-to-day tasks, I pay attention to that which cannot be put into words, such as indescribable sensual or spiritual experiences.

1   2   3   4   5   6
Never   Always

35. I am aware of a wise- or higher-self in me that I listen to for guidance.

1   2   3   4   5   6
Never   Always

36. I can hold as true and integrate seemingly conflicting or contradictory points of view.

1   2   3   4   5   6
Never   Always

37. I strive for the integration or wholeness of all things.

1   2   3   4   5   6
Never   Always

38. My work is in alignment with my greater purpose.

1   2   3   4   5   6
Never   Always

39. I derive meaning from the pain and suffering in my life.

1   2   3   4   5   6
Never   Always

40. I feel that my work is an expression of love.

1   2   3   4   5   6
Never   Always

41. I use rituals, rites, or ceremonies during times of transition.

1   2   3   4   5   6
Never   Always

42. My actions are aligned with my soul, my essential, true nature.

1   2   3   4   5   6
Never   Always

43. I remember to consider what is unspoken, underground or hidden.

1   2   3   4   5   6
Never   Always

44. Because I follow convention, I am not as successful as I could be.

1   2   3   4   5   6
Never   Always

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The Integrated Spiritual Intelligence Scale

1.Never or almost never   2.Very infrequently   3. Somewhat infrequently   4.Somewhat frequently   5.Very frequently 6.Always or almost always

45. I am aware of my inner truth, what I know inside to be true.

1 2 3 4 5 6
Never   Always

46. Being right is important to me.

1 2 3 4 5 6
Never   Always

47. I notice and appreciate the sensuality and beauty of my daily life.

1 2 3 4 5 6
Never   Always

48. I enhance my effectiveness through my connections and receptivity to others.

1 2 3 4 5 6
Never   Always

49. Even in the midst of conflict, I look for and find connection and common ground.

1 2 3 4 5 6
Never   Always

50. I listen to my gut feeling or intuition in making important choices.

1 2 3 4 5 6
Never   Always

51. I listen deeply to both what is being said and what is not being said.

1 2 3 4 5 6
Never   Always

52. I am mindful of my body's five senses during my daily tasks.

1 2 3 4 5 6
Never   Always

53. I seek to know what is logically provable and ignore the mysterious.

1 2 3 4 5 6
Never   Always

54. I look for and try to discover my blind spots.

1 2 3 4 5 6
Never   Always

55. I have a hard time integrating various parts of my life.

1 2 3 4 5 6
Never   Always

56. I work toward expanding other peoples' awareness and perspectives.

1 2 3 4 5 6
Never   Always

57. I live in harmony with a force greater than myself, a universal life force, the divine, or nature to act spontaneously and effortlessly.

1 2 3 4 5 6
Never   Always

58. My goals and purpose extend beyond the material world.

1 2 3 4 5 6
Never   Always

59. I draw on deep trust or faith when facing day-to-day challenges.

1 2 3 4 5 6
Never   Always

60. I hold resentment towards those who have wronged me.

1 2 3 4 5 6
Never   Always

61. I feel like part of a larger cosmic organism or greater whole.

1 2 3 4 5 6
Never   Always

62. I find ways to express my true self creatively.

1 2 3 4 5 6
Never   Always

63. When looking at others, I tend to focus on what they need to do to improve.

1 2 3 4 5 6
Never   Always

64. Experiences of ecstasy, grace, or awe give me insights or direction in dealing with daily problems.

1 2 3 4 5 6
Never   Always

65. To gain insights in daily problems, I take a wide view or holistic perspective.

1 2 3 4 5 6
Never   Always

66. I have daily and weekly times set aside for self-reflection and rejuvenation.

1 2 3 4 5 6
Never   Always

67. I remember to feel grateful for the abundance of positive things in my life.

1 2 3 4 5 6
Never   Always

68. I have faith and confidence that things will work out for the best.

1 2 3 4 5 6
Never   Always

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The Integrated Spiritual Intelligence Scale

1.Never or almost never   2.Very infrequently   3. Somewhat infrequently   4.Somewhat frequently   5.Very frequently   6.Always or almost always

69. I accept myself as I am with all my problems and limitations.

1   2   3   4   5   6
Never   Always

70. To solve problems, I draw on my ability to hold, accept and go beyond paradoxes.

1   2   3   4   5   6
Never   Always

71. In my daily life, I feel my work is in service to the larger whole.

1   2   3   4   5   6
Never   Always

72. In arguing or negotiating, I am able to see things from the other person's perspective, even when I disagree.

1   2   3   4   5   6
Never   Always

73. I see advancing my career as the main reason to do a good job.

1   2   3   4   5   6
Never   Always

74. I see financial rewards as being the primary goal of my work.

1   2   3   4   5   6
Never   Always

75. My mind wanders away from what I am doing.

1   2   3   4   5   6
Never   Always

76. I am frustrated by my inability to find meaning in my daily life.

1   2   3   4   5   6
Never   Always

77. Even when I seem to have very few choices, I feel free.

1   2   3   4   5   6
Never   Always

78. I want to be treated as special.

1   2   3   4   5   6
Never   Always

79. I have a hard time standing firm in my inner truth, what I know inside to be true.

1   2   3   4   5   6
Never   Always

80. I bring a feeling of joy to my activities.

1   2   3   4   5   6
Never   Always

81. I strongly resist experiences that I find unpleasant.

1   2   3   4   5   6
Never   Always

82. I am my own worst enemy.

1   2   3   4   5   6
Never   Always

83. I have answered all the questions truthfully and to the best of my ability.

1   2   3   4   5   6
Never   Always

Thank you for completing this questionnaire.

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Appendix I: Workplace observation report

Day in the life of AA Participant Manager: Noel
Date: 25th January 2012
Times: from till 9am until 5pm

NOE/OB/1.
 Organisational Role
Noel is a Senior Team Manager working with a regional social welfare organisation
based in a large town in the south of England. The researcher met Noel at his office.

Introduction - First 30-45 Minutes

NOE/OB/2.
Today's work agenda
*Tell us what we are about to see - What are you working on? What activities have you
planned today at work?*

- 9am Administration. Checking for new correspondence and responding to
  correspondence. Walk around the building greeting staff, checking that the
  staff is in the office, brief discussions. Checking the current paperwork
  including caseloads using the computerised system and updating said
  paperwork as required.
- 11am Supervisory meeting with a subordinate colleague for whom Noel was
  responsible. In this case a practitioner with clients under Noel as part of his
  team.
- 12 midday Staff lunch held in honour of colleague who was leaving at the
  weekend to get married.
- 1:30pm Work placement meeting with student from university who is on a
  five-day work experience programme under Noel's supervision. This is
  basically a planning meeting about how the work experience will play out.
- 2pm: Client review meeting of an 'at risk' client with partners - and the client.
- 3pm: Weekly client meeting with 2 male clients for whom Noel has direct
  caseload responsibility – previously both clients deemed to be at risk clients
- 4pm: Meeting with colleague who works directly with the two at risk clients
  who will join the meeting to discuss plans for both to learn how to drive and
  therefore increasing their employment and social options.

NOE/OB/3.
 Anticipated challenges
What is the trickiest thing about today?
The 2pm Client review meeting with the at risk client and partners was of most
concerned for Noel. The reason for this was that the client has been diagnosed with
mental health disorders and the client had a history of occasionally reacting negatively
within such meetings. Therefore Noel pre-empted that this potential conflict was the
biggest threat to his day.

NOE/OB/4.
Preparation for the day
Have you thought about these activities at all this morning before work?

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Noel reported that he had not cognitively pre-empted any of the day in terms of the specific activities on his daily agenda.

NOE/OB/5

Briefly what have you done this morning before work?
Upon awakening Noel had arisen, fed the cats, made a coffee and then returned to bed: returning to bed, Noel read spiritual material and explained that the purpose of this reading was to 'set his mind', 'to be relaxed' and 'to put the emotions in order'.

After doing his spiritual readings, Noel reported that he then said his prayers *(Step 11)* - specifically asking for guidance through the day *(Steps 1, 2 and 3)* and also undertaking prayer for others that he was concerned about *(Step 12)*.

Comment [60]: NOE/OB/5/S1
Comment [61]: NOE/OB/5/S2
Comment [62]: NOE/OB/5/S3

NOE/OB/6
 Context
How long have you been a (name of position or role)?
Two years as Senior Team Manager

NOE/OB/7
How many people in total might you have managerial responsibility for/supervision of?
14

NOE/OB/8
What are the greatest challenges to you in this role?
Noel reported that the greatest challenges in his work was achieving the balance between helping clients and balancing the political world of 're-commissioning'; what he meant here was that his agency was undertaking a commission bid for government funding to exist for the next three years and that this process lead to uncertainty for staff and clients and, in turn, this impacted upon morale and the quality of work.

Noel also reported that he was experiencing problems with one of the managers that he was responsible for who was 'not so good' and is on a performance plan to improve his work performance under Noel's supervision. Noel reported this as a challenge because the worker in question had ' an inability to do the emotions'; when asked what this meant, Noel said that he could be quite aggressive towards other members of staff when the pressure was on.

NOE/OB/9
What have been your greatest successes in this role?
Noel reported that his greatest success in the role to date had been turning the team around from a 'sick, unhappy, dysfunctional team' to one that now 'is largely functional'. He had also received an award for leadership from his team through nominations to a national leadership award program which he cited when answering this question.

In managing clients with complex problems through partnership approaches with other agencies, Noel reported that clients' progression and increased well-being was of great importance - if not primary importance - to him in this role and that he was seeing some success in this.

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NOE/OB/10
What contributes to the success of a Senior Team Manager at (name of organization) now?
Compassion at all stages.

NOE/OB/11
What do you like most about your job?
Seeing the clients get a good service. Seeing the staff emotionally well and delivering a good service

NOE/OB/12
What do you like least about your job?
Process and 'government bollocks'.

<u>**Observation**</u>

NOE/OB/13
9am: Administration. Noel worked alone in his office with the researcher present. During this administrative period, Noel received a letter of referral for a female client with an addiction/dependency history and the letter asked Noel's organisation to help the female to go on some kind of a rehabilitation programme. Noel explained that he intended to try and keep her 'out of the system' as much as possible so that she could not become dependent on the support of his organisation but try and retain as normal a life as possible while she went through this rehabilitation stage. Noel then went to see one of his female colleagues in a neighbouring office, to ask if she would 'take on' this client to help achieve these goals; this meeting lasted about 5 minutes in which time the colleague agreed to take the letter and to initiate the support services of the organisation.

When Noel was talking to the researcher about this client he showed some frustration (in the way that he spoke and rolled his eyes). It was reflected back to him by the researcher that some negative thought processes were suggested and Noel explained that he found it frustrating that this 21-year-old's 'habit' had been developed at a time when the recovery services and organisations are largely being 'fed' by the pharmaceutical companies relationships with GPs; he argued that they were encouraged to overprescribe certain drugs in the name of reducing addictions. Basically, he was frustrated that this client had been prescribed an opiate for a continuous 21 year period. He also explained that current thinking was such drugs should only be prescribed for 6 to 12 week process.

The researcher asked whether he ever showed his frustration towards colleagues and partner organisations and Noel declared that he believed that it never showed itself publically - it was more a personal 'frustration and annoyance' - it was a reality that he had to deal with in order to ensure that services were offered to his clients.

Comment [63]: NOE/OB/13/S10

NOE/OB/14.
11am: Supervisory meeting with subordinate colleague: the meeting took place on time in Noel's office. His colleague reported and reviewed cases that she was currently dealing with and they discussed complexities in terms of prescription reductions, housing, and current action plans for individual clients. Because of the

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presence of the researcher, Noel and his colleagues used initials to identify who they were talking about instead of identifiable names. Noel let the colleague lead on the discussion while offering some advice as she described her proposed courses of action. He was attentive and listened with his eyes closed at times.

One case in particular seemed to be of great importance: it involved an 'alcoholic' 40 year old male who was currently dying of cirrhosis of the liver. Noel and his colleague took the decision in the meeting to recommend to medical partners to stop prescribing him certain medication as a result of his continuing failure to take certain actions to aid his recovery. They made it clear that access to the services that Noel's organisation offered would be continued. When the colleague left the room, the researcher asked how working with a dying individual and recommending stopping their prescribed medication sat with his understanding of AA statement of responsibility and the 12th Step of 'carrying the message'. Noel explained that many of his clients - other clients that his team is responsible for - die (and described the situation using a 'war' metaphor) whereby some short-term decisions appeared harsh but were in the interests of the greater good (not defined in the discussion). This response raised the philosophical question where the greater good was 'humanity' or 'organisational effectiveness and efficiency' and are these two positions one and the same? He went on to clarify that there were always winners and losers in his work supporting at risk individuals and this kind of decision was one made from his organisational function not his humanitarianism *(Step 1 and Step 3)*.

NOE/OB/15
12 midday: staff lunch. The lunch took place with 10 attendees at a local hotel. It was celebrating one of the team member's pending marriage. The atmosphere was fun and enjoyable with colleagues reporting that they would like to do it again. I asked Noel as the senior manager what he felt about the team lunch and he said it was a ''lovely experience' and it was a manifestation of how the team had improved over the last two years (which he inherited in a dysfunctional state because individual members of the team were suffering physical emotional and mental ill health). He was enthusiastic and clear about his achievements in turning around a dysfunctional team into one that actually wanted to spend time together to celebrate occasions.

Comment [64]: NOE/OB/15/S6

NOE/OB/16
1:30pm: Work placement meeting with student: the student from a local university attended the meeting punctually in Noel's office. After about 15 minutes of briefing about the work of the organisation, they were joined by the senior mental health worker who worked in partnership with Noel's team with whom the student would be doing the work experience. They discussed the need for the student to experience 'drug addiction' work as part of their education. When the student and the mental health worker colleague left, the researcher asked Noel how the meeting had gone for him and he explained that he liked it very much because facilitating the student was part of his responsibility to help motivate new colleagues coming through higher education.

Comment [65]: NOE/OB/16/N6

Comment [66]: NOE/OB/16/N6

Comment [67]: NOE/OB/16/N8

NOE/OB/17
2pm: Client review meeting of an at risk client: The at risk client was delayed so Noel, 2 colleagues from other partner organisations and another worker from a

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different agency commenced the meeting in Noel's office. They discussed the needs of the client – using identifying initials only - in his absence and the conversation was noticeable in that it was much more professional and matter-of-fact than the other interactions observed in the day. The partners then discussed an action plan for the client. Later - in private - Noel was concerned about the client's continuing

Comment [68]: NOE/OB/17/N1

medication and said that he thought that doctors, generally, had a lack of ability to 'see beyond drugs' and that, as a profession, he felt that doctors actually created dependence. However, it was observed that Noel kept these thoughts private and did not react to them in any meetings.

Comment [69]: NOE/OB/17/N2

The at risk client arrived at about 2:20 PM and came into Noel's office. The observer left the room and after half an hour the client left at 2:50 PM. Bearing in mind that Noel had raised this very meeting as his major concern for the day (in terms of possibly a challenging situation), the researcher asked Noel how the meeting had gone: he said it went well and that since 2005, things had certainly improved in terms of the client's behaviour.

Comment [70]: NOE/OB/17/N3

This part of the conversation was interrupted at 2.55pm by an admin worker who asked to have a word with Noel in private. The researcher left the room. A 20 minute discussion ensued. When the admin worker left, Noel reported that there had been a problem at the reception where a volunteer receptionist - a previous client of the service - had been causing some problems by being rude to another colleague (by belittling them), arguing with them and being aggressive towards them. This interaction was apparently observed by both an administration worker and another volunteer. Noel explained that this volunteer receptionist 'has form' and her behaviour had been of concern for some time; he continued that he was not surprised by the complaint. He had asked the administration worker (who was previously a personnel

Comment [71]: NOE/OB/17/S6

manager) to start an investigation process by taking a statement from the three people involved -the volunteer receptionist, the volunteer (witness) and the worker (alleged victim), and that they had arranged to meet next Tuesday to discuss those statements.

Comment [72]: NOE/OB/17/N5

NOE/OB/18

3pm: Weekly client meeting with 2 male clients. Both of Noel's clients failed to show this meeting. A partner agency called to explain the absence of one of the clients and Noel made a phone call to the other client to explore his absence: there were legitimate reasons for their absence. Noel explained that one of these clients had serious debt problem and he was concerned that this might lead to some 'depression'. He went on to explain that he found it frustrating that clients would be having benefits cut (owing to the current national austerity measure)s at a time when they are trying to sort out their lives and he found this counter-productive - government policy was challenging the very rehabilitation process which his organisation was trying to instigate and maintain.

The researcher probed Noel about this conflict in terms of offering sustainable meaningful journeys for clients and he explained that 'recovery in spite of the system' was possible through the power of example: through Noel and his team and his previous clients who had gone on to succeed in their recovery - peer mentors.

At 3.20pm a colleague came to see Noel about a 30 year old client – again identifying them by initials only - who was dying of alcoholism and they discussed the next

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course of action. They agreed to Noel's advice to ask a partner organisation if any 'detox beds' were available at the nearest clinic and they discussed the fact that this would need budgetary permission if a bed was available. The colleague left to action what they discussed. The researcher again probed Noel about how the balance between humanity and organisational efficiency and effectiveness and he responded 'where there is life there is hope'. (This was in contradiction to what he had said earlier when he recommended stopping the treatment of one client who was also dying).

At 3.50pm Noel was also interrupted by another university student who was currently on work experience who raised a situation regarding a homeless man who had two dogs and was finding it difficult to access temporary accommodation. They discussed the options with the dogs - including taking the dogs to a dog shelter and the work experience student left to explore whether that was going to be possible. At this stage, two apparently significant points about Noel's management became apparent – firstly, it was observed that Noel's office door was always open and people felt free to come and ask him for senior advice. Secondly, it was observed that Noel was always providing solutions and ways forward – never obstructing progress, whatever the situation. Indeed, even if he personal disagreed with some elements of the work – the role of GPs, budgetary restraints etc, he never let it prevent progressive solutions to each individual situation.

Comment [73]: NOE/OB/18/N7

NOE/OB/19

4pm: Meeting with colleague: the worker from a partner organisation attended at 4pm and they discussed the two male clients who had been unable to attend the arranged meeting at 3 pm. To maintain confidentiality, initials were used in the discussion to identify individuals. In their absence, it was decided to put their driving lessons on hold. They went on to discuss a new community partnership that they were involved with which aimed to increase financial resources and reduce caseload management.

At 4:30pm Noel and his colleague were interrupted by another male colleague who asked to speak to Noel privately; the researcher left the room along with the other worker. When the male colleague left about 10 minutes later, Noel explained that he had reported that he had also been having problems with the volunteer receptionist who had been disruptive earlier in the day. Noel had reassured him that action was going to be taken. Noel explained that he was concerned that a 'posse' did not form against this volunteer receptionist whilst due process is taking place. He did demonstrate some humanity towards the protagonist here in spite of what seemed to be an inevitable side building up against this individual - Noel was keen also to protect her in this process.

Noel prepared to leave the office for the day for 5p.m. and on the way out of the office he had a brief conversation - in front of the researcher - with the volunteer (witness) who had witnessed the disruptive behaviour earlier in the day. Noel advised the volunteer (witness) about the processes in place and said to the peer mentor: 'welcome to the real world - they say the good news about recovery is that you get your emotions back in the bad news about recovery is that you get your emotions back. It's about behaving differently than we did before'. They parted on good terms and Noel thanked him for his continued work.

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Post Work Review (Last 30-45 Minutes)

NOE/OB/20
Is this typical of how you spend your time?
Noelwas usually attended some partnership meetings in a neighbouring city on Tuesdays and these had been cancelled by the other partners. Therefore the day that he experienced was typical in terms of his responsibilities when he was based in the office for the day.

NOE/OB/21
Have you experienced any problems today?
Non unexpected

NOE/OB/22
What did you do about these things?
No evidence

NOE/OB/23
How do you feel about today?
Very tired. Hard work.

NOE/OB/24
How do your best/worst interactions differ from what we have seen?
Noel accepted today is a good working day that could not be improved upon. He explained that the worst days of work involved colleagues calling in sick when they were overwhelmed with clients within the service. He also explained that days when there was violence or people dying were more challenging days.

NOE/OB/25
Describe any key activities you perform that haven't been able to observe today.
The only omission from today's observation would be that Noel could have done more work on the computer programme used by his service for planning and monitoring processes.

NOE/OB/26
How do you deal with the least likeable thing about job and challenges?
These issues surfaced today around the subordinate manager on an performance improvement plan and the volunteer receptionist who has reportedly been disruptive. Noel was meeting with them on Thursday and Tuesday respectively. added that as part of performance improvement plan process, the colleague had agreed to seek some outside help in the form of counselling and Noel was hopeful that this would help the individual change their behaviour.

NOE/OB/27
Have you thought about 12 steps today? If so, which ones?
Step 1, 2, 3 and 11 were all utilised before work in Noel's morning spiritual readings and prayers. Step 11 was utilised after work when Noel explained that his first task would be to get home and clear his mind, centre himself and find his 'I am'. This reflective time would include analysis of his own behaviour. (Step 10).

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I asked whether he had been consciously thinking of any specific Step during the day and Noel explained that he had not and that he had found that his interpretation of the programme (in what was now his 30th year of recovery) meant that it manifested itself as an acute awareness of what he was doing all the time with other people and how he was behaving towards other people. He explained that he interpreted the programme as treating other people with courtesy at all times. It was that simple to him – Noel's 12 Step programme was about his relationship with other people in how he treated them. His being aware of himself at all times is demonstrated with a quote from his earlier IPA interview. This being aware of himself at all times was a demonstration of a permanent state of personal behaviour inventory; indeed, Noel was enacting step 4, 5, 6, 7, 8, 9 and 10.

Comment [74]: NOE/OB/27/S11

NOE/OB/28.
Is there any part of the programme you think you could have done better at work today?
No

Comment [75]: NOE/OB/28/S12

NOE/OB/29
Observed Evidence of New's 8?
New GMC 1: Planning – the 1.30pm meeting with university student on the work experience programme was a demonstration of planning processes. Earlier in the day, during his admin work, Noel also had failed to access a computer programme system that was used by his organisation as part of an organisational infrastructure which links to planning processes. He used this planning tool consistently.

New GMC 2: Action management – the 2pm meeting with partners regarding the support of the at risk clients was evidence of action management taking place.

New GMC 3: Creativity – the situation regarding the homeless individual with the 2 dogs demonstrated creative problem solving.

New GMC 4: Leadership – dealing with the situation provoked by the volunteer receptionist at 2.55pm and the university work placement interactions.

New GMC 5: Motivation – Noel's meeting with the university work placement, his meeting with the volunteer (witness) in the corridor and his meeting with the admin. worker were all evidence of him trying to maintain the motivation of both clients and colleagues towards their specified goals.

New GMC 6: Organisation - the 'detox bed 'dilemma at 3pm is an example of trying to manage resources with the budgets with the availability of 'detox beds' here dictating courses of action.

New GMC 7: Change management - on a microcosmic level, dealing with the absence of the 2 male clients arranged for 3pm meeting and the conflict situation occurring with the volunteer receptionist at 2.55pm are an example of unexpected events that needed management intervention. On a larger scale, Noel mentioned organisational change issues with regard to budget tendering processes and team moral changes.

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New GMC 8: Coordination - instigating the investigation into the situation with the volunteer receptionist at 2.55pm (tasking the administrative worker to gather statements for review the next Tuesday) and tasking the worker to oversee the initial process regarding the homeless man and his dogs were demonstrations of coordination.

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Appendix J: ISIS instructions

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<u>Instructions for completing the ISIS Questionnaire</u>

Thanks for agreeing to complete the attached questionnaire as part of the Ph.D. research. Before completing your answers, please consider the following:

- There is no time limit but give yourself at least a half an hour window
- Try and make sure this is time free from distractions
- Answer the questions honestly – there are no trick questions.
- Go with your gut – do not try and analysis the wording; if you find yourself thinking too much, go with your first thought.
- You cannot be identified by your responses – they get put into a computer programme anonymously.
- The questions are not necessarily linear – so you can skip back and forth. Obviously question 83. Should be answered last because it reflects on your overall responses.

You can discuss any concerns with T. B. Eccles at benedicteccles@gmail.com or call 07825809657. Alternatively, you can contact the course tutor, Dr David Biggs, on 0844 801 0001

Kind regards

Ben

Thomas B. Eccles

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Appendix K: Master 12 Step IPA referencing index

GOOD MANAGER BEHAVIOUR PHENOMENA

1. FORTHRIGHT GMB

NOE740-1/FR/GMB `	RHI760/FR/GMB	CLA1008/FR/GMB
CLA1006/FR/GMB	CLA1008/FR/GMB	RHI760/FR/GMB

2. EMPATHETIC GM

MAD842-4/EMP/GMB	RON1217/EMP/GMB	RON1217 /EMP/GMB
CLA1012/EMP/GMB	BOB809/EMP/GMB	RHI752-3/EMP/GMB
SAL871/EMP/GMB	RON1216-7/EMP/GMB	

3. ENTHUSIASTIC GM

MAD842/ENT/GMB	MAD842/ENT/GMB	NOE492-3/ENT/GMB
MAD841/ENT/GMB		

4. FAIRNESS GM

CLA1008/FAI/GMB	SAL871/FAI/GMB

5. GOAL DRIVEN GM

HUG1214-26/GD/GMB	NOE745-6/GD/GMB	CLA1015/GD/GMB
HUG1220/GD/GMB		

6. HONESTY GM

QUE653/HON/GMB	RHI752/HON/GMB	RHI760/HON/GMB
SAL871/HON/GMB		

7. HUMILITY GM

RHI536-41/HUM/GMB	NOE738/HUM/GMB	NOE742/HUM/GMB
RON1218/HUM/GMB		

8. KINDNESS GM

NOE736-7/KIN/GMB	NOE743-4/KIN/GMB	RON1219/KIN/GMB
SAL872/KIN/GMB		

9. OPEN COMMUNICATION GM

BOB822/OC/GMB	CLA1008/OC/GMB	SAL871/OC/GMB
MAD841/OC/GMB		

10. ROLE MODEL GM

MIC851-3/RM/GMB	MAD841/RM/GMB	NOE730-1/RM/GMB

11. TECHNICAL COMPETENCE GM

MIC849-50/TC/GMB	BOB808/TC/GMB	CLA1014/TC/GMB

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PREVIOUS MANAGER BEHAVIOUR

1. BLAMELESS

RON666-7/BLA/PMB	BOB790/ BLA/PMB	BOB793/BLA/PMB
BOB797/BLA/PMB	CLA710-11/BLA/PMB	CLA503-4/BLA/PMB

2. CONFLICT

CLA699/CON/PMB	CLA513-4/CON/PMB	HAM813-4/CON/PMB
RON1256-6/CON/PMB	HUG1196-1205/CON/PMB	BOB805/CON/PMB
CLA526-9/CON/PMB	BOB794/CON/PMB	MIC792-3/CON/PMB
RON660-2/CON/PMB	BOB798/CON/PMB	RON806-7/CON/PMB

3. DICTATORIAL

SAL868/DIC/PMB	MIC793-4/DIC/PMB	SAL655-6/DIC/PMB
NOE360-2/DIC/PMB	BOB788-91/DIC/PMB	BOB787/DIC/PMB
HAM858-9/DIC/PMB	BOB786/DIC/PMB	

4. DISHONESTY

MAD602-4/DIS/PMB	CLA697/DIS/PMB	PAU619/DIS/PMB
HAM860-2/DIS/PMB	MIC571/DIS/PMB	

5. FEAR

BOB474/FEA/PMB	RHI291-4/FEA/PMB	NOE390-2/FEA/PMB
MAD428-9/FEA/PMB	MAD426-7/FEA/PMB	PAU605-6/FEA/PMB
CLA596-8/FEA/PMB (NCHANGE)		CLA976-7/FEA/PMB

6. LOST CONTROL

RON985-6/LC/PMB	MAD427-8/LC/PMB	HAM394/LC/PMB
MAD346/LC/PMB	MAD344-5/LC/PMB	RON664-5/LC/PMB

7. POOR FOCUS

BOB785/PF/PMB	HAM798-9/PF/PMB	NOE249-50/PF/PMB
NOE753/PF/PMB	RON1160-1/PF/PMB	CLA697/PF/PMB
MAD510-12/PF/PMB	MAD345/PF/PMB	MAD345-6/PF/PMB
PAUL435-6/PF/PMB	PAUL624/PF/PMB	MAD566/PF/PMB
HAM496-9/PF/PMB	HAM391-4/PF/PMB	

8. SELF CENTRED

BOB796/SC/PMB	HAM858/SC/PMB	RON1012-3/SC/PMB
RON111-2/SC/PMB	HUG585-87/SC/PMB	NOEXXX/SC/PMB
NOE717-8/SC/PMB	MIC761/SC/PMB	MIC760-1/SC/PMB
MIC761-2/SC/PMB		

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9. STRESS LEVELS

MIC345-7/SL/PMB	RHI293-4/SL/PMB	BOB783/SL/PMB
CLA532/SL/PMB		

10. UNDER PERFORMANCE

CLA732-3/UP/PMB	CLA970-1/UP/PMB	RON571-2/UP/PMB
CLA972-3/UP/PMB	RON984-40/UP/PMB	CLA699/UP/PMB
CLA868/UP/PMB	SAL866-7/UP/PMB	RON662-3/UP/PMB
CLA970/UP/PMB	RON1165-6/UP/PMB	MIC570/UP/PMB
RON569-70/UP/PMB	RON570-1/UP/PMB	RON810/UP/PMB
HAM864/UP/PMB	CLA533-4/UP/PMB	

12 STEP PHENOMENA

1. BELIEF IN HP

PAU915-7/HP	MIC613/HP	CLA385-6/HP
QUE405-7/HP	PAU492-3/HP	PAU515-17/HP
RHI501/HP	RON1107/HP	MIC637-8/HP
MIC721-2/HP	PAU517-8/HP	SAL434-6/HP
PAU532-3/HP	SAL448-9/HP	CLA856-8/HP
NOE317-18/HP	RON1182-6/HP	PAU721-3/HP

2. DOING ONE'S BEST

RON1194/DMB	CLA562-4/DMB	MIC314-16/DMB
HAM383-4/DMB	MIC259-61/DMB	HAM361/DMB
MAD402/DMB	HAM363-4/DMB	MAD421/DMB
BOB309-10/DMB	SAL900-1/DMB	MAD431-3
MIC257-9/DMB	SAL901-2/DMB	RON562-4/DMB

3. COMPASSION FOR OTHERS

SAL903-6/COM	QUE459-60/COM	HAM778-9/COM
QUE498-500/COM	HAM540- 41/COM	PAU228-9/COM
NOE524-6/COM	NOE712-14/COM	SAL861-2/COM
SAL872-3/COM	SAL864/COM	MIC555/COM
SAL655-6/COM	RON821-2/COM	

4. CONTRACTUAL RESPONSIBILITY

CLA479-3/CR	HUG1166-9/CR	CLA477/CR
MAD321/CR	SAL331-4/CR	SAL56-7/CR

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RON562-4/CR	MAD536/CR	SAL160-1/CR
MAD323/CR	SAL360-3/CR	HAM476-8/CR
RON614/CR	PAU734-7/CR	RHI267-8/CR
RHI60-2/CR	MIC572/CR	MIC566-7/CR
MIC574/CR		

5. <u>DAILY BASIS</u>

SAL900-1/DB	PAU454/DB	RON1113-4/DB
PAU438-9/DB	PAU428-9/DB	RON596-8/DB
PAUL1015-9/DB	HAM528/DB	NOE712-14/DB
MAD 420/DB		

6. <u>DIFFERENCE</u>

RHI625-6/DIF	HAM323/DIF	QUE411/DIF
QUE417/DIF	QUE411/DIF	HUG1008-10/DIF
CLA733-4/DIF	HUG995-7/DIF	BOB298/DIF
NOE499-502/DIF	BOB601/DIF	BOB605-6/DIF
RON669-73/DIF	QUE412/DIF	PAU732-3/DIF
NOEL112-16/DIF (LISTENING)	NOE636-7/DIF	NOE638-40/DIF

7. <u>FORTHRIGHT</u>

PAU413-14/FR	NOE420-4/FR (WEDDING CAKE)	
PAU814-8/FR	HAM457-9/FR	NOE89-90/FR
NOE520-2/FR	NOE758-9/FR	PAU381-3/FR
MAD535-6/FR	CLA174-6/FR	NOE334-6/FR
CLA512-3/FR	NOE539-43/FR	RHI708-9/FR
PAU819-21/FR	RHI704/FR	RHI445/FR
RHI710-11/FR	NOE279- 80/FR	

8. <u>EGO REDUCTION</u>

MAD531-3/ER	HAM506-7/ER	QUE417-8/ER
PAU758-61/ER	MAD527-8/ER	MAD484-5/ER
MAD530-1/ER	NOE719-21/ER	NOE311-13/ER
MAD521-3/ER	CLA655/ER	PAU749-8/ER
PAU726-7/ER		

9. <u>EMPATHETIC</u>

PAU1008-9/EMP	CLA727-9/EMP	RHI527-8/EMP

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HAM620-1/EMP	NOE443-6/EMP	CLA539-40/EMP
PAUL1002-4/EMP	PAU393-8/EMP	MAD524-6/EMP
PAU361-2/EMP	CLA541-3/EMP	MAD528-9/EMP
RON689-91/EMP	SAL818/EMP	SAL309-10/EMP
BOB754-62/EMP	MAD797-9/EMP	
RON1051-2/EMP (INTERDEPENDENT RECOVERY)		HUG1067-8/EMP
RON1024-5/EMP	NOE357-8/EMP	

10. <u>ETHICALITY</u>

NOE327-8/ETH	HUG886-7/ETH	MIC394-5/ETH
HAM447-9/ETH	BOB457-8/ETH	BOB697-8/ETH
MAD601-2/ETH	HAM490-1/ETH	HAM566/ETH
NOE652-3/ETH	PAUL680-3/ETH	NOE709-10/ETH
NOE358-9/ETH	RON573-4/ETH	MAD604-5/ETH
QUE342-3/ETH	CLA129-31/ETH (ASSERT OR LOC OR SE)	

11. <u>EQUALITY</u>

CLA511/EQU	NOEL134-7/EQU	HUG1013/EQU
HUG691-2/EQU	MAD555-6/EQU	MAD628-630/EQU
HAM341-3/EQU		
HAM638-9/EQU	HUG986-93/EQU	NOE386/EQU
HUG1012-16/EQU	NOE688-92/EQU	SAL685-7/EQU
HUG705/EQU		

12. <u>FEARLESSNESS</u>

CLA560-2/FEA	CLA551-2/FEA	NOE372-3/FEA
PAU603-9/FEA	PAU611-3/FEA	PAU167/FEA
MAD696/FEA	RHI444/FEA	CLA567/FEA
NOE393-4/FEA	BOB487/FEA	NOE381/FEA
HAM442-3/FEA	PAU603-6/FEA	PAU587-8/FEA
RHI448-452/FEA	RON1156/FEA	NOE373/FEA
NOE778-9/FEA	NOE397-400/FEA	

13. <u>GRATITUDE</u>

PAU863-6/GRA	RON799/GRA	HAM395-7/GRA
BOB748/GRA		

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14. HONESTY

RON502-5/HON	HAM827/HON	HAM826/HON
HAM828-9/HON	HAM401-3/HON	QUE655/HON
HAM814-6/HON		

15. PERSONAL HUMAN LIMITATIONS

CLA675-9/PHL	NOE254-5/PHL	CLA523-4/PHL
PAU665-8/PHL	PAU774-6/PHL	RON651-3/PHL
MIC527/PHL	MIC452/PHL	HAM323-4/PHL
PAU686/PHL	HAM525/PHL	MIC527/PHL
MIC477-8/PHL	RHI519/PHL	PAU808-9/PHL
MIC585/PHL	NOE413-14/PHL	CLA678-9/PHL
CLA672/PHL	SAL679-80/PHL	RHI379-81/PHL
CLA531-2/PHL		

16. HUMILITY

RHI522-3/HUM	RON797-9/HUM	PAU719-20/HUM
NOE482-2/HUM	SAL701-2/HUM	NOE496-8/HUM
SAL678/HUM	SAL 859/HUM	PAU727-9/HUM
NOE485-6/HUM		

17. INSPIRING STAFF

CLA172/IS	HUG1153-5/IS	PAU203-5/IS
CLA188-91/IS	SAL201/IS	PAUL62-3/IS
NOE492-3/IS	CLA735-6/IS	NOE90-1/IS
SAL83/IS	SAL46-8/IS	SAL97-8/IS
HUG309-10/IS	RON1262-5/IS	SAL644/IS
HAM643/IS	BOB309/IS	

18. INTEGRITY

PAU721-2/INT	NOEL146-8/INT	HUG352-5/INT
MIC799-800/INT	NOE411-2/INT	MAD537/INT
RON606-8/INT	NOE55-6/INT	MIC776/INT
PAU734-7/INT		

19. OPEN MISTAKES - OTHERS

PAU87-8/OPO	PAU68-70/OPO	CLA683-5/OPO
MIC448-50/OPO	QUE451-2/OPO	

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20. OPEN MISTAKES - SELF

PAU788/OMS	MIC439-40/OMS	NOE304-6/OMS
QUE439-40/OMS	HUG666-8/OMS	PAU787/OMS
BOB625/OMS	HIG870-2/OMS	MAD660-1/OMS
MAD677-9/OMS	MAD559-60/OMS	PAU844-7/OMS

21. OPTIMISM

RON567/OPT	HAM332-3/OPT	PAU762-3/OT
PAU601-2/OPT	CLA577-82/OPT (THIS WILL PASS??)	

22. OTHERS' DEVELOPMENT

NOE317- 323- 4/OD	PAU868-9/OD	RHI528-9/OD
HUG1241/OD	QUE419/OD	NOE487-8/OD
SAL174-5/OD	SAL883-5/OD	

23. PERSONAL DEVELOPMENT

RON1251-3/PD	NOE762-4/PD	PAUL442-3/PD
CLA71/PD	PAU763/PD	PAU704/PD
PAU673-5/PD	PAU807-8/PD	PAU557-60/PD
CLA601-2/PD	PAU414-5/PD	MIC736-7/PD
MAD518-37/PD	RON1144-52/PD	PAU761/PD
PAU853-8/PD		

24. PERSONAL BEHAVIOUR INVENTORY

BOB448/PBI	PAUL834-5/PBI	NOE649-50/PBI
HUG589-93/PBI	RHI705-6/PBI	RHI632-3/PBI
HAM607-8/PBI	QUE476/PBI	RON950-1/PBI
MIC588-90/PBI	RON1196-7/PBI	BOB466-7/PBI
MIC597-9/PBI	MIC409-11/PBI	MI492-3/PBI
RON891-5/PBI	HAM426-7/PBI	BOB704/PBI
PAU841/PBI	MIC604-5/PBI	NOE708-9/PBI
RON649-51/PBI	RHI410-11/PBI	CLA786/PBI
SAL859/PBI	RHI605-6/PBI	CLA508-10/PBI
CLA792-4/PBI	NOE552-3/PBI	MIC427-8/PBI
NOE363-4/PBI	SAL566-8/PBI	CLA364/PBI
NOE509-12/PBI	NOE630-1/PBI	PAU853-8/PBI
HUG722-4/PBI	QUE331-2/PBI	PAU685-6/PBI
RHI473-4/PBI	CLA557/PBI	

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25. POWERLESSNESS (EXTERNAL)

RHI259/POW	HAM249-50/POW	PAU411-12/POW
CLA279-80/POW	HAM233-4/POW	QUE394-5/POW
NOE221-2/POW	HAM369-70/POW	MAD334-5/POW
MIC271-2/POW	SAL467-8/POW	SAL321-4/POW
PAU348-9/POW	SAL417-8/POW	RHI290-1/POW
PAU416-8/POW	HAM269-72/POW	

26. PRAYER: GUIDANCE

HUG799/PG	CLA463-83 472-4/PG	HUG521-2/PG
NOE282-3/PG	SAL383-388/PG	MIC382-3/PG
QUE516-17/PG	WUE555-6/PG	RON558-9/PG
MIC620-1/PG	BOB422/PG	CLA478-80/PG
QUE299-301/PG	MAD590-1/PG	QUE305/PG
CLA830/PG	SAL519-20/PG	MIC397-8/PG
RON976-8/PG	QUE264-5/PG	HUG509-10/PG
SAL422-5/PG	RON763-4/PG	QUE527-30/PG

CLA439-54/PG (ALTRUISM AND ACCEPTANCE)

27. MEDITATION

MIC347/MED	BOB421/MED	BOB421/MED
MIC348/MED	RON172-3/MED	HAM697/MED
RON961-2/MED	PAU913-4/MED	HAM688/MED
PAU919-21/MED	MIC602-4/MED	

28. PRAYER: SERENITY

HAM805-6/PS	HUG607-8/PS	HAM809-11/PS
QUE504-5/PS	BOB733-4/PS	QUE541-2/PS
HAM325-6/PS	PAU532/PS	PAU880-1/PS
PAU913-4/PS	HAM655-6/PS	SAL789-90/PS
PAU891-4/PS		

29. PRAYER: SET UP

MIC348/PSU	RHI642/PSU	MIC506/PSU
HAM506/PSU	MAD417/PSU	QUE517-8/PSU
BOB745/PSU	NOE578/PSU	

30. STRESS REDUCTION

RHI290/SR	RON1111-2/SR	HUG422-3/SR

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RON1118/SR	BOB801/SR	BOB374/SR
BOB377/SR	HAM603/SR	HAM804-5/SR
QUE399/SR	NOE710-11/SR	CLA385-5/SR
MIC347/SR	MIC397/SR	CLA532-3/SR
QUE591-2/SR	MIC825/SR	MAD699-700/SR

31. ACCEPTANCE OF REAL SELF

QUE518-20/ARS	MAD568/ARS	CLA439-41/ARS
PAU842-4/ARS (BOTTOM LINE)	CLA523/ARS	RHI362/ARS
RON793-4/ARS	MIC764-5/ARS	RHI480-1/ARS

32. SELF CONFIDENCE

BOB324-339/SC (SEE PETE, TRIS AND MEL? BADGE OF HONOUR/SELF-EFFICIENCY)

CLA536-8/SC	MAD401-2/SC	CLA506-7/SC
SAL862-3/SC	MAD511-2/SC	CLA507/SC
RON1126/SC		

33. CONTROLLED REACTIONS

RON966-9/CRE	NOE640-5/CR (ACCEPTANCE BR)	
CLA354-5/CRE	MIC596-7/CRE	CLA344-6/CRE
RON654/CRE	BOB306/CRE	BOB299/CRE
MIC716-7/CRE	HAM412/CRE	RON998-9/CRE
RON1008-9/CRE	RON1011/CRE	SAL413-14/CRE
RON1006-7/CRE		

34. SELF MANAGEMENT

RON564-6/SM	RHI617/SM	RHI268/SM
RHI266/SM	RON1127-8/SM	HAM251-2/SM
NOE703-4/SM		

35. SPHERE OF CONTROL

HAM331-2/SOC	SAL644-5/SOC	MAD316/SOC
MIC371/SOC	HAM337-8/SOC	RHI295-8/SOC
RHI393-7/SOC	RHI286-7/SOC	MAD346-7/SOC

36. TECNICAL PERFORMANCE

NOE253- 4/TP	QUE592-3/TP	MAD535/TP
PAUL1019-20/TP	HUG374/TP	RON877-8/TP
RON1160/TP	BOB696/TP	PAUL1013-4/TP
CLA606-8/TP		

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Appendix L: Step 4 Template (AA, 2001 p, 65) Antecedent to PBI

"We were usually as definite as this example:

I'm resentful at:	The Cause	Affects my:
Mr. Brown	His attention to my wife.	Sex relations Self-esteem (fear)
	Told my wife of my mistress.	Sex relations Self-esteem (fear)
	Brown may get my job at the office.	Security Self-esteem (fear)
Mrs. Jones	She's a nut -- she snubbed me. She committed her husband for drinking. He's my friend She's a gossip.	Personal relationship. Self-esteem (fear)
My employer	Unreasonable -- Unjust -- Overbearing -- Threatens to fire me for my drinking and padding my expense account.	Self-esteem (fear) Security.
My wife	Misunderstands and nags. Likes Brown. Wants house put in her name.	Pride -- Personal Sex relations -- Security (fear)"

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Appendix M: AA Just for today card

JUST FOR TODAY
I will try to live through this day only, and not tackle my whole life problem at once. I can do something for 12 hours that would appal me if I felt I had to keep it up for a lifetime.

JUST FOR TODAY
I will be happy. Most folks are as happy as they make up their minds to be.

JUST FOR TODAY
I will adjust myself to what is, and not try to adjust everything to my own desires. I will take my luck as it comes, and fit myself to it.

JUST FOR TODAY
I will strengthen my mind.
I will study I will learn something useful.
I will not be a mental loafer.
I will read something that requires effort, thought and concentration.

JUST FOR TODAY
I will exercise my soul in three ways, I will do someone a good turn, and NOT get found out. If anybody knows of it, it will not count. I will do at least two things I dont want to do just for exercise
I will not show anyone my feelings are hurt, they may be hurt, but today I will not show it.

JUST FOR TODAY
I will be agreeable, I will look as well as I can, dress becomingly, talk low, act courteously, criticise not one bit, not find fault with anything, and not try to improve or regulate anybody except myself.

JUST FOR TODAY
I will have a program. I may not follow it exactly, but I will have it. I will save myself from two pests, hurry and indecision.

JUST FOR TODAY
I will have a quiet half hour all by myself and relax. During this half hour sometime, I will try and get a better perspective of my life.

JUST FOR TODAY
I will be unafraid. Especially I will not be afraid to enjoy what is beautiful, and to believe that as I give to the world, so the world will give to me.

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Appendix N: Additional AA prayers

Serenity Prayer (AA, 1953 p. 59)

God, grant me the Serenity to accept the things

I cannot change Courage to change the things I can,

and the wisdom to know the difference.

Step 3 Prayer (AA, 2001 p. 59)

"God, I offer myself to Thee—to build with me and to do with me as Thou wilt. Relieve me of the bondage of self, that I may better do Thy will. Take away my difficulties, that victory over them may bear witness to those I would help of Thy Power, Thy Love, and Thy Way of life. May I do Thy will always!" (p. 63 BB) God, Take my will and my life. Guide me in my recovery. Show me how to live. AMEN

Step 7 Prayer (AA, 2001 p. 76)

"My Creator, I am now willing that you should have all of me, good and bad. I pray that you now remove from me every single defect of character which stands in the way of my usefulness to you and my fellows. Grant me strength, as I go out from here, to do your bidding. Amen."

STEP 11 Prayer (AA, 1953 p. 59)

(Prayer of St Francis of Assisi) —"Lord, make me a channel of thy peace - that where there is hatred, I may bring love - that where there is wrong, I may bring the spirit of forgiveness - that where there is discord, I may bring harmony - that where there is error, I may bring truth - that where there is doubt, I may bring faith - that where there is despair, I may bring hope - that where there are shadows, I may bring light - that where there is sadness, I may bring joy. Lord, grant that I may seek rather to comfort than to be comforted - to understand, than to be understood - to love, than to be loved. For it is by self-forgetting that one finds. It is by forgiving that one is forgiven. It is by dying that one awakens to Eternal Life. Amen."

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