DEVELOPING COLLABORATIVE LEADERSHIP:
A STUDY OF ORGANIZATIONAL CHANGE TOWARD GREATER COLLABORATION AND SHARED LEADERSHIP

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Abstract

Implicit in leadership behavior is the ability to work with others, to be in relationship, and to collaborate. Contemporary theories about leadership have shifted from a focus on the individual "leader" toward the collective act of "leadership." A concrete understanding of collaborative leadership remains somewhat underdeveloped in the literature and theoretically. This dissertation is a case study of organization's efforts to change from autocratic organizational leadership to a more collaborative working environment. Taking the form of a literary portrait, the study analyzes an example of action learning about collaborative leadership. The portrait will be of the agency's change, with special attention given to the issues facing the leadership team as it wrestles to change from top-down to collaborative leadership practice. The primary research question is: In today's shifting landscape, what practices and conditions will optimize the development of a collaborative working environment? Findings were that the development of a collaborative working environment can be optimized through the careful cultivation of the ten themes that emerged from the study: (1) on-going learning and continuous development, (2) flexibility, (3) trust, (4) respect/esteem/ positive regard, (5) willingness/commitment, (6) facilitative process (establishment of norms, ground rules/agreements, inclusivity, process capability/tacit knowledge of functional group process), (7) realistic optimism/positive personality/resilience/solution/strength/future focus, (8) communication skills, (9) social intelligence (ability to transcend the ego and to self-organize and motivate) and (10) an appropriate level of technical competence.

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Chapter I: Introduction

"All of us are smarter than any one of us", Japanese adage.

Overview of Chapter I

In this chapter, I hope to: (1) state my purpose as a researcher, (2) situate myself within the existing scholarship, (3) identify a gap in the literature, and (4) define the scope and limits of my research. I will also briefly describe the other two chapters. In doing so, I will have a chance for self-reflection, a chance to ask questions aloud, on paper, and go further into my own motivations, history, and potential biases. Later in the chapter, (5) I will introduce my research question, and then (6) make a case for the relevance of shared or collaborative leadership and its study. The chapter will close with (7) a brief description of the remaining chapters.

Statement of Purpose

My intention as a researcher is to conduct a study about leadership focused on the more invisible or implicit shared or collaborative aspects of the process. These potentially subtle practices would take careful investigation to uncover. For me, it is an effort to increase my own understanding and skill level of these less visible and often "disappeared" (Fletcher, 1999) processes that are integral to shared leadership. My thesis is that the illusive holy grail of leadership, the part that has been hard for scholars and researchers to put their fingers on is the same part that is being disappeared, the collaborative part of the process.

Effective leadership is a shared process, much of which can go unseen, especially when all is going well. Collaborative process, often unseen, can create a fertile climate for effective leadership. Leadership scholars and researchers are beginning to be

captivated by this enigmatic process calling it names like "group genius" (Sawyer, 2007), "collective wisdom" (Christakis, 2006) "collaborative intelligence" (CI) (Isaacs, 2002; Joyce, 2007), a "culture of collaboration" (Rosen, 2007; Schuman, 2006), shared leadership (Pearce & Conger, 2003) or ally based leadership (Clark, 2005).

Situating Myself

In an effort to uncover some of my own biases and subjectivity, I want to share with the readers that I am a white North American male in my mid-forties. I am bi-lingual, Spanish and English. I spent roughly six years living in Latin America and for this reason consider myself bi-cultural. Part of my fascination with collaborative, inclusive, and participatory approaches to leadership comes from my experience with multiculturalism and seeing that there are different ways to organize ourselves other than competition. As a man, my experiences with competitive male relationships have been both perplexing and at other times the status quo for me.

As a male, I will acknowledge a level of subjective myopia within the patriarchy. Being a member of the dominant or privileged group, I believe that we male scholars have been slow to see the different ways of perceiving the world. Reading the works of feminist scholars like Miller (1986) and Gilligan (1993) has helped me see some of my biases.   Many still lay cloaked, perhaps to be unveiled in the course of this study.

My interests in collaborative approaches to leadership are a reflection of my desire to try to break from mental models I hold, or that hold me, that may inhibit my potential for working collaboratively with others. Shared leadership, collective synergy and group flow are fascinating and seemingly magical phenomenon within leadership. They require being in relationships with others, and working together toward a mutually

beneficial outcome. I believe that relationships are the oxygen of leadership. They make leadership breathe and come to life.

For me, these make up the grist of leadership: the connections, the matching of differences, the compliments, the harmonies, the fusion, and the improvisation. From a systems perspective, this whole planet depends upon collaborative and complimentary forms of leadership.   The competitive and individualistic cultures that humans have created exist within a larger organizing system that relies of collaboration and balance (Joyce, 20007; Wheatley, 1999). The following are some of the beliefs and assumption I hold about leadership and contemporary leaders. Current leaders prefer using personal power bases instead of outmoded positional power bases.   When it comes to social power in a flattening world, contemporary leaders prefer the "power with" to the "power over" model (Komives, Lucas, & McMahon, 1998). Leadership built on personal power is really what collaboration and power-sharing depends on and upon which it thrives (Center for Creative Leadership, 2005).

I have been fascinated with the topic of power sharing and participatory leadership since I first studied it twenty years ago as an undergraduate student of sociology. I see leadership behaviors or skills falling into three overarching categories: technical/task, relational/ relationship and facilitative/process. I believe that collaborative and shared leadership are especially connected to the two-thirds that make up the relationship and process skills. The technical skills receive too much emphasis while the "soft skills" (the mix of relational, facilitative and process skills) do not receive enough attention.

Identifying a Gap in the Literature

A clear understanding of the shared and collaborative dimensions of the leadership process remains underdeveloped in the literature (Pearce & Conger, 2003). The studies and scholarship covered in the literature review remain fragments of an unfinished jigsaw puzzle. Pearce and Conger are the first to assemble a large text on the topic of shared leadership, a sign of growing scholarly interest. In the concluding remarks to the book, they are clear about how underdeveloped the study and scholarship concerning shared leadership and collaborative practice remain. "To date very few studies of shared leadership have been implemented. (p. 296)…There has been little research to date examining the effective measurement of shared leadership (p. 297)…the field of shared leadership holds remarkable opportunities for researchers of the future. There is so little we actually know – to use an old truism, "We have only scratched the surface" (p. 301).

In this same chapter, titled A landscape of opportunities, future research on shared leadership, the author provides a critique of the methods used, thus far, to study shared leadership. They point to a limited supply of examples favoring more mechanistic and quantitative approaches. Some like the MLQ or "multifactor leadership questionnaire" (Bass & Avolio, 1994) try to isolate factors like "influence" while looking at the group as a "whole" entity. Other quantitative theorists see shared leadership as a "sum of parts", and use regression analysis. The third branch of quantitative researchers see "group as a social network" (Siebert as cited by Pearce &Conger, 2003, p. 298) and try to see whether behaviors are

centralized within a few members or dispersed and shared across the membership of the group. All approaches are somewhat reductionistic and thus potentially missing the "field" (energetic field) component of shared and collaborative leadership.

As for qualitative methods according to this same article, there have been two primary techniques employed thus far. One is the "leadership sociogram" used by Pearce (2003). This involves the observation and recording of interaction patterns. And second, are ethnographic studies. These require lengthy on-site periods of observation, and although a large commitment, the authors reported this approach to yield a rich understanding of the ongoing dynamics.

A void seems to exist especially in literature aimed at developing shared leadership and collaborative working environments. Literature that focused primarily on development of shared leadership and/or collaborative practice consists of only a few books. These books are recent publications, showing the emerging nature of the topic of shared leadership. Of the roughly twenty books about collaborative and shared leadership, I found five books to be developmental in nature. The later half of chapter two is a review of these five books.

The Scope and Limitations of the Study

As for the scope and limitations of a case study through co-inquiry, my study will be of one singular organization and thus lack the rigor of a larger pool from which to generalize. The study is limited in scope to the specifics of the situation and uniqueness in which it exists. My hope is that by honing in with a telephoto lens upon the particulars of shared and collaborative leadership, there will be selective transferability from the unique to other unique but perhaps similar

situations. The unique can reflect certain universal truths. As expectations and understanding shifts in today's leadership landscape, many organizations are making this very transition to flatter more collaborative and participatory organization. Exploring the particulars of this case study could expose certain universal themes and truths. From these, a better understanding of a more complete developmental process is constructed. Because quantitative methods are not employed, the study has limited quantitative reliability. At the beginning and the end of the study a survey using a numerical rating system was used to get a soft and general reading of any shift in the organizational climate .

The criteria on which I would like my work to be judged is: (1) whether I have built a well-reasoned case and substantiated my claims, (2) whether I have made a contribution to the topic, and, (3)whether I learn from the process.

Ruth Frankenberg (1997), a white researcher who dedicated herself to the critical study of whiteness, described her own learning process as a cyclical one - cumulative, iterative and continuous, or what she calls a "reflexive/recursive" process. Reflexive, in the sense that the positionality of the researcher/theorist must be examined, accounted for and explained as part of the expected text. It should be further clarified that the word 'positioned' is not used here in an essentialist 'I am this, therefore I think that' fashion. Rather, for me the term signals my recognition of the impossibility of any Archimedean, objective, or 'all seeing stance (p. 106-107).

Her use of the term recursive suggests "that past conclusions are not necessarily closed" (Frankenberg, 1997, p. 106). She acknowledges herself as a canvas in progress, not only through the addition of new ideas but also using re-examination and re-vision as

sources for ongoing research and theory. Through my own recursive reflexive process, I hope to better my capabilities and effectiveness as a "side-by-side" leader. When working closely with others, especially people of diverse perspectives, I want to be able to participate in a mutual process that engages all players and their talents. Having the skills to construct a collective understanding of the complex social, environmental, and political issues of the day from an inclusive "both/and" perspective seem important to both postmodern research and developing collaborative environments.

Although culture and multiculturalism are not a primary focus in the dissertation, the concept of multiculturalism is implicit throughout. Multiculturalism "focuses on aspects of multiple cultures… The multicultural perspective seeks to provide a conceptual framework that recognizes the complex diversity of a plural society while, at the same time, suggesting bridges of shared concern that bind culturally different persons to one another" (Connerley & Pedersen, 2005, p. 13). These same capabilities of being able to see the world from more than one perspective through a both/and world view is an important aspect in both multiculturalism and collaborative leadership.

My dissertation research was an effort at knowledge creation. I grew my skills while adding nutrients helped build more fertile soil in which a common understanding of shared leadership grew. What were the key skills in participative, collective or egalitarian leadership processes? I hope that my findings will be of practical use for others like me, who in the post-modern landscape would like to improve their capacity and skills concerning the enigmatic and less visible jazz of shared leadership.

Research Questions

My research questions is In today's shifting landscape, what practices and conditions will optimize the development of a collaborative working environment? Answering this question may be more illusive than it seems. Why, until recently, has this softer, less tangible side of leadership remained somewhat unexplored by social scientists? How is it that the paradigm of leadership as a shared process has remained relatively unseen, under valued or left out of the research literature until now? There is an evolving scholarship and a changing understanding underway of the fundamentals of what leadership theory and practice. Collaborative and shared leadership are central themes in our transforming perception of leadership.

A Shifting Understanding

One underlying premise I hold about leadership is that it is inherently a shared and relational process. It generally does not happen in a vacuum. Leadership requires people. It cannot happen unless there is more than one person involved. Some argue that leadership needs a minimum of three participants (Greenleaf & Spears, 2002). Implicit in leadership behavior is the ability to work with others, be in relationship, and collaborate at some level with others. Contemporary definitions of leadership are shifting from a focus on the individual "leader" toward the collective acts or process of "leadership". In moving the focus from the leader, to the shared process of leadership, the attention can also move from the individual traits of leaders, to the collective ways of participating in leadership; ways of engaging productive leadership behaviors that are beneficial to the individuals, the team or organization, and the larger community. This shift in focus

mirrors what some would deem a transition from the modern to a postmodern narrative (Alvesson, 2002; Fletcher, 1999; Kvale, 2002).

In a 2005 study called "The Changing Nature of Leadership", conducted by the Center for Creative Leadership (CCL), Andre Martin found that the concept of leadership was changing. Of the 300+ respondents, more than 80% believe that the "definition of effective leadership has changed in the past five years." The findings across "numerous data points lead to one conclusion: leadership is changing and approaches focusing on flexibility, collaboration, crossing boundaries and collective leadership are expected to become a high priority." (CCL, 2005, p. 3). Other findings from CCL's study about the changing nature of leadership included:

1. Challenges are becoming more complex.
2. Greater reliance on interdependent work.
3. Shifting reward systems to a balance of rewarding short-term, individual production and collaboration to reach long-term objectives. Specifically, teamwork will need to be a greater focus in rewards.
4. The rise of a new leadership skill set. Participative management, building and mending relationships, and change management rose to the top in the future, replacing skills such as resourcefulness, decisiveness and doing whatever it takes.
5. Viewing leadership as a collective process. When examining an organization's approach to leadership from five the past to the future, we see movement from more individual approaches (i.e., leadership as a position) to those that are more collective (i.e., leadership as a process).
6. Global organizations are at the cutting edge of collective leadership (CCL, 2005, p. 3)

Each of these findings points to collaboration and collective processes as important aspects to the emerging practices of leadership. For example, greater

complexity calls for broader understanding.   From a systemic or "big picture"

perspective CCL's study clearly points to process and relationship as major components

in their findings about future needs and the changing nature of leadership.   The study

speaks to a postmodern perspective of leadership, with a flattening of hierarchy as work

happens in the context of collaborative teams.

Harland Cleveland, who was the former Assistant Secretary of State, U.S.

Ambassador to NATO, speaks explicitly to the philosophical shift from the modern to the

postmodern era in his 2002 book, *Nobody In Charge, Essays on the Future of*

Leadership.   He speaks to this shift in leadership saying, "I will add just one word here

about the changing seismology of leadership… The shift is now more than obvious: from

top down vertical relationships toward horizontal, consensual, collaborative modes of

getting people together to make something different happen" (Cleveland, 2002, p.13).

The recent evolution of leadership theories is reflected in the following shifts in emphasis

from the conventional perspectives to the emerging perspectives.

<u>Conventional Perspectives</u>	<u>Emerging Perspectives</u>
Mechanical or person focused	Process-oriented, dynamic and humanistic focus
Technical process	Relational and adaptive process
Traits focus	Capabilities and situational demands focus
Impositional	Inclusive
Top-down hierarchy	Distributed, decentralized, more work in teams, interdependence
Born leader	Continuous learning process

Self-serving	Social stewardship

Table 1.1 Shifting Perspectives of Leadership. Conventional perspectives compared with emerging perspectives of leadership highlighting current shifts in accepted wisdom.

For leadership scholars and researchers in the United States (U.S.) the twenty first century has brought a "turn" or shift to a different way of seeing and studying the world. This includes the poststructuralist critique or what has also been called the postmodern era (Alvesson, 2002). The change can be seen in the parallel philosophical shifts including the "literary turn" (Scholte, 1989), the "crisis of representation" (Cohn, 2006) and the so-called "end of positivism" (Kvale, 2002), all sounding the cry of new ways to reconceptualize the world. Emerging post-modern and post-structural ways of considering the world have brought forth the need for modern leaders to navigate in new and different ways. The post modern world is one of few absolutes and many ambiguities, where many perspectives need to be held in balance, all in a constantly changing environment. Several contemporary scholars write about the emerging need for these proactive and collaborative leadership competencies. Heifetz (1999) writes about adaptive leadership and the global need for collaborative leadership practices that is potentially facing a crisis point. Einstein said that we could not solve tomorrow's problems with today's way of thinking. Bennis (1996) tells us that today's leaders need to be able to come together to construct an understanding of contemporary problems across disciplines so that leaders can look at possible solutions.

> Around the globe, humanity currently faces three extraordinary threats: the threat of annihilation because of nuclear accident or war, the threat of a worldwide plague or ecological catastrophe, and a deepening leadership crisis in most of our institutions. Unlike the possibility of plague or nuclear holocaust, the leadership crisis will probably not become the basis for a best-seller or a blockbuster movie, but in many

ways it is the most urgent and dangerous of the threats we face today, if
only because it is insufficiently recognized and little understood
(p. 154).

In the post modern world of complex social, environmental, and political issues,

there is a need for leaders who can be adaptive, relational, and able to transcend

perceived boundaries and bring people together to find the solutions around complex

issues. They are the "uniters", who are able to hold a middle ground for dialogue, co-

inquiry, and co-creation. They are the outstanding co-laborers.

I gained deeper insight and awareness by being a part of the change effort .

Through my own experiences, as well as from the information I gathered from the

participants in the study, I was informed about the process. Understanding of the

development a collaborative environment was accomplished through a hybridized case

study. This study was not a case study where the researcher tries to have a minimal

impact on the system. This case study highlights a 10-month effort aimed expressly at

helping create a more collaborative working environment. One where I, the researcher,

facilitated the 10 development sessions. Clearly, there are some conflict of interest

issues. If the efforts failed, what would that say about me as a facilitator? I tried to back

away from my own agenda for success and let the process be what it would. There were

a few moments where I wondered if the significant learning might come through the ruins

of a failed change effort.

The case study is of a team or organization's efforts at developing

collaborative and shared leadership skills. The study uses bricolage.   Mixing

methods to co-create a study method I call "co-inquiry", I morphed the qualitative

methods of portraiture (Lawrence-Lightfoot & Davis, 1997), long interviews

(McCracken, 1988), and co-operative inquiry (Heron, 1996). These will be further outlined in chapter three as to how they helped me address my research question. Through the triangulation of these methods into *co-inquiry,* I hoped to come to a new understanding of the shared and collaborative leadership process. I used descriptive narrative and along with the participant's descriptions tried to articulate or paint the living world of collective leadership. My information was drawn from focus groups, interviews, my own observations, and data generated during the development sessions. The interviews and focus groups were conducted with individuals who actively strived and struggled to learn and practice collaborative leadership.

Overview of Chapters

Chapter 2 explores the literature related to shared and collaborative leadership. Here I review literature related to collaborative and shared leadership in an effort to frame the general concepts from the various research perspectives. I am particularly interested in those researchers who have studied efforts at developing collaborative leadership. The size or scale of the collaboration is the organizing construct for layout of the chapter. The chapter starts with a detailed look at a general model of shared leadership including the tenants of relational theory and the historical bases of shared leadership. Following this is a review of collaborative leadership that has been explicitly mutual, starting with the smallest scale of two "co-leaders" and ending with contemporary large-scale virtual collaboration. Literature about group and inter-agency collaboration, medium scale collaborations, are covered. Chapter 2 will also explore the

constructs of multiculturalism and inclusive cultural empathy (Pedersen, Crethar, & Carlson, 2008) as they relate to collaborative leadership.

Chapter 3 is a discussion of the methodology used in this study of shared leadership practice and development. Chapter 3 provides a detailed description of the methods, why these methods fit this study and how they were used in this study. This will include the rationale behind the selection, as well as the limitations of the chosen methods.

My method is called "co-inquiry" and in chapter three, it is spelled out in detail. Bricolage is introduced involving case study and organization development. The elements that make up my particular form of bricolage will be explained in detail. These include portraiture, thick description, co-operative inquiry, appreciative inquiry, the long interview, narrative-based approaches, collaborative forms of research, action learning and organization development. The chapter closes with a look at how ethical issues will be respectfully addressed.

Chapter 4 presents a detailed description and summary of the data collected through my methods. The procedures and rationale that were used for analyzing the data will also be thoroughly described.

Chapter 5 gives a summary, evaluation and interpretation of the results. Ten themes or components are presented as part of an emerging model for developing shared and collaborative leadership. Also in Chapter 5, several supporting models are presented, several model of three components to developing collaborative working environments are articulated.

In the final chapter, Chapter 6, I will offer a reflection of my own experience in researching. I will reflect on my learning in the process of research. I will offer a narrative about the future and describe the implications that my research brings for global citizenship and leadership.

Chapter II: Literature Review

> A new era is dawning, characterized by participation rather the command-and-control model so intrinsic to the institutions that dominated the 20th century: the military, corporations, centralized states. "Participation" is now the magic word. It is not about more stuff or more choice, but more say, more opportunities to contribute. (Visscher, 2007, p. 35)

Collaborative and Shared Leadership

The focus of the literature review will be recent scholarship about shared and collaborative leadership, in which an elemental shift in the understanding of the enactment of leadership is underway.

In the past forty years, there has been a democratization of leadership, a change in the perception of and access to the role of leadership. Cleveland's quote, "the shift is now more than obvious: from top down vertical relationships toward horizontal, consensual, collaborative modes of getting people together to make something different happen," (Cleveland, 2002, p. 16) speaks volumes. Leadership has shifted from an individual source or from the hands of a few to a larger collective source, which includes the imagination and grasp of many (Freire, 2000). The dated language of "leader and followers" seems less common today. Recent developments tell a story of emergent groups, leaders engaging in forms of shared leadership. Access to information has raised the threshold considerably in regards to the potential for collaborative innovation. Humans' ability to effectively collaborate is at the crux of leadership. Knowing this, we stand in a place of extraordinary possibility and capacity in terms of human potential.

In answering the question of what practices and conditions will optimize the development of a collaborative working environment in today's shifting landscape, I am trying to aid in the realization of the capacity or human potential mentioned by

Cleveland. The literature can be broken into six categories ranging from smaller to larger

forms of shared leadership. Starting with duos, the six are progressively larger sized,

these are the six categories: (1) co-leadership, (2) emergent leadership (cooperation in

self-organized groups of 4-10 individuals), (3) shared leadership in groups of roughly 10

individuals, (4) inter-organizational collaboration, alliances and partnerships and lastly

(5) the larger group forms of shared leadership of 40 or more individuals (6) virtual

collaboration involving thousands of individuals.

Co-leader ship

Emergent leadership -cooperation in self-organized groups

Shared leadership

Organizational collaboration, alliances and partnerships

Larger group forms of shared leadership of 40 or more

Virtual collaboration

Number of people:

2

40+

Figure 2.1 Collaboration by Scale

The broadening sections in Figure 2.1 help show the increasing sizes from small (left) to large (right) that make up the six categories of literature that is reviewed.

In conducting the review, I found there is a growing body of literature both academic and popular, which either focuses directly upon or identifies the importance of shared leadership and collaborative processes. Recent books and articles in the popular press about globalization, science, research, business, and the internet also make a clear case about the fruits and potential of collaborative leadership.

Shared leadership models come from previously existing models that were grounded in social psychology and relationship based theories. One prominent centering point lies with relational theory, which asserts that relationship is at the core of leadership. Feminist scholars have developed relational theory over the past hundred years. Starting with the works of Follett in 1924, the formal study of shared leadership has become more prolific during the past thirty years. A hub in this area of research has been the Stone Center, in Wellesley, Massachusetts, and home to leading scholars in relational theory. The Stone Center has dedicated itself to the study and the advancement of women. In Table 2 lists the underlying tenets of relational theory.

Tenet	Definition
Self-in-relation	Conceptualize self as a relational as opposed to an individuated entity.
Conditions	Mutual authenticity, mutual empathy, mutual empowerment.
Skills	Empathy, vulnerability, emotional competence, ability to contribute to the development of another with no loss to self-esteem, ability to operate in context of interdependence. Two-directional relational stance where interactions are approached as opportunities for mutual growth.

Outcomes	Five good things: zest, empowered action, increased self-esteem, new knowledge, desire for more connection.
Systemic Power	Women expected to be the "carriers" of relational activity invisibly, enabling the "myth of individualism" to endure and associating a relational stance with femininity.
	Unequal power relations (gender, race, class) leads to distortion of growth-in-connection principles, where parties with less power have more highly developed relational skills, thereby associating these skills with powerlessness.

Table 2.1 Tenets of Relational Theory   Source: (Fletcher & Kaufer, 2003)

Relational theory is at the core of shared leadership theories. The following theories are synonymous with relational theory: Stone Center relational theory (Fletcher & Kaufer, 2003), servant leadership (Greenleaf & Spears, 2002), shared leadership, side-by-side leadership, emergent leadership, collaborative leadership (Chrislip & Larson, 1994), ally based leadership (Clark, 2005), concurrent leadership (Raelin, 2003), and post-heroic leadership (Bennis & Biederman, 1997; Fletcher & Kaufer, 2003; Heenean & Bennis, 1999; Spillane, 2006).

Several of the reoccurring themes from the literature about shared leadership include: (1) resounding need and a sense of urgency in developing collaborative capacity, (2) delineating vertical from shared leadership (3) that leadership is less about a person or single individual and more about a process that is shared, (4) self-leadership and the need for personal mastery (5) there is a lack of agreement on the definition of "shared leadership" signaling the newness of this theory and emerging field of study. These five themes were echoed in the pages of Pearce and Conger's 2003 book, *Shared leadership: Reframing the hows and whys of leadership*. A groundbreaking compilation, this collection of articles begins the process of setting stakes in the ground toward creating a

"shared leadership" theory. Both editors have a researched shared leadership extensively. It is Pearce and Sims (2002), who found shared leadership to be a significant predictor of team effectiveness.   Conger has a background is the study of power sharing. The researchers represented in this book have raised the flag for shared leadership.

Pearce and Conger (2003) define shared leadership as "a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals or both" (p. 1). Later in a subsequent chapter, Cox, Pearce and Perry (2003) go on to define it further, saying, "Shared leadership relies on a dynamic exchange of lateral influence among peers rather than simply relying on vertical, downward influence by an appointed leader" (p. 48). With shared leadership, leadership is examined as a group level phenomenon. There is said to be a de-emphasis on the positional or formal leaders and re-emphasis on the social process of leadership. Pearce and Conger's shared leadership model identifies four leadership strategies: directive, transactional, transformational, and empowering.

(1)Directive leadership relies on formal or positional power and is epitomized by behaviors like issuing instructions or commands and assigning goals. (2)Transactional leadership uses rewards, motivation, and social exchange. (3)Transformational leadership is comprised of inspiring communication, challenging the status quo, providing vision and intellectual stimulation, having high performance expectations or expressing idealism. (4)Empowering leadership highlights the development of self-management or self-leadership skills with followers, encouraging participation, independent action, self-reward, teamwork, and self-development. They note that, so far, shared leadership theories remain emerging conceptual models of leadership without much research behind them.

The Pearce and Conger's (2003) publication is the most comprehensive and

rigorous look at collaboration and shared leadership to date. The editors open the

publication with a theoretical overview and brief history of the early traces and emerging

branches of shared leadership. Table 3 comes from their book and depicts the roots of a

shared leadership theory, tracing them from their various branches and origins.

Theory/Research	Key Issues	**Representative Authors**
Law of the situation	Let the situation, not the individual, determine the "orders."	Follett (1924)
Human relations and social systems perspective	One should pay attention to the social and psychological needs of employees.	Turner (1933) Mayo (1933) Barnard (1948)
Role differentiation in groups	Members of groups typically assume different types of roles.	Benne and Sheats (1948)
Co-leadership	Concerns the division of the leadership role between two people - primarily research, examines mentor and protégé relationships.	Solomaon, Loeffer & Frank (1953) Hennnan and Bennis (1998)
Social exchange theory	People exchange punishments and rewards in their social interactions.	Festinger (1954) Homans (1958)
Management by objectives and participative goal setting	Subordinates and superiors jointly set performance expectations.	Drucker (1954) Erez and Arad (1986) Locke and Latham (1990)
Emergent leadership	Leaders can "emerge" from a leaderless group.	Hollander (1961)
Mutual leadership	Leadership can come from peers.	Bowers and Seashore (1966)
Expectation states theory and team member exchange	Team members develop models of status differential between various team members.	Berger, Cohen and Zelditch (1972) Seers (1989)
Participative decision making	Under certain circumstances, it is advisable to elicit more involvement by subordinates in the decision-making process.	Vroom and Yetton (1973)
Vertical dyad linkage/ leader member exchange	Examines the process between leaders and followers and the creation of in-groups and out-groups.	Graen (1976)
Substitutes for leadership	Situation characteristics (e.g., highly routinized work) diminish the need for leadership.	Kerr and Jermier (1978)
Self-leadership	Employees, given certain conditions, are capable leading themselves.	Manz and Sims (1980)
Self managing	Team members can take on roles that were	Manz and Sims (1987,

work teams	formerly reserved for managers.	1993)
Followership	Examines the characteristics of good followers.	Kelly (1988)
Empowerment	Examines power sharing with subordinates.	Conger and Kanungo (1988)
Shared cognition	Examines the extent to which team members hold similar mental models about key internal and external environmental issues.	Klimoski and Mohammed (1994) Cannon-Bowers and Salas (1993) Ensley and Pearce (2001)
Connective leadership	Examines how well leaders are able to make connections to others both inside and outside the team	Lipman-Blumen (1996)

Table 2.2   Historical Bases of Shared Leadership   (Pearce & Conger, 2003, pp. 4-5).

In an effort to provide an overview of this group's work, I will draw from a selection of scholars and researchers Pearce and Conger's identify in their overview of the historical bases of a shared leadership theory. As part of identifying the primary threads or themes in the literature and framing, the concepts in the book on shared leadership, Fletcher and Kaufer (2003) outline that there have been several shifts in how leadership is being conceptualized. These three shifts fall along three thematic lines. Leadership is: (1) distributed and interdependent, (2) embedded in social interaction and (3) a process of ongoing learning (pp. 22-24).

To their first point, distributed leadership is something that happens throughout organizations, it represents a network or web of leadership practices that can be enacted at all levels. This is moving away from theories about the traits of the few at the top. Distributed and interdependent leadership "signal a significant shift away from individual achievement and meritocracy toward a focus on collective achievement, shared responsibility and the importance of teamwork" (Fletcher & Kaufer, 2003, p. 23).

Shift number two, points out that leadership as an embedded process, set in the context in which it occurs. Leadership is embedded in social interaction and social process. Fletcher and Kaufer (2003) underscore implications of shared leadership's

embeddedness. (1) That embeddedness provides for dynamic, multidirectional, and collective activity. (2) That shared leadership focuses overall, looking at social interaction as a shared phenomenon. (3) That relationships and networks of influence are the currency of leadership, and (4) that "power with" and "leading up" are examples of servant leadership.

Servant leadership fits within the fold of relational theory, and it helps show the second shift in leadership theories, which acknowledges the embedded and situational nature of leadership. The second shift points out the subtle, less visible and tempered side of leadership. Leadership is not a one-size-fits all endeavor. It is a unique and customized skill, tailored to the demands of the particular event or group.

Servant leadership offers a relational view in it's:
1. Focus on relationships that are egalitarian, collaborative, more mutual or "side-by-side"
2. Less hierarchical model in nature than the leader-follower models
3. Perspective where relational interactions are understood to be more fluid and multidirectional and less individual and static than the individualistic models of leadership

Table 2.3 Shared themes within servant and relational leadership theories.

The third shift is in leadership and learning, or more accurate to the point, leadership as learning and acknowledges the importance of seeing leadership as a means and not an end. "That leadership is not learned, leadership is learning. That is the most basic thing about it" (Vaill 1996). Much of leadership learning is thus experiential, requiring the ability to be self-reflective.

On a larger scale, organizational learning includes Senge's (1990) learning organizations, systems thinking, Total Quality Management and quality circles, organization development and efforts at civic dialogue. Shared leadership exists in a range of forms and sizes, the possibilities are broad. We will unpack them from the small

to the large forms. Starting with the smallest form, two parties, shared leadership will be uncovered, moving out to a larger and larger scale.

Co-Leadership

Co-leaders share leadership between two individuals or entities. These are dynamic duos, which cannot only command, but also follow and share the reins. At times, this takes the form of mentorship and successional leadership, and at other times, it is a complimentary partnership. In their book *Co-leaders*, Heenan and Bennis (1999) note that, "over the years, we have discovered that the genius of our age is truly collaborative. For all but the simplest tasks, we need teams of leaders working toward a common purpose. Co-leaders demonstrate this visceral strand of teamwork. They show why it's the only way things get done in today's complex, ever-changing organizations" (p. VIII). The authors go on to say that "Above all co-leadership is inclusive, not exclusive" (p.5). Although inclusivity requires an awareness and sensitivity to the needs of others from leaders, this softer side of co-leadership is not yielding. "Co-leadership is not a fuzzy-minded buzz-word designed to make non-CEO's feel better about themselves and their workplaces. Rather it is a tough-minded strategy that will unleash the hidden talent in any enterprise" (p. 5). Tough mindedness is a part of being collaborative, as contradictory as this may sound. Resiliency and a mental and emotional toughness are key components of successful collaboration (Joyce, 2007; Spillane, 2006; Straus, 2002).

The study of co-leaders, although small in scale, can help to isolate the dynamics of collaboration from the one relationship. The bounded ness of the singular relationship of co-leaders can help in the effort to understand the larger phenomena of shared leadership. Ultimately, larger groups are an aggregate of many individual relationships.

Therefore, an inquiry into co-leadership can expose the particular motives and elements of shared leadership in its smallest form, from which one could extrapolate to larger contexts.

What motivates co-leaders to collaborate? Co-leaders tend to come from one of three pathways to their successful co-leadership: (1) "fast-trackers", (2) a "back-trackers", or (3) "on-trackers". A fast tracker would be a deputy on the way up. A back-tracker would be a former chief who has downshifted. An on-tracker would be an outstanding adjunct who wants or was not able to be promoted to the top spot (Heenan and Bennis, 1999, pp. 9-10).

O'Toole, Galbriath, and Lawler (2003) add five sources for the origins of co-leadership: "(1) different roles, (2) selecting a leadership team, (3) working together, (4) working with others, (5) institutionalized leadership" (p. 260). Finding complimentary co-capable leaders where for example, one leader is the emotional leader and the other is the task leader.

Why, in particular, are co-leaders willing to subordinate their egos, a sacrifice that seems all the more remarkable in an age of personality cults and the megastar CEO? According the Heenan and Bennis (1999), the three main reasons for co-leading included: (1) crusaders serving a noble cause, (2) confederates, serving an exceptional organization or enterprise or (3) consorts serving an extraordinary person.

The critical factors for success of co-leaders found by Heenan and Bennis' (1999) research are: (1) a champion who will allow you to succeed; (2) the ability to subordinate ego to attain a common goal; (3) hiring deputies that are good enough to replace them; (4) courage and conviction, not "yes-men"; (5) creativity; (6) loyalty; (7) unusually

healthy egos (p.12). Co-leaders do not need to be "captain" to play on the team. They

embody an egalitarian understanding of leadership. Heenan and Bennis point out that co-

leaders need to be able to both lead and follow, balancing their use of power. "As

someone who knows both the executive experience and the subordinate one, the co-

leader is a good model for a new, more egalitarian hybrid better adapted to the needs of

the new millennium -people who can both command and follow, as the situation

requires" (p. 19).

  After their extensive interviewing and study of co-leaders, the authors created a

list of the top 10 pieces of advice that co-leaders might give. The following ten points are

a summary of their list: (1)know thyself; (2) know thy leader; (3)avoid titanic clashes; (4)

give your bosses what they need, as well as what they want; (5) find out what the

enterprise needs most and deliver it superbly; (6) Do not sell your soul (or ruin your

body); (7) lead as well as follow (8) know when to stay put; (9) know when to walk

away; (10) define success on your team's success. These themes of self-knowledge, self-

awareness, or self-leadership speak to the important of balance and awareness for co-

leaders (Kegan, 1994; Goleman & Senge, 2007).

  Heenan and Bennis (1999) list of 10 common strategies that encourage power

sharing and co-leadership and foster shared leadership practices. These include: (1)

celebrate the enterprise, not celebrity, (2) foster togetherness, (3) cultivate egalitarianism,

(4) strengthen self, (5) nurture trust, (6) purvey hope, (7) institutionalize dissent, (8)

redefine loyalty, (9) balance power, (10) build team goals (p. 270). Their list spotlights

the key elements to creating a fertile climate for practicing shared leadership. The

elements of trust, hope, loyalty, togetherness, celebration, egalitarianism, dissent, balance

and team goals are critical to successful collaboration. Note that these elements come

from a base of optimism and affirming or appreciative emotions.

Table 2.4 lists some more well-known co-leaders and the companies where they

were the partners at the top. The examples show the practice of shared leadership is

nothing new or unusual. Co-leaders have run many major North American corporations

past and present (O'Toole et al., 2003).

Company (Approximate Years)	Co-Leaders	Effectiveness of Team Over Time (+or -)
ABB (1980s)	Percy Barnevii & Goran Lindhal	+
Apple (1980s)	Steve Jobs & Steve Wozniak	**-**
Apple (1990s)	Tohn Sculley & Steve Jobs	**-**
Arco (1980s)	R. 0. Anderson & Thornton Bradshaw	+
Asda (1990s)	Archie Norman & Allan Leighton	+
Berkshire Hathaway (1980s-1990s)	Warren Buffedt &Charlie Munger	+
Boeing (current)	Phil Condit & Harry Stonecipher	+
Citigroup (1990s)	Sanford Weill & John Reed	**-**
Disney (1980s)	Michael Eisner & Frank Wells	+
Disney (1990s)	Michael Eisner & Michael Ovitz	**-**
Ford (1980s)	Donald Peterson & Red Poling	+
Goldman Sachs (1970s)	John Whitehead & John Weinberg	+
Goldman Sachs (1980s)	Steven Friedman & Robert Rubin	+
Goldman Sachs (1990s)	Hank Paulson & John Corzine	**-**
HP (1950s-1980s)	Bill Hewlett & David Packard	+
Intel (1970s)	Bob Noyce & Gordon Moore	+
Intel (1980s)	Gordon Moore & Andy Grove	+
Intel (1990s)	Andy Grove & Craig Barrett	+
Microsoft (current)	Bill Gates & Steve Ballmer	+
Morgan Stanley (1990s)	Phil Purcell & Jack Mack	**-**
Motorola (1960s-1980s)	Bob Galvin & Mitchell/Weitz/Fisher	+
Oracle (1990s)	Larry Ellison & Ray Lane	**-**
Patagonia	Yvon Chounard & Tom Frost	-
Schwab (1990s)	Charles Schwab & David Pottruck	+

TIAA-CREF (current)	John Biggs & Martin Liebowitz	+

Table 2.4 Evaluating shared leadership (selected examples) (O'Toole et al., 2003)

Strategic alliances and partnerships provide another example of co-leadership. These are usually joint ventures between for profit and not-for-profit organizations. In 2000, Austin did research on these strategic alliances and created the seven C's of collaboration: (1) connection with purpose and people, (2) clarity of purpose, (3) congruency of mission, strategy and value, (4) creation of value, (5) communication between partners, (6) continual learning, and, (7)commitment to the partnership. Many of the themes within the seven C's and strategic alliances are echoes of the other literature about collaboration and shared leadership. The concepts of continuous learning, commitment to the relationship, to communicating openly are themes that arise repeatedly in the literature.

Huxham and Vangen (2000) also study co-leadership in the form of two-party collaborations between a for-profit and not-for-profit entity. They published several articles where they take real life formal collaborations and study where these collaborations worked well and where they went wrong. They identify the following six key areas for success or failure of co-leadership through their research: (1) managing aims and goals for collaboration levels, (2) compromise, (3) communication, (4) democracy and equality, (5) power and trust, and (6) determination, commitment and stamina (1996, p. 5). Note that these categories were general, broad, and not so technical or scientific in nature. Their list match several of Austin's in regards to clarity of purpose, commitment and communication.

Emery and Trist are early pioneers in researching two-party collaboration. They studied the inter-organizational collaborations of their day. Forty years ago, they were writing position papers about inter-organizational collaborations (1973). Emery and Trist are social psychologists who published in the wake of the social upheaval of the nineteen sixties. Their book, *Toward a Social Ecology* was a seminal work in initially framing the potential for collaboration. They make a case for the compelling global need to use collaborative leadership. The book developed out of a joint paper titled "The casual texture of organizational environments" which they published together in 1973. Their book addresses human adaptability and increasing global turbulence caused by the accelerating rate of change. They also considered the associated rises in levels of complexity, interdependence and uncertainty in analyzing crucial steps in transitioning to post-industrial society. Emery and Trist were early postmodern thinkers. Their writings reflect open systems thinking a quarter century before Senge's *Fifth discipline*, or Wheatley's *Leadership and the new science*. Emery and Trist (1973) wrote,

> The theory of the collaborative relationship and of the practical engagement of social science as a strategy for advancing the base of fundamental knowledge is more advanced than that of problem-oriented research domains. To proceed in the collaborative manner releases processes of social and organizational learning, which permit innovations to be accepted, and adaptive changes to take place, this would not otherwise be possible. (p. 104)

Trist goes on to say that, action research provided the first models of the facilitation for planned organizational change as a process involving collaborative relationships between what he called client systems and social science professionals. He tells the interesting history of the convergence between OD and Tavistock researchers. Conditions of crisis existed which "compelled rapid change" in the United States and Britain during the Second World War. The survival of both nations depended upon what

they called break through thinking, made possible by collaboration among experts. For example, in the U.S. this took the form of real life experiments (like the T-group) about social change carried out by Kurt Lewin and his colleagues. Their work greatly influenced the subsequent work of the organization development practitioners who followed. One example was Lewin's finding that social change could be seen as a three step process of (1) unfreezing the present level, (2) moving to a new level and (3) freezing group life at the new level.

Meanwhile, the British Army was brewing their own methods, stemming from the use of interdisciplinary teams. They selected a group, most of whom had worked at the pre-war Tavistock Clinic doing what they called operational field psychiatry, what Trist (1983) called "a psycho-social equivalent of operational research" (p. 104). The Army research teams were made of soldiers, psychologists, sociologists and anthropologists. "Inter-disciplinary collaboration was achieved in an action frame of reference. A common set of understandings developed, based on shared core value. This represented a commitment to the social engagement of social science, both as a strategy for advancing the base of fundamental knowledge and as a way of enabling the social sciences to contribute to 'the important practical affairs of men'" (p. 104). Through experiential methods, these scientists collaboratively developed group development theories. The Tavistock Institute was founded in 1946, to continue the work and discoveries that had begun during the war. As the Tavistock group in Britain became more familiar with the works of OD theorists like Lewin, they decided to formalize the "interpenetration" of the two traditions. In 1947, the Research Center for Group Dynamics and the Tavistock Institute jointly sponsored the international journal, *Human Relations,* which dedicated

itself to integrating the social sciences, and the continued exploration of the relations of

theory to practice (Emery & Trist, 1973, p. 105). The journal symbolized the successful

joining of the U.S., OD, social psychology based on field theory and the British,

Tavistockian, "psychologically oriented interdisciplinary social psychiatry" (p. 105).

This collective group of social scientists gave birth to the inter-disciplinary publication,

Human Relations, that was the medium for the early writings of Emery and Trist and the

beginning of a movement in action-based methods for doing research and organization

development. The writings of this frame have influenced a broad range of other post-

modern thinkers. Examples include the works of subsequent theorists like Senge (1990),

Wheatley (1999), and Heifetz (1999).

As if from a script that Heifetz wrote about adaptive leadership, in a 1983 abstract

Trist wrote,

> In complex societies, systems of problems emerge in response to
> environmental instability. Such problems are beyond the capacity of
> individual organizations to solve. In order to solve these problems, groups of
> organizations must collaborate at the domain level of common concern. The
> formation of this domain requires that organizations share an appreciation
> for the problem, identify their areas of shared concern, determine the
> direction of their actions, establish the boundaries of collaboration, and
> develop an interorganizational structure that accommodates both shared and
> conflicting interests. …Through network initiatives, the promotion of
> appreciative learning, the development of effective referent organizations,
> and consciousness-raising in the external social field, interorganizational
> domains reduce environmental turbulence and work toward solution of
> complex problems. (1983, p. 276)

Trist's compelling words set the stage for the research that follows. Huxham and Vangen

(1996), added to Trist's work with their article "Working together: Key themes in the

management of relationships between public and non-profit organizations" establishing a

similar optimistic sense of mission.

Among the major societal issues facing those of us living in the west are: unemployment, homelessness, poverty, crime, care for the elderly, the young, the disabled or ill, youth violence, ethnic conflict, drug abuse, and protecting the environment. Tackling such problems is obviously not a simple matter. One factor, which contributes to the complexity, is that they tend to span a wide range of aspects of society; many even span national boundaries. An inherent feature of such situations is therefore that no single agency can ever have responsibility for tackling them. (Huxham & Vangen, 1996, p. 5)

These social scientists feel that their theories hold important keys to unlocking the complex problems of the present and future. There is an air of altruism surrounding the values embedded in the work within the researcher of shared and co-leadership. Very much in alignment with Greenleaf and Spears' (2002) concept of servant leadership, the culture in the study of collaboration reflect an implicit concern for social problems, coupled with both a sense of responsibility and possibility. Inter-organizational collaboration and partnerships are presented as great purveyors of possibility for social improvements. These researchers tended to come from the non-profit, environmental, social service, health care, and OD arenas. For example, Huxham and Vangen (2000) who are both scholars and practitioners; as part of constructing their Grounded Theory technique drew heavily on their work from the Strathclyde Poverty Alliance in Britain. Their work in the social sector and their experiences in being part of an active formal organizational collaboration centered on this non-profit alliance. The experience informed Huxham and Vangen (1996) and then became the backdrop in front of which they constructed their theory.

The last members of two-way collaborations included researchers of two studies who used action research methodology. The research team of Campbell, Dienemann, Kub and Wurmser (1999) was comprised jointly of academics and women's health service providers. Their research was conducted using a collaborative model, all in the

context of a collaboration involving a university nursing school and a battered women's shelter. In their article, they defined collaboration as "a partnership in which academics and service providers join together as equals, in their specialized roles, to develop and implement projects in long-term relationship" (p. 1141). Their definition was very specific to their context. They found that successful collaborations had four important dimensions: (1) a long-term commitment, (2) developing trust, (3) working through frustrations and (4) formulating mutual goals. Like Huxham and Vangen's (2000) findings, these four dimensions provided a general, simple and clear way of distinguishing what characterize collaborations. Providing a more detailed perspective, Campbell et al. (1999) cite the work of Henneman, Lee, and Cohen (1995), who, based on their own research, define true collaboration as having nine defining attributes. These attributes include: (1) Joint venture, two or more organizations or individuals must be involved in a joint venture to achieve a defined outcome; (2) Cooperative; (3) Endeavor; (4) Willing participation; (5) Shared planning and decision making; (6) Team approach; (7) Contribution of expertise; (8) Shared responsibility; (9) Nonhierarchical relationships; (10) Power is shared based on knowledge and expertise (Henneman et al., 1995, p. 1152). Important features of this work included the identification of collaborations as a non-hierarchical team approach where planning, expertise, decision making, responsibility and power are all *shared*. In addition, Campbell et al. (1999) were transparent with their sense of mission and placement as activists in the public health and university settings. Their use of action research made them servant leaders.

Group Leadership

The second level of shared leadership involves leadership in small groups or teams from roughly six to fifteen people. This includes the areas of emergent leadership, cooperation, collaboration, exchange theories and shared leadership in groups or teams that are structured and self-managed. There are three theory strands featured in this mid-size sample of shared leadership processes: relationship approaches, transactional and social exchange theories, and follower-centered approaches. Relationship approaches include the law of the situation (Follett, 1924), human relations and social systems perspective (Barnard, 1938; Mayo, 1933; Turner, 1933,), mutual leadership (Bowers & Seashore, 1966) and co-leadership (Heenan & Bennis, 1999). The social exchange theories include leader-member exchange (LMX) social exchange theory (Festinger, 1954; Homans, 1958), emergent leadership (Hollander, 1961), expectation states theory and team member exchange (Berger, Cohen & Zeilditch, 1972; Seers, 1989), and vertical dyad/leader member exchange (Graen, 1976). Transactional and social exchange theories feature self-leadership (Manz & Sims, 1980), self-managing work teams (Manz &Sims, 1987, 1993). Also included here are the topics of personal power and influence without authority (Cohen & Bradford, 2005; Seers, Keller, & Wilkerson, 2003). Lastly, the theories of followership (Kelly, 1988), empowerment (Conger & Kanungo, 1988), shared cognition (Cannon-Bowers & Salas, 1993; Ensley, Pearson & Pearce, 2001; Klimoski & Mohammed, 1994) and connective leadership (Lipman-Blumen, 1996) are examples of follower-centered approaches.

Teams have been the scrutiny of many studies about leadership. Teams and groups are a rich source from which to gather information about shared leadership. Bennis and Biederman (1997) studied "Great Groups." These groups came together

under compelling circumstances to solve major problems. For example, the groups from

the Manhattan Project are featured. They found that:

> Within these groups, work was fun, joyous, exciting. Great Groups become
> better than themselves. The take home lessons from Great Groups is that: (1)
> greatness starts with superb people; (2) Great Groups and great leaders
> create each other; (3) every Great Group has a strong leader; (4) the leaders
> of Great Groups love talent and know where to find it; (5) Great Groups are
> full of talented people who can work together (6) Great Groups think they
> are on a mission from God; (7) every Great Group is an island – but an
> island with a bridge to the mainland; (8) Great Groups see themselves as
> winning underdogs; (9) Great Groups always have an enemy; (10) people in
> Great Groups have blinders on; Great Groups are optimistic, not realistic;
> (11) in Great Groups the right person has the right job; (12) the leaders of
> Great Groups give them what they need and free them from the rest; (13);
> Great Groups ship (move); (14) Great work is its own reward. (Bennis &
> Biederman, 1997, pp. 196-218)

The study of greatness in groups is also the focus of Hooker and Csikszentmihalyi

(2003) Csikszentmihalyi renowned researcher and theorist of optimal performance has

applied his concepts of "flow" and optimal performance to shared leadership. In their

findings, Hooker and Csikszentmihalyi point to organic leadership structures, saying that

they are beginning to "carry the day in competitive environments where innovation and

creativity were crucial to survival" (2003, p. 218). They join the Pearce and Conger

(2003) book with an article that hones in on group psyche. Their focus is on ways in

which "shared leadership provides the conditions necessary for flow" (Csikszentmihalyi,

1990) and intrinsic motivation at the group level, and the way in which these factors can

in turn affect shared leadership and organizational outcomes such as creativity and

innovative potential" (1990, p. 219). The story behind flow psychology is that in an effort

to better understand positive states of being such as happiness, enjoyment, fulfillment,

and optimal experience, Csikszentmihalyi studied those "who pursued activities they

enjoyed but for which they received no tangible reward" (1990, p. 220). His subjects included racecar drivers, dancers, champion chess players, rock climbers, and artists. He found that the conditions necessary to reach flow were: (1) clear goals every step of the way; (2) immediate feedback to one's actions; (3) balance between challenge and skills; (4) consciousness excludes distractions and irrelevant information; (5) there is no worry of failure; (6) self-consciousness disappears; (7) sense of time becomes distorted; and (8) the activity becomes autotelic. Autotelic is when a participant begins to enjoy it and experience flow, the task becomes an end in itself (1990, p. 223).

Hooker and Csikszentmihalyi show that sharing leadership roles and responsibility have the effect of increasing the opportunities for flow, intrinsic motivation, and optimal experience among group members and for the group as a whole. They believe that "by making work more enjoyable, more empowering, and meaningful to group members; shared leadership increases the creativity and innovative potential of the group" (2003, p. 219).

Manz and Sims (2001) also research group leadership and have created a model they call SuperLeadership The new SuperLeadership is a circular form of self-mastery aimed at "leading others to lead themselves," pointing to the importance of self-mastery and mentoring. SuperLeaders take up leadership not for their own self-aggrandizement and glory and not for command or authority. SuperLeaders lead others to lead themselves to excellence. The authors believe that true leadership does not come from outside a person. Leadership originates mainly from within a person and their personal level of self-mastery, not through appearances or titles. SuperLeaders establish values, model, encourage, reward, and in many other ways foster self-leadership in individuals,

teams, and wider organizational cultures. An expression that illustrates the above themes

is that an important measure of a leader's own success is the success of others. The

authors presented the following examples of the distinctive strategies of SuperLeaders.

> Listen more and talk less. Ask more questions and give fewer answers.
> Foster learning from mistakes not fear of consequences. Encourage
> Problem solving by others rather than solving problems for others. Share
> information rather than hoard it. Encourage creativity, not conformity.
> Encourage teamwork and collaboration, not destructive competition.
> Foster independence and interdependence, not dependence. Develop
> committed self-leaders, not compliant followers. Lead others to lead
> themselves, not to be under the control of others. Establish organizational
> structures that support self-leadership such as self-managing teams,
> "virtual teams, distance working. Establish information systems through
> the Intranet and Internet that will support self-leadership. Establish a
> holistic self-leading culture throughout the organization. (Manz & Sims,
> 2001, pp. 13-14)

Manz and Sims speak to the shifts in leadership theories by spelling out how

contemporary enterprises have shifted from industrial to knowledge based (Table 2.5).

The Industrial Enterprise	The Knowledge-Based Enterprise
Corporate Attributes	Corporate Attributes
Economics of scale	Smaller business units
Standardization of work	Customization of work
Standardization of workforce	Flexible, skill based work-force
Financial capital as scarce resource	Human capital as a scarce resource
Corporate HQ as Operational controller	Corporate HQ as advisor & core competency guardian
Hierarchical pyramid structure	Flat or networked structure
Employees seen as expense	Employees seen as investment
Internally focused top-dower governance	Both internal and external distributed governance
Individualistic Orientation	Team orientation
Information based on "need to know"	Open & distributed information system
Vertical decision making	Distributed decision making
Emphasis on stability	Emphasis on change
Emphasis on vertical leadership	Emphasis on empowered self-leadership

Table 2.5 The Shift from Industrial to Knowledge-Based Enterprise, Source: *Visions of the Future*: Flowchart Report from the Corporate Leadership Council, Washington, D.C. (2001, p. 18)

Small, custom flexible, distributed, team oriented, open, and flat and networked, the leaders from Manz and Sims' (2001) knowledge-based companies are practitioners of self-leadership and are highly adaptive. Researchers De Cremer and van Knippenberg (2002, 2005), based in the Netherlands, conducted and published several studies on cooperation behavior in groups. In their initial studies, their methods were strictly quantitative. What was different about the 2005 publication was that they added a third kind of study, mixing up their methods. They did a field survey adding variety to their research methods, including field and experimental evidence. "All three studies yielded evidence for the positive relationship between leader procedural fairness and cooperation - hypothesis 1. In addition, all three studies supported the prediction that charismatic leadership engenders cooperation - hypothesis 2. These findings add to the limited empirical findings about leader behavior and cooperation in social and organizational dilemmas…" (2005, p. 864). As demonstrated in the quote, their vocabulary and hence mental models include the terms "leader" as well as "followers," which reflect a slightly dated conceptualization of leadership with a focus on the leader as a person and not leadership as process.

In their research Dutch researchers De Cremer and van Knippenberg (2002, 2005) were trying to assess how individual leaders were able to promote cooperation. They set out to measure the two factors they considered most crucial to leaders' effectiveness in engendering cooperation: procedural fairness and perceived charisma (Bass & Avolio, 1994). Results from their laboratory study confirmed that charisma and procedural fairness have a positive effect upon cooperation. Meanwhile, in their second article, published in 2005, De Cremer and van Knippenberg examined the psychological

processes underlying the effects of leaders' self-sacrifice on follower cooperation, that is, trust and collective identification. Their design was to test the effects of leader self-sacrifice against people's willingness to cooperate.

Another cohort that studied collaboration in smaller groups, or the phenomenon they call "cooperation", are the researchers Kickul and Neuman (2000). In particular, they studied emergent leadership and cooperation in groups. Using quantitative methods, in 2000, Kickul and Neuman looked at emergent leadership behaviors and their relationships to teamwork processes and outcomes. They examined both personality and cognitive ability in regards to a number of behavioral variables. These variables included leadership emergence, team performance and what they called "KSAs" (knowledge, skills and ability). Kickul and Neuman found that "extroversion, openness to experience and cognitive ability were predictive of emergent leadership behaviors. Conscientiousness and cognitive ability were associated with team performance" (2000, p. 27). The study focused on leader behavior and traits needed to create a productive leadership environment.

Sawyer's book, *Group Genius,* also explores leader behaviors and traits. He studies group collaboration, creativity and innovation. His book is full of stories about great inventions and groups that were inspired collaboratively. His particular focus of research is theatrical improvisation groups that work both spontaneously and collaboratively with no pre-scripted material. He uses "interaction analysis" to break down their interactions and behavioral exchanges to give unique insight into collaboration and group flow. From this work he has identified group flow as having the following ten conditions: (1) Flow is the group's goal, (2) close listening, (3) complete

concentration, (4) being in control, (5) blending egos, (6) equal participation, (7) familiarity, (8) constant communication, (9) continue moving it forward, and (10) potential for failure exists (2007, pp. 44-54). In these themes, there are both echoes of old theories and the identification of new themes. Sawyer's work brings the concept of group flow or mutuality again to a collective level. Sawyer suggests that this process, like the flow state in individuals, is not sustained but episodic and situational.

Several of the reoccurring themes within group leadership include leadership as on-going learning, dialogue skills (balancing advocacy, inquiry and reflection) in communication, facilitative approaches to leadership, and the importance of self-mastery, empathic capacity or self-leadership. Self-leadership (Houghton et al., 2003) brings forth the idea that great leaders make more great leaders. Self-leadership according to Houghton et al. is an extensive set of strategies focused on the behaviors/ thoughts, and feelings that we use to exert influence over ourselves. Self-leadership is what people do to lead themselves.

Inter-Agency and Multi-Party Collaborations

The third level of shared leadership includes partnerships like inter-agency collaborations between three or more agencies. The findings come from a meta-analysis on collaboration literature (Mattessich, Murray-Close & Monsey, 2001) a study done on inter-agency collaboration (Huxhan & Vangen, 2000).

Two words appear repeatedly within this body of researchers, these words are collaboration and cooperation. Two enigmatic words, much like the word leadership, they receive a high degree of exposure and use; yet, have a wide range of definitions. In looking at the many common uses of these words, one notices that a low degree of clarity

and consensus exists as to the actual meaning of these words. In an effort to bring some

clarity to these not so clear terms, the following definitions were selected from the meta

analysis of research literature on collaboration that was conducted by the Wilder

Foundation (2001).

> *Collaboration* is a mutually beneficial and well-defined relationship entered
> into by two or more organizations to achieve common goals. The
> relationship includes a commitment to mutual goals; a jointly developed
> structure and shared responsibility; mutual authority and accountability for
> success; and the sharing of resources and rewards.
>
> *Cooperation* is characterized by informal relationships that exist without any
> commonly defined mission, structure, or planning effort. Information is
> shared as needed, and authority is retained by each organization so there is
> virtually no risk. Resources are separate as are rewards.
>
> *Coordination* is characterized by relationships that are more formal and an
> understanding of compatible missions. Some planning and division roles
> and required, and communication channels are established. Authority rests
> with the individual organizations, but there is some increased risk to all
> participants. Resources are available to participants and rewards are
> mutually acknowledged. (Mattessich et al., 2001, pp. 59-60)

Mattessich et al.'s (2001) publication is a review of research literature focused

upon the factors that influence successful collaboration. Their study examines 414 studies

related to collaboration. This number was narrowed down to 40 valid and relevant

studies, which they mined for key factors that the studies found, influenced successful

collaboration. Their findings provide a great synopsis of what makes multi-party

collaborations successful. They found that the key factors distinguishing collaboration,

from cooperation and coordination include: (1) commitment to and creation of vision and

relationships; (2) the nature of structure, responsibilities and communication; (3) where

authority, power, risk and accountability reside; and lastly, (4) who provides and receives

the resources and rewards (Blank, Kegan, Melaville & Ray, as cited by Mattessich, et al., 2001).

The core of differences between collaboration, cooperation, and coordination seem to be in the level of formality of the relationship. Mattessich et al.'s definition of cooperation defines the relationship as informal, low to no risk, no planning or defining of mission or structure. Coordination subsequently involves a more formal relationship with some planning and role definition. Coordination provides a middle ground between collaboration and cooperation. Collaboration as used by the multi-party collaborations connotes a more formal, durable and pervasive relationship between two organizations.

Other significant findings of the Mattessich et al. (2001) meta-analysis were that collaborations could create a common sense of mission, bringing together previously separated organizations with new vitality. Formal collaborative relationships required comprehensive planning and for well-defined communication channels to be operating on many levels. Authority, in this case, is determined by the collaborative structure. The risk involved in collaborative relationships was much greater because each member of the collaboration contributed its own resources and reputation. Resources were pooled or jointly secured, and the products were shared.

According to Mattessich et al. (2001) the following six categories, or twenty factors, were found to be the most significant factors influencing successful multi-party collaboration. In parenthesis are listed the number of studies from the forty that identified this as a factor.

1. Environment
   a. History of collaboration of cooperation in the community (11)
   b. Collaborative group seen as a legitimate leader in the community (3)
   c. Favorable political and social climate (6)

2. Membership characteristics
   a. Mutual respect, understanding and trust (27)
   b. Appropriate cross section of members (18)
   c. Members see collaboration as in their self-interest (15)
   d. Ability to compromise (6)
3. Process and structure
   a. Members share a stake in both process and outcome (9)
   b. Multiple layers of participation(17)
   c. Flexibility(9)
   d. Development of clear roles and policy guidelines(15)
   e. Adaptability (7)
   f. Appropriate pace of development (7)
4. Communication
   a. Open and frequent communication (15)
   b. Established informal relationships and communication links (10)
5. Purpose
   a. Concrete attainable goals and objectives (10)
   b. Shared vision (15)
   c. Unique process (4)
6. Resources
   a. Sufficient funds, staff, resources and time (20)
   b. Skilled leadership (13) (2001)

The researchers used a meta-analysis approach of looking across hundreds of articles for the dominant themes within the field of research.

Roberts and Bradley (1991) also study multi-party collaboration and in their study titled "Stakeholder collaboration and innovation: A case study of public policy initiation at the state level" identify themselves within the ranks of research on multi-party collaboration members by citing and building on the work of Emery and Trist (1973) . Their data comes from conducting a field study of stakeholder collaboration, which was embedded in a five-year longitudinal study of policy entrepreneurship conducted from 1983-1988. Interesting findings include their five elements of successful collaborations: (1) transmutational purpose, (2) explicit and voluntary membership, (3) organization, (4) interactive process, and (5) temporal property.

Roberts and Bradley (1991) weigh in with opinions on definitions for collaboration and cooperation. About collaboration they say: "Derived from the French verb *collaborer,* where *col* means "together," and *laborare* "to work", *collaboration* is defined as "work in combination with… especially at the literary or artistic or scientific production" (Fowler & Fowler, 1964), *Concise edition of the Oxford English dictionary,* p. 234 as cited by Roberts & Bradley, 1991, p. 212*).* Roberts and Bradley go on to say that the literary, artistic, or scientific forms of production highlight collaboration's purposeful, creative, and productive elements. In their discussion, they then introduce the word "elaboration" to demonstrate this point. Elaboration is "the process of producing or developing from crude materials… the process of producing or developing, perfecting (an invention, a theory, and a literary work), etc" (Roberts & Bradley, 1991, p. 239) and when morphed with collaboration highlights the purposeful, creative, and productive elements of collaboration which involve a process of working with raw materials to transmute them into a developed product" (p. 212). Combining of the definitions of collaboration with that of elaboration effectively emphasizes the collective and purposeful aspects of collaboration. Collaborations accentuate not only working together, but also the elaborating real tangible outcomes or products through shared leadership.

Looking across the research on multi-party collaboration for the common themes as well as the noteworthy contrasts, a good source of critique comes from the work of McCaffrey, Faerman, and Hart (1995). Although eleven years old, their article "The appeal and difficulties of participative systems", asked and shed light on an important and still unresolved question. Amidst all of the compelling reasons to embrace them, why

have participatory systems spread only modestly? The article's primary question was:

why is there such a discrepancy between the endorsements and adoption of participatory

methods, despite the strong arguments for them and their intuitive appeal. They found

that barriers to participative systems were embedded in social, economic, and political

principles deeply valued in their own right.

> The structures and attitudes impeding participative systems are usually valued
> more highly than the prospective gains from the systems, and that, in the future,
> true participative systems will have difficulty sustaining themselves in an
> organizational landscape that continues to favor systems of centralized control.
> (McCaffrey et al., 1995, p. 603)

Noteworthy findings from McCaffrey et al.'s (1995) study included the conditions

that favor or inhibit collaboration and cooperation, which are shown in Table 2.6. In

addition, four primary themes emerged as common themes across the work (1) prior

dispositions toward cooperation; (2) social and political organization; (3) the nature of

purposes; (4) issues and values, and leadership capacity and style. Table 2.6 highlights

and compares each of the four conditions.

Condition	Favoring Collaboration	Inhibiting Collaboration
Prior dispositions toward cooperation	-Trust in reciprocity -Collaboration accepted as standard behavior -Setbacks considered temporary or aberrational	-General concern about concessions' implications -Difficulty mobilizing support for collaboration -Initial success undermined easily because of established suspicions
Social and political organization	-Balance of power provides security to individuals -Small number of similar parties involved -Personal ties facilitate agreement	-Stronger parties reject collaboration, weaker parties suspicious of it; or, balance leads to stalemate -Many diverse parties involved -Interaction mainly in adversarial roles
The nature of purposes, issues and values	-Incentives favor, or do not undermine, collaboration -Crisis perceived as joint, common threat	-Incentives clash with collaboration - Crisis induces threat-rigidity responses -Core values perceived as threatened

	-Core values favor, or do not undermine, collaboration	by prospective collaboration
Leadership capacity and style	-Leaders invest heavily in collaboration efforts -Selection and reward of leaders favor those adept in establishing collaborative systems	-Leaders subordinate collaboration to strategy of control - Selection and reward of leaders favor those adept in control and adversarial conflict

Table 2.6 Conditions Favoring and Inhibiting Collaboration. Adapted from McCaffrey et al. (1995, p. 612)

Common themes identified by McCaffrey et al.(1995) as being shared between the literature on collaboration and cooperation included: that interdependent parties benefited by pooling their information and perspectives on problems; realizing efficient compromises; and avoiding the costs of conflict. Systems in which parties cooperate/collaborate tended to operate more efficiently – that is, generate higher collective benefits at lower costs—than systems of centralized control. Their findings highlight three concepts shared within all of the research about collaborative research. First, that cooperation and collaboration are seen as rational strategy for the individual and a means to a more cohesive and well functioning social order. Cooperation and collaboration are a rational strategy because they provide the best chance of attaining personally valued goals while avoiding objectionably high costs. Repeated cooperation or collaboration leads to respect and trust among parties, easing subsequent collaboration. Successful initial collaboration can lead to a "virtuous circle" of escalating trust and further collaboration.

Second, McCaffrey et al.'s (1995) research finds that success or failure of collective action is often a function of one of the following. (1) The parties initial disposition toward cooperation or collaboration. (2) The cost of organizing and

maintaining cooperation or collaboration in light of the balance of power among parties, and the number and diversity of the parties involved. (3) How other incentives and purposes favor or impede cooperation or collaboration, and the nature of the issues under consideration; how leaders behave and are rewarded.

Third, McCaffrey et al.'s (1995) find that organizational and policy interventions can facilitate the diffusion of cooperation or collaboration. These findings show that there as a base line consensus about collaboration between the researchers from the different perspectives. It is remarkable how these four distinct perspectives emerge so visibly from the initial articles and books that related to the emerging concept of collaborative leadership. The four perspectives who have been actively researching collaborative leadership have all operated in isolation, independent from one another. Although not communicating, their work did share conceptual commonalities. They were thinking along similar lines during the same period. It was ironic that the four perspectives operated as independently as they did. Especially considering that in theory, they represented researchers who understood and knew about the benefits of collaboration and cooperation. Nevertheless, as McCaffrey et al. noted in their paper, "Although the study of cooperation, collaboration and participative systems are closely related in logical and empirical ways, there are virtually no ties across respective literatures" (1995, p. 622). Examples of these silos included several comprehensive study type articles published within the qualitative perspective by Mattessich et al. (2001). This review covers a span of over 500 articles, books, and published studies. Of the over 500 published works reviewed there was no reference to any of the work associated with the literature on cooperation (De Cremer & van Knippenberg, 2002, 2005). In addition,

on the other side of the mountain, those in this perspective focused on cooperation did not draw from or reference collaboration in their writing (Trist, 1983). This kind of segregated study could produce silos of understanding and inhibit the ability to fully conceptualize the complex dynamics and qualities of collaborative leadership. It seems vital that collective knowledge is generated through future collaborations between the different perspectives studying collaboration and cooperation to better understanding participative and collaborative leadership.

Interestingly, the multi-party collaboration researchers tended to be simultaneous practitioners and scholars. This group included human and healthcare service professions with servant leaders like nurses, health care providers, social workers, OD consultants who used action research to create collaborative partnerships for positive social change. The strategic alliance or collaborative alliance model they employed was one where a for-profit organization and a non-profit organization, which have complimentary goals, created a collaborative relationship. This was a two-way symbiotic collaboration, with "win-win" results. One of the premises to true collaboration was that there existed a true interdependence among those engaged in the collaboration. Gray and Wood (1991) call this the resource dependency theory and lumps it in with strategic management/social ecology theory, and institutional/negotiated order theory   Gray and Wood are researchers from the qualitative frames who have done work that might most lend itself to being blended or mixed with quantitative study. Their works have tended to demonstrate a certain level of precision more like the positivistic methodology. In the late 1980's Gray and Wood's work was cited by critics for falling short in its ability to explain collaboration's shadowed side such as: conflict, power, politics, bad leadership, abuse of

power, and crisis. Perhaps in an effort to bridge the credibility gap between the

qualitative and quantitative approached to studying collaboration, in March and June of

1991, Gray and Wood edited two special issues of the *Journal of Applied Behavioral*

Science dedicated exclusively to building theory and exploring research findings within

the study of collaborative alliances. The articles came from a group of behavioral

scientists who saw collaboration from an OD framework, a developmental perspective.

In their first article, Part I, "Collaborative alliances: Moving from practice to theory,"

Gray and Wood review the theoretical underpinnings and summarize the theoretical

contributions of case research to date. Then they propose "six theoretical perspectives

that may be used to examine and explain collaborative behavior: (1) resource

dependence, (2) corporate social performance/institutional economics theory; (3)

strategic managerial/social ecology theory; (4) microeconomic theory; (5)

institutional/negotiated order theory; and (6) political theory (p. 3).

McCaffrey et al. identify a need for comparative study. They state, "more

connections among scholars studying cooperation, collaboration and participation in their

various settings would enhance collective knowledge of participative systems" (1995, p.

622). Another example they cite is that the research on participative techniques in

various context proceed largely independently and that much of the applied work about

participatory techniques is not grounded in the theoretical work on cooperation and/or

collaboration. Integrating the research and practice on cooperation, collaboration, and

participative practices would provide an opportunity to compare the related theoretical

perspectives, giving scholars a greater number and variety of cases to draw from in

further developing practices and theories around collaborative and participative

leadership. McCaffrey et al. also identify the need for further comparative study across

domains by concluding their article by saying that the advantages of integrating different

scholarly approaches to the subject are "unusually compelling". First, they urge

internationally comparative study, aimed at expanding the themes already raised in the

western research. Secondly, McCaffrey et al. suggested continued theoretically

comparative study, making more connections among the scholars and thus enhancing

collective knowledge on the topic. They were particularly insightful in identifying that

although there is wide appeal and benefit to collaboratively involving parties affected by

decisions in the decision making process, "the difficulties of establishing such systems in

different contexts are pervasive and consistent. Processes favoring or inhibiting

collaboration underlay the many efforts to establish such systems" (1995, p. 622). This

same discrepancy between theories is documented by Fletcher (1999) in her book,

Disappearing Acts. The schism is between the scholarly findings about the benefits of

collaboration and the reality that collaboration is undervalued within the reward

structures of everyday organizational life.

Shared Leadership in Larger Groups

At the bigger end of shared leadership, the fourth level involves larger groups.

The size of these might range from several dozen to several hundred. Is there a

participative methodology for shared leadership and large group collaboration on a larger

scale, say organization-wide or community-wide, profession-wide, regional interest

groups, cross cultural and international bodies? Yes, there has been a recent emergence

of larger scale participatory methods like: Open Space Technology, charrettes, and Future

Search, examples of sizable collaborative techniques aimed at shared leadership process

between many participants. These techniques use participative methods wedded to socio-technical principals, which sounds technical and complex, but is rather simple and elegant in its simplicity.

The three Future Search principles demonstrate the fulfillment of this "less is more" credo. (1) Get the "whole system in the room, experience the whole before acting on any part of it. (2) Focus on the future and common ground, not problems and conflicts. (3) Self-manage learning and action planning" (Weisbord & Janoff, 2000). One of the facilitation workshops that Weisbord and Janoff (2000) teach is called "Don't just say something, stand there!" giving humorous insight into their approach. Their methods rely on the collective wisdom of the group assembled. Weisbord (2007) recently mused about his initial intentions.

> I found myself in the 1980's tugged inexorably toward a scary conclusion. If we truly wanted to realize our values for workplaces in which productivity rested on a bedrock of dignity, meaning and community, we ought to figure out how to get everybody improving whole systems……people with authority, information, resources, expertise, and need. When we convene such diverse groups, we effectively redefine a system's boundaries. That is a giant step beyond diagramming "environmental demands" on a flipchart. People who are each other's environment share what they know. Everybody comes to understand the whole in a way that no person did before. Though this is a structural intervention, paradoxically, many people voluntarily change their behavior. That, I believe, is the key to the success in the last decade or so of "large group interventions." These structures provide opportunities foe people to act in new ways. They tilt the power balance. They enable fluid coalitions in real time. Most require no training. They turn "systems thinking" into an experiential rather than conceptual activity. (Weisbord, 2007, p. 16)

Future Search is typically a three day processes, Open Space meetings can also be multi-day or is adaptable to shorter periods. These processes hold a delicate balance between providing structure and encouraging organic growth and participation. Open

Space Technology is another example of elegant and simple methods. It holds four basic ground rules. These are the only posted rules. There are "four principles" and one "law" that serve as guides to the participants. The principles are: (1) whoever comes are the right people; (2) whatever happens is the only thing that could have; (3) whenever it starts is the right time; (4) when it is over, it is over.

The name given to the one law used to help frame the spirit of Open Space events is the "law of two feet" or also know as "butterflies and bumble bees" Briefly stated, this law reminds the participants that every individual has two feet, and they must be prepared to use them. Responsibility for a successful outcome in any Open Space event resides with exactly one person -- each participant. This is an important consideration in collaborative practices. The message is that individuals can make a difference and…. if that is not true in a given situation they alone must take responsibility to use their two feet, and move to a new place where they can make a difference. If an individual is in a discussion, and is neither learning nor contributing, then he or she is to get up, and move to another group. That would seem like a disrespectful thing to do in most cultures – but in Open Space, it would be disrespectful to stay when you are feeling uncomfortable, or disengaged. The philosophy is that in Open Space, the individual's best energy and best work is needed. So if one stayed and was neither learning nor contributing, it would be disrespectful to the group and the work they were there to do. The underlying philosophy is "Take good care of yourself and you will be taking good care of the group and the work we are here to do" (Heft, 2005). The themes of inclusion, self-awareness and self-mastery once again echo through the schema of shared process.

Inclusion is a central tenant within shared and collaborative processes. For example, the phrase "seek maximum stakeholder involvement" (Bryson & Crosby, 1992; Straus 2002) is a reoccurring idiom in the literature. Success after the bursting of the internet bubble, or what is called the emergence of Web 2.0, provides a clear example of the potential of maximum stakeholder involvement. The companies that survived the first internet depression were the web 2.0 companies and organizations had set themselves apart by promoting maximum stakeholder participation. Getting stakeholders involved is the determining factor in the equation for success. Bryson and Crosby (1992), in their book, Leadership for the common good: Tackling public problems in a shared power world, outlines the six questions that would be needed to answer a complete stakeholder analysis. Bryson and Crosby present an approach to public leadership and strategies for problem solving with inclusive methods. They have a large compilation of tools and techniques for planning and implementing change. The six questions include: (1) Who are the stakeholders? (2) What are the goals, expectations, or criteria each stakeholder uses to judge what the stakeholder should want in a problem area and how the stakeholder should evaluate any solution? (3) How well does the status quo meet each stakeholder's goals, expectations, or criteria? In order to answer this question, some preliminary research into the nature and impact of the status quo may be necessary. (4) How important is each stakeholder to the success of the policy change effort? (5) How can each stakeholder influence the policy change effort? (6) What is needed from each stakeholder to initiate and complete a successful policy change effort (1992)?   The six questions help underscore the potential of involving stakeholders in a web of support.

Continuing with the web analogy, Helgesen (1995) is another scholar whose ideas

involve interconnected and shared leadership. She has created a model she calls the "web

of inclusion". Four aspects make up the web: (1) transparency, (2) relational, (3)

communication, and (4) access. Helgesen brings these four aspects to life in her poignant

example in the leadership of Dan Wolf, past editor at the Village Voice. How he "shaped

the organization by listening and asking the right questions…deriving power and

authority from being accessible" (Helgesen, 1995, p. 6). She uses terms like "structured

permissiveness", "interactive charisma", and "managed chaos" to describe the

organizational climate. Saying "the women I studied had built profoundly integrated and

organic organizations, in which the focus was on fostering good relationships", she

describes them as "leading among equals". Helgesen's webs of inclusion are one with a

low power-distance between members. The webs highlight a different way of doing

things.

> More than a pattern, the web of inclusion can be defined as a process, a method, a
> way of thinking about tasks and accomplishing them in time: (1) webs operate by
> means of open communication across levels. (2) Webs blur distinctions between
> conception and execution. (3) Webs create lasting networks that redistribute
> power in the organization. (4) Webs serve as a vehicle for constant
> reorganization. (5) Webs embrace the world outside the organization. (6) Webs
> evolve through a process of trial and error. (Helgesen, 1995, p. 24)

Helgesen points to webs as an organic homegrown vehicle that can be used in

carving paths that will enable an organization to adapt to radically different, and

continuously evolving circumstances. Webs are adaptive, highly flexible because they

evolve through trail and error and thus

> rely upon improvisation, which is open-ended and takes place at the front
> lines. An emphasis upon improvisation can help organizations to
> overcome the challenge of accommodating individual expression while
> also building strong allegiance among the group. Only by balancing these

two often-conflicting values can both creativity and cohesion flourish. However, achieving balance can be especially challenging for American organizations, since there exists a strain in American life and thought that exalts individual effort at the expense of group values. (Helgesen, 1995, p. 37)

Helgesen points to American culture as a possible obstacle and our exaltation of individual effort at the expense of the group. Deep-seated individualism and the lack of "webs" in most organizations could help explain the disappearing of shared leadership.

Lastly, in the exploration of the literature related to larger forms of shared leadership there are four recent publications that take a new look at collaboration on a broader scale. These include two books about cultures of collaboration. One is a collection of articles from the International Facilitator's Association called Creating cultures of collaboration (Schuman, 2006). The other, is a book called, *The culture of collaboration maximizing time, talent, and tools to create value in a global economy* (Rosen, 2007). A third book focuses on public process with larger groups working together with public planning, policy and civic dialogue and is called How people harness their collective wisdom and power to construct the future in co-laboratories of democracy (Christakis, 2006). Christakis writes about large-scale public forms of dialogue. The book is a manual of methods for working with groups in the process of dialogue.

Some of the questions for further research about collaborative leadership include: (1) How do groups sustain themselves through the high degree of ambiguity and complexity involved in collaborative leadership? (2) In the new paradigms of power sharing and participatory processes, there are many voices singing the praises of collaboration and cooperation, yet there are only a few talking about the practical skills

and how to work through the challenges of learning to practice collaborative leadership. We must ask, what are the best practices of collaborative leaders? Also, what are the best methods for imparting the many nuances of collaborative leadership? (3) In leadership there is an unspoken process of engagement and of relationship whereby collaboration is not only assumed to be so intrinsically fundamental to the process that it is overlooked, unidentified, invisible, and/or "disappeared" from everyday interactions (Fletcher, 1999). There are parallels between the lack of diffusion of participatory processes that McCaffrey et al. identify and Fletcher's concepts of disappearing acts. More research could be done in understanding and changing the phenomenon of disappearing the collaborative and relational aspects of leadership.

Another area for possible future study of applied collaborative leadership could be in researching and better understanding the processes of real time collaborative leadership among collaborative research teams publishing interdisciplinary articles together. It has become more common for research to be done in a team, diverse research teams that represent broad areas of expertise and methodology. In looking to understand collaborative leadership, research teams provide a double opportunity: (1) The simple study of collaborative leadership and (2) the applied study of the experience of researching collaboratively and collaboratively building a multi-disciplined perspective about collaboration (a study within the study). This process need not be a quest to find one all encompassing comprehensive theory about collaboration. The process provides a chance to learn from the contrasts and similarities in the respective methods and concepts.

Virtual Collaboration

This section completes the literature review, moving now to the largest scale of collaboration. This section provides samples of shared and ally based forms of leadership that are emerging in contemporary venues. This past year, *Time* magazine named its famed "Man/Person of the Year" as "You". This "You" was a collective you, a collaborative you that has emerged as part of the "user generated" army that have made the difference for successful web 2.0 internet companies like Amazon, eBay, YouTube, MySpace, Facebook, and Google. The Internet has created a platform for varying degrees of collaboration like no other in history. Different from all the forms of collaboration covered thus far in the review, this collaboration is virtual, electronic, and digital. The Internet offers a decentralized way to bring people together. It offers a medium where people can accomplish complicated tasks and processes in an asynchronous and practical fashion. The Internet's fingers wrap the globe taking planetary communication and collaboration to a new and unprecedented level. In the information age, this is an information highway where much greater access to information is now possible. The World Wide Web levels out certain barriers and provides incredible opportunity through access alone. The world has become more informed, connected and "flatter" (Friedman, 2007).

What has emerged thus far? Information, innovation, expertise, and services can now be sourced across the globe or to and from the house next door. The effects upon and demonstrations of human collaboration are impressive. Now that fiber optics and protocols have connected us, the sharing of information and ideas is exponential. Included in the many new ways that people are collaborating and sharing information

through the internet are wikis, open source soft-ware like Apache, global health

collaboratives and global warming environmental networks of scientists to name a few.

The academic tradition of intellectual commons has helped establish norms of

collaboration and information sharing.

  This past year, the 2007 Nobel Peace Prize was awarded to Al Gore and the

United Nations Intergovernmental Panel on Climate Change (IPCC). The IPCC consists

of 2,000 scientists, writers, and professors from around the world (http://www.ipcc.ch/).

Nobel Peace Award was given to a team of 2,000 scientists, collaboration amongst

researchers. When else has the Nobel been given to a large group of scientists

collaborating together with a politician?

  A recent search of "collaboration software" on the internet search engine Google

produced over 12 million links and a similar search using the word "wiki" produced over

four-hundred and twenty million results.

  Wikis are a dynamic example of on-line collaboration, where users both generate

and regulate the content. The most famous incarnation of a wiki is Wikipedia

(http://www.wikipedia.org/) a user created encyclopedia where users have collectively

written their version of things, available in five different languages. Each language group

has their own different norms. This would be an interesting study of cultural attitudes

around best practices for collaboration. Collaboration software has proliferated and

surged in availability. Online and e-collaboration is booming, examples file sharing,

peering, social networking, the open source movement and wikis. Wiki type protocols

have been used in applications like The Forum for Collaborative HIV Research

(http://www.hivforum.org/). This has helped hugely in the decentralization of

information, opinions and consequently leadership.

> The implications for the future seem clear. As more work becomes
> knowledge work, work within organizations will likely become more
> flexible and varied. This in turn will require teamwork of a new kind, one
> that is conducive to the expression of creativity and innovation.
> Decentralized forms of leadership will become more necessary and so will
> shared forms of leadership. (Hooker & Csikszentmihalyi, 2003, p. 218)

Open source, is a reference to source code that is open, and free to edit and

upgrade. This kind of collaboration has a level of accountability because in leaving an

electronic imprint, an e-trail is left behind, linking the changes to a particular individual.

Apache, which revolutionized the open software phenomena, is a prime example.

This software which is now the foundation of IBM's platform was designed

collaboratively by a self-organized group of programming geeks who did it free.

Programmers built Apache out of frustration from a lack of responsiveness to

their needs, the host group had left their source code open, and others using their software

began to tinker and work through glitches, installing "patches" of new code that would

replace the bad code. A member of the group of web masters who had been volunteering

their efforts saw the possibility of forming a first generation wiki. Initially this was more

of a combination list serve, blog, and intellectual commons. In a short time, the group

built its own search engine and made it available to download for free. Now it is

estimated that millions of users depend on open source software products daily (Visscher,

2007).

Apache is an example of a how many collaborations are born when individuals

self-organize and dedicate their leadership talents toward addressing a real need. Self-

organized small groups with leaders dedicated to social justice issues are a wide spread

phenomena. Hawken (2007), a researcher who studies the phenomena of self-organized and self-started grass roots social justice and environmental groups found that there are currently 1-2 million organizations around the globe that are working toward ecological sustainability and social justice.

> By any conventional definition, this vast collection of committed individuals does not constitute a movement. Movements have leaders and ideologies. People join movements, study their tracts and identify themselves with a group. They read the biography of the founder(s) or listen to them perorate on tape or in person. Movements, in short, have followers. This movement, however, does not fit the standard model. It is dispersed, inchoate and fiercely independent. It has no manifesto or doctrine, no overriding authority to check with. It is taking shape in schoolrooms, farms, jungles, villages, companies, deserts, fisheries, slums – and yes, even fancy hotel conference centers. One of its distinctive features is that it is tentatively blooming as a global humanitarian movement arising from the bottom up. (Hawken, 2007, p. 41)

These groups are non-governmental organizations, created by millions of local leaders and sustained by millions and millions of embedded, distributed and concurrent leaders.

The trend of leadership becoming more shared or concurrent is captured is Weisbord's (2007) pictorial, of the "learning curve", Figure 2.2, where he looks at the history of organizational and systems change. In

Figure 2.2 The learning curve, showing the shift in who is solving problems and improving whole systems (Weisbord, 2007, p. 19)

1900, the experts solved the problems. In 1950, everybody solved problems. In 1965,

experts improved whole systems. And in 2001+, everybody improves whole systems.

This final phase signals a shift to participatory systems of learning and decision-making.

Civic leadership programs in this country have grown from their inception in 1959 to

what is now more than 700 community programs operating in nearly all regions of the

United States, with over 80 such programs in California alone (Azzam & Riggio, 2003).

Leadership development has become a focal point because of real needs and because of a

growing recognition that developing and distributing leadership skills are now important

ingredients to organizational success. The wave or trend of self-organized leadership

development programs are examples of responses to a collective sense that leadership

skills are needed. Community-based programs provide examples of self-organized

responses, showing a more open or shared perception of leadership. The leadership role

has become more accessible, not only for a privileged few. More in the grasp of the

common person, leadership is finding legs that are more egalitarian (Heenan & Bennis,

1999). With a democratization of leadership comes the need to better understand

effective means for sharing leadership and practicing collaboration. A small body of

literature is emerging that is dedicated to documenting the democratization of leadership.

Note the overtones in the book titles in this literature review: "*The new SuperLeadership*"

(Manz & Sims, 2001), "*team leadership"* (Barna, 2001)*, "Co-leaders" (*Heenan &

Bennis, 1999) *" leaderful organizations"* (Raelin, 2003) *, "distributed leadership"*

(Spillane, 2006)*, "radical collaboration"* (Tamm & Luyet, 2004), and *"power*

up…transforming organizations through shared leadership" (Bryson & Crosby, 1992)*.*

The terminology and word inventions capture the vitality and flavor of contemporary

scholars. Their explorations focus on developing an understanding of the new and emerging ways of leading with and among others. What remains underdeveloped in the literature are the specific behaviors and capacities needed in learning and developing these collaborative skills.

Learning and development of collaboration

Developmental design is underdeveloped in the literature about collaborative and shared leadership. For an area of accelerated and concerted scholarship, models of shared and collaborative leadership seem to be missing in books dedicated to helping groups learn and master these essential leadership skills. In an effort to explore the developmental side, the focus will now turn to four books that are explicitly oriented to developing collaboration. Developmental in nature, these books include: (1) Joyce (2007) *Teaching an anthill to fetch : developing collaborative intelligence at work*; (2) Straus (2002) *How to make collaboration work : powerful ways to build consensus, solve problems, and make decisions*; (3)Tamm and Luyet (2004) *Radical collaboration: Five essential skills to overcome defensiveness and build successful relationships*; and (4) Pedersen et al., (2008) *Inclusive cultural empathy (ICE):Making Relationship Central in Counseling and Psychotherapy.*

Teaching an anthill to fetch was an especially useful book where Joyce (2007) not only makes a case for the concept of "collaborative intelligence" but he lays out seven development activities called "CQ Tools." Joyce reminds us that it was Isaacs, in his 1999 book *Dialogue and the art of thinking together*, who first coined the term "collaborative intelligence". Joyce shortens it to "CQ" and provides developmental recommendations as well as activities for development. His themes of perspective taking

and empathy building are critical insights in building collaborative capacity. Joyce
dedicates time to exploring intrapersonal communication and self-talk. Joyce names the
following eight elements as making up the development of CQ. (1) assumptions, (2)
perception, (3) self-mastery (4) communication, (5) connection, (6) creativity and
flexibility, (7) meaningful participation, and (8) "high CQ" teams. Collaborative
Intelligence is "the capacity to harness the intelligence in networks of relationships"
(2007, p. 1). Joyce also points heavily and repeatedly to resilience as a key trait for those
who want to succeed in collaborative systems.

Straus (2002) is another who offers developmental recommendation and has
created a curriculum called "facilitative leadership". His book, *How to make
collaboration work powerful ways to build consensus, solve problems, and make
decisions* is written as a resource for multi-party collaboration. In itself, the book is more
a "how to" manual. Combined with the facilitative leadership curriculum one would
have a rich developmental tool. According to Straus, collaboration comes through six
elements: (1) involving relevant stakeholder, (2) building consensus phase by phase, (3)
designing a process map, (4) designating a process facilitator, (5) harnessing the power of
group memory, and (6) using facilitative leadership methods (Straus, 2002). His model is
based on the facilitative leader, a leader who is able to balance the task, process and
relationship elements of leadership. Also important are phase by phase inclusion with an
explicit and shared map of the process. These explicit process maps help explain the
many flipcharts, colored markers and rolls of "newsprint" paper utilized by larger
collaborative planning processes like Future Search and other facilitated approaches.

The third work, *Radical collaboration,* identifies five essential skills for those wanting to collaborate well. Tamm and Luyet (2004) identify the five essential skills as: (1) collaborative intention, (2) truthfulness, (3) self-accountability, (4) self-awareness and awareness of others, and (5) problem solving and negotiating The book dedicates much of its attention to case studies and workbook type skill-building activities. The authors include a list and explanation of their "ten strategies for building collaboration". The ten are (1) go first, (2) be open and direct about your intent to collaborate, (3) pay attention to responses, (4) keep talking, (5) forgive quickly (respond positively when others cooperate), (6) agree ahead of time on systems for conflict resolution,(7) Conduct regular reviews and actively monitor relationships, (8) use graduated sanctions, (9) make a commitment to a higher ethical standard, and (10) use interest-based problem solving to negotiate disputes. Authors are judges and the book has a strong focus on dispute resolution.

Multiculturalism and Inclusive Cultural Empathy

In continuing to explore means of learning and developing skills, I would like to turn to the work of Pedersen et al. (2008) who write about a relationship-centered approach . Pedersen, who has written extensively on multiculturalism, preventing prejudice and counseling across cultural difference, brings the models of *Inclusive cultural empathy (ICE)* and an experiential methodology to learning. His TRI-method and curriculum are rich and robust resources from which to model and develop methods for collaborative intelligence.

Inclusive cultural empathy (ICE) is a skill that one could use to learn about the less visible parts of shared leadership from other models. The ICE model comes from the

field of counseling and creating connection with clients. Its focus is on accurately understanding and appropriately responding, by developing of awareness, knowledge, and skill. It is especially effective in its focus on experiential activities for developing capabilities such as empathy based skills. The development of awareness, knowledge and skills is an important progression through which one must go to learn how to share power and lead collaboratively.

Pedersen et al.'s work with synthetic cultures and what he calls the Triad Training Model are tools for developing greater levels of ICE in counselors. The exercise is a form of perspective taking where three people role-play three different possible frames that a person could be coming from. The three contrast each other; one is the optimist one the pessimist and one more the real person. "One way counselors can learn the skill of hearing inner dialogue is by using or adapting the Triad Training Model (Pedersen et al., 2008). This training paradigm involves a role-play in which the client's role is conceptualized as, and played by, three people: the client, a 'pro-counselor' and an 'anti-counselor.' The pro- and anti-counselors' job is to make clear—literally, to voice—the positive and negative thoughts and feelings of the client during the counseling experience"   By exploring the responses of the three sides of the same person, it is easier to anticipate what the range of possible thoughts might be. This work gives insight into a less visible side of shared and collaborative leader's thinking and helps one build awareness, self-knowledge, and empathetic skill.

According to Pedersen et al. (2008), ICE "the learned ability of counselors to accurately understand and respond appropriately to the client's comprehensive cultural context, both in its similarities and differences. Inclusive Cultural Empathy goes beyond

accommodating cultural differences to achieve an empathic relationship toward a complex and dynamic balance of similarities and differences among the client's many different culture teachers that assume every counseling context is multicultural, if culture is broadly defined" (2008, pp. 5-6). The ICE model and some of the activities designed for developing ICE helped inform the design for the action learning elements that were used the research process.

Multiculturalism offers insight into shared leadership. Cultures operate differently when it comes to individualism and collectivism. For example, Bordas , in her recent book*, Soul, and Spirit: Leadership for a Multicultural Age,* made the following observations about her study of leadership and multiculturalism here in the US.

> What I began to find out was that these streams of dominance have forged a common form of leadership that run across our community. I began to see one of the main connections is that all three cultures center on collective identity and where the collective comes before the individual. This completely turns around the Western, Eurocentric type of leadership. Nevertheless, it also now connects with where Western leadership is going—into a team, collaborative, and participatory form. So even the mainstream culture is learning that dominance and hierarchy does not work in the type of environments we are facing today. Therefore, there is this real convergence... if you are going to have this kind of leadership where everybody is equal and people are focused on activism and public values, then you have to grow a community of leaders and you have to serve your community. In addition, there are five ways that is done: encouraging participation and building consensus, creating a community of leaders, making sure people have a shared vision, using culturally effective communication, and weaving partnerships and connections. (2007, pp. 6-7)

Bordas identifies three principles that form a social covenant (1) "Sankofa, learn from the past", from West Africa. (2) "I to We" –the whole idea of moving from individualism to collectivism. (3)The third one is "mi casa su casa, developing a spirit of generosity which is really asking people to look at the fact that this ongoing materialism

that we have in our society is not good for them as well as does not build the kind of society that we need to move forward" (2007, pp. 7-8). These concepts open and expand the possibilities for imparting and developing shared leadership and collaboration. Multiculturalism helps in offering many examples and forms that will then help in conveying and sustaining shared and collaborative leadership.

As Pearce and Conger point out, "Cultural values shape perceptions, cognitions, and preferences in teams" (2003, p. 295) so it seem that different cultures could give us different viewpoints on how collaboration can happen. It seems that power distance will be a key variable. Power distance is the degree to which those in a culture accept and expect that power in society be distributed unequally. Higher power distance cultures have more of an autocratic model where leadership comes from centralized authority and inequalities are accepted. Lower power distance cultures tend to be less autocratic, where leadership is less centralized and inequalities are minimized (p. 295).

Synthesis and summary

There are some critiques of the shared and collaborative leadership theories. One critique is that shared leadership theories are simply replacing the top-down model with a bottom-up model. Therefore, why not use an integrated model combining these two? These points are raised by are Locke , who feels that the old paradigm will be very hard to change. Describing obstacles researchers may want to watch out for, Locke points to the limits and liabilities of shared leadership as coming from five deficit areas: (1) a lack of knowledge, skills, and abilities necessary for practicing shared leadership; (2) a lack of goal alignment between members of the team; (3) a lack of goal alignment between the team and the organization; (4) a lack of time to develop shared leadership; (5) a lack of

receptivity to shared leadership. Not everyone is ready to let go of the old and try the new (2003, p. 299). Understanding the difficulties with and obstacles to transitioning to more collaborative practice are an important part of breaking through these barriers.

Included in these barriers are the three paradoxes identified by Fletcher and Kaufer. The paradoxes in the process of changing to models of shared leadership were: (1) hierarchical leaders are charged with creating less hierarchical organizations, (2) shared leadership practices "get disappeared", and (3) the skills it takes to get the job are different from the skills it takes to do the job, or the "that's not how I got here paradox" (2003, pp. 24-26). These are conditions of time, because the field of shared leadership is a young field and emerging field and the study of shared leadership is in its infancy.

One sign of this newness can be noted in the different definitions used by scholars, as well as the multiple theories that have emerged thus far with little coordination or convergence. As the varied parts of the literature review reflect, the studies are divergent, thus far. In addition, the work has been mostly theoretical, with few empirical studies as of yet. An uncertainty among critics exists, who suggest an integrated approach of vertical leadership in tandem with shared methods (Locke, 2003).

What are the critiques of developing and implementing shared leadership? From the earlier discussion of vertical versus shared leadership, there is the issue of how an individual, a working group, or an organization can initiate shared leadership. Houghton, et al. suggest that the vertical leader's actions are critical to the implementation process. Specifically they identify the following: (a) selecting the appropriate team members, (b) establishing group norms supportive of shared leadership, (c) coaching and developing team members' leadership skills, (d) empowering team members to self-lead, (e) role

modeling self-leadership behaviors, and (f) encouraging team problem solving and decision-making (2003, p. 125). It would be important to test over a variety of settings whether indeed these behaviors facilitate shared leadership (Pearce & Conger, 2003, p. 294).

Locke (2003) makes several points in his critique of shared leadership theories. He asks the question, how can it be said that in shared leadership there is "no top leader" when studies of self-managing groups and emergent leadership show that one or two members rise to play an elevated role (Seers et al., 2003)? He does not think those leaderless groups are possible as such. Some tasks can be shared and some cannot be shared. Moreover, the tasks of visioning, establishing core values and hiring top employees falls to a single perspective and comes from the top. The tasks of hiring lower positions and motivating employees can be delegated and shared. Who would "run" the company? Locke asks, arguing for a more pragmatic approach, "It is clear that we need a far better understanding of how shared leadership unfolds within group and organizational settings. At this stage, our knowledge is still fairly simplistic" (Pearce & Conger, 2003, p. 287). They go on to outline six areas involved in the process of shared leadership that are in need of further investigation. These include: (1) the roles or bases of leadership that can be shared by members of a group, (2) the demands, events, or processes that trigger the sharing of leadership among members of a group; (3) the factors that facilitate the display of shared leadership; (4) the influence approaches that are most conducive in a context of shared leadership; and (5) the life cycle or evolutionary stages that occur in settings where leadership is shared and (6) the outcomes of shared leadership. The authors acknowledge that there have been relatively few studies of shared

leadership to date, and that much is still poorly explored. Nonetheless, they point to the initial evidence suggesting that shared leadership can have a powerful effect on group behavior, attitudes, cognition, and performance. The potential for study is broad.

Pearce and Conger point to interesting topics for further research that could include: (1) the bases or roles of shared leadership, (2) influence tactics under shared leadership, (3) triggers for sharing leadership, and (4) facilitating factors in shared leadership. The final topic, facilitators of leadership, includes another set of research questions that concerns facilitators of leadership. Pearce and Conger list the most important areas for further study by facilitators of shared leadership as: (1) task competence of members; (2) task complexity; (3) shared knowledge and mental models of group members; (4) leadership prototypes; (5) power, influence, and status of individual members; (5) familiarity; (6) membership turnover; (7) group diversity; (8) member proximity; (9) group size, (10) life-cycle issues, (11) cross-cultural factors and (12) power distance (2003, pp. 290-295). Implicit in these topics is the question of how to integrate our understanding into a more blended or holistic understanding of the dynamics of shared leadership. As Pearce and Conger point out early in their book, "… our understanding of the dynamics and opportunities for shared leadership remains quite primitive. At the same time, there is a sense of urgency to understand the dynamics of this phenomenon given growing demands for shared leadership within the world of organizations" (2003, p. 2). Understanding the dynamics will take greater development of working models.

Thus far the review of literature has produced several overarching themes. These can be organized into an eventual model which includes the following four categories: (1)

empathy, perspective taking, self-mastery and ego transcendence; (2) open and skilled

communication, including the ability to dialogue; (3) resiliency, mental toughness and

emotional intelligence and (4) continuous learning. These four areas make up four pieces

of a puzzle, more of which will be visible through the presentation of the findings of the

study.
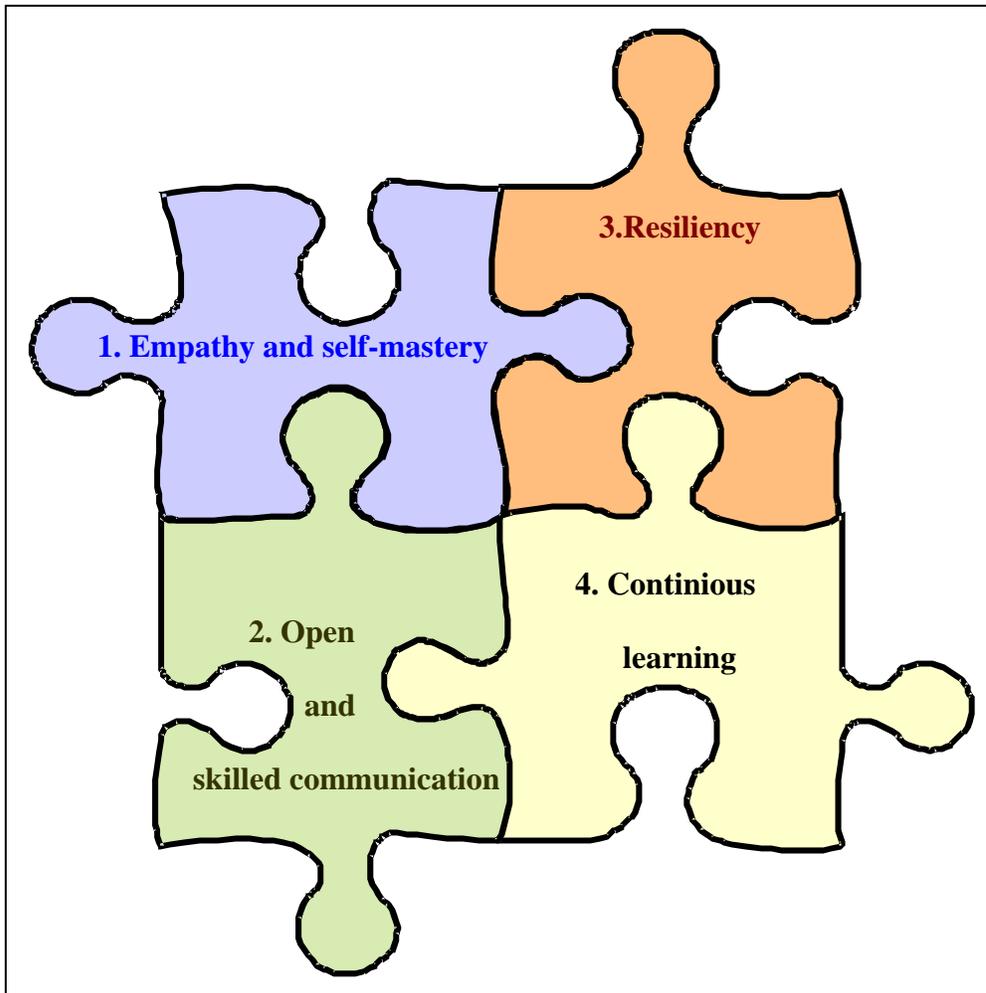
Figure 2.3 First pieces of the picture**.** possible beginnings in piecing together an
understanding of shared and collaborative leadership.

Although these four themes reoccur in the literature, a significant gap remains in

the literature. There has been very little research and scholarly writing dedicated to the

study of how organizations and individuals best develop their abilities as collaborative

leaders. As mentioned earlier, a clear understanding of the shared and collaborative dimensions of the leadership process remains underdeveloped in the literature (Pearce & Conger, 2003). Our ability to see, qualify and quantify collaboration is just beginning, the study and scholarship of shared leadership still a fragmented like the pieces of an unfinished jigsaw puzzle.

In trying to assemble these pieces of the puzzle and better understand the different aspects of shared and collaborative leadership, employing the use of collaborative methods seemed a logical fit. Both in theory and in practice, collaborative phenomenon necessitate or oblige a certain degree of collaborative study. Mixing various methods isolated key areas in an effort to identify the more hidden or disappeared phenomenon within shared and collaborative leadership. Chapter 3 will lay the reasoning for the best methods to uncover the illusive and often vanished aspects of collaborative leadership.

Chapter III: Methodology

Co-Inquiry through Bricolage

The theme for my methodological approach is coherence. I created a design that

for me represented a "good fit" between my own predispositions, my research setting, my

research questions, and the available methodological tools. In addition, I wanted to

create a methodological coherence between my methods of choice and the conceptual

frame of "collaboration", my topic of interest in this study. In particular, I wanted to look

for answers to the question of: In today's shifting landscape, what practices and

conditions will optimize the development of a collaborative working environment?

The research attempted to develop a schema that is practical and applied. It is designed to

help identify the practices and conditions optimal for spawning collaborative leadership.

When attempting to answer this research question, Bentz and Shapiro's (1998)

process of mindful inquiry came to mind as having great value to add to this project and

to my approach. Mindful inquiry is based on the idea that "research is – or should be-

intimately linked with your awareness of and reflection on your world. The awareness of

and reflection on one's personal world and the intellectual awareness and reflection that

are woven into one's academic research affect – or should affect – one another" (1998, p.

5). Underscoring the feminist mantra, 'the personal is political', as researchers we cannot

expect to keep our political perceptions of how to conduct research separate from how to

interpret research.

In trying to create an optimal exploratory process, I found myself creatively

adapting methods to meet a nexus of inquiry where need, curiosity, learning and

phenomenology came together through the malleable methodology of bricolage. Like

soft clay or hot metal being shaped, the artist fits together the "how" with the "what";

fashion meeting form. A bricoleur is a tinkerer. Denzin and Lincoln (2008) describe the bricoleur in their book, *The landscape of qualitative research* as an "inventor, in the best sense of the word. *Bricoleurs* know that they have few tools, and little by way of appropriate parts, and so become inventors. They invent ways of repairing; they recycle used fabric into beautiful quilts… In the *bricoleur*'s world, invention is not only the child of necessity; it is the demand of a restless art" (2008, p. 426). In closing the book, the final portion focuses on the future of qualitative research, identifying bricolage as an important and emerging approach to future research:

> The methods of qualitative research thereby become the "invention," and the telling of the tales—the representation—become the art, even though, as *bricoleurs*, we all know we are not working with standard-issue parts, and we have come to suspect that there are no longer any such parts made (if ever there were). Therefore, we cobble. We cobble together stories that we may tell each other, some to share our profoundest links with those whom we studied; some to help us see how we can right a wrong or relieve oppression; some to help us and others to understand how and why we did what we did, and how it all went very wrong; and some simply to sing of difference. (2008, p. 425)

In my bricolage, I offer a case study (Stake, 1995) through portraiture (Lawrence-Lightfoot & Davis, 1997). To develop a deeper understanding of the phenomena of collaborative leadership I draw from four primary approaches: (1) observation (2) texts, (3) interviews (4) facilitated focus groups. The mixing of these four methods creates a hybridized approach, providing a more holistic platform for studying the ephemeral and enigmatic experience of developing collaborative leadership. I will refer to this method as "co-inquiry" in an effort to acknowledge the coalescing, cooperative, constructive, and collaborative nature of this study. The research will also draw from appreciative and strength-based principles (Cooperrider & Whitney, 2005; Piderit, Fry & Cooperrider,

2007). This will help to provide a solution-oriented focus as the underlying philosophy for this research endeavor. A more detailed description of the pieces that make up co-inquiry will follow later this chapter.

Positioning

In finding a good fit between myself, the research setting or story, and the research methods, I found it a bit antithetical to be going about this research in as an isolated or solo researcher. It seemed that more and more research was happening in pairs or teams of three or more. Inquiry, like leadership, is a social process. To study shared leadership and attempt to better understand collaborative processes as a solo researcher seemed to lack something essential. Here was an opportunity to employ Bentz and Shapiro's (1989) concept of mindful inquiry by practicing being informed by both internal and external cues from the data diversity. Inquiry happens in the processes of personal learning and growth. Since the researcher is not just researcher, but also student, and participant in a rather complex social process, I have come to believe that to some degree most researchers are simultaneously both emic, insiders, and etic, outsiders.

Philosophically and paradigmatically, as a bricoleur, I consider myself drawing from the post-modern constructivism, humanistic theories, feminist sociology, strength-based and solution focused paradigms of an appreciative inquirer. Denzin and Lincoln define a paradigm as a "set of basic beliefs that deals with ultimates or first principles. It represents a worldview that defines, for its holder, the nature of the 'world' the individual's place in it, and the range of possible relationships to that world and its parts" (2008, p. 200). Denzin and Lincoln chronicle a major shift in research paradigms by pointing out the change in the underlying assumptions held in the constructivist,

poststructural feminist, and multicultural models. The constructivist paradigm supposes a relativist interpretation of reality, presuming that there are multiple simultaneous realities -both/and.

The postmodern or poststructural feminist theories emphasize problems within the social text. In a crises of representation, Feminists criticize the underlying logic of the social text and its inability to fully represent the world of lived experience. Positivist and postpositivist criteria of evaluation are now being replaced by a reflexive, multivoiced text grounded in the experiences of people who are diverse and at times marginalized. Today,

> the gendered, multiculturally situated researcher approaches the world with a set of ideas, a framework (theory, ontology) that specifies a set of questions (epistemology) that are then examined (methodology, analysis) in specific ways. That is, empirical materials bearing on the question are collected and then analyzed and written about. Every researcher speaks from within a distinct interpretive community, which configures, in its special way, the multicultural, gendered components of the research act. (Denzin & Lincoln, 2008, p. 20)

As a researcher, my intention in doing research was to increase my understanding of collaboration and shared leadership, while helping create more effective collaborative and participatory organizational systems of shared and distributed leadership. The phenomena I describe in this study include the practices in learning, developing and practicing collaborative leadership and shared leadership. The findings deconstruct the common practices in learning and developing collaboration and shared leadership. In order to accomplish this, I observed and interviewed both the administrative team and the larger group of employees of the organization, as they walked through the process of trying to learn the awareness, knowledge and skills needed in collaborative and shared

leadership. The team and organization had self-identified as wanting to be better collaborators and were interested in going through a facilitated learning process. The study focuses on the organizational growth as a whole system, looking both at the organization-wide process through the eyes and words of the staff and supervisors, as well as a close-up look at the process of the members of the supervisors' group. The individuals were open to being interviewed and participating in facilitated focus groups. The eight members of the supervisors team were key players in an organizational change. They helped both in the quest to try to understand the developmental process and in highlighting the best practices and challenges involved in creating a more collaborative culture.

A unique set of measurement tools was assembled to study this ubiquitous and enigmatic side of leadership. Collaborative leadership is a less visible process with behaviors like empathetic listening or reframing. A combination of action learning methods, participatory platforms for organizational collaboration and sharing best practices and theory were part of this unique research process.

As for the originality or uniqueness of my methods, I borrowed from several methods including case study, narrative, portraiture, the long interview, action learning, focus groups, and appreciative inquiry. As a bricoleur I synthesized these five methods into a more adaptive form of fluid inquiry or co-inquiry. The resulting process of collaborative inquiry, fluid inquiry , or co-inquiry were my unique invention, using complimentary methodologies in a way that will hopefully contribute to the greater tools for exploring the field of leadership studies.

The purpose of the study was to help leaders better understand the issues involved in leading collaboratively.   The ally-based leaders sought to share power and collaborate with others, looking to serve the needs of the whole in a balanced way. This was a participatory side-by-side approach to leadership. Their ally based or collaborative leadership was an egalitarian philosophy toward leadership, seeing leadership as a shared process based on relationships.

My goal was to create a model of practice for shared leadership or ally based leadership. The products of the study included: (1) a portrait of a team or organization developing and transitioning to more collaborative working environment and (2) the interpretation of data creating the beginnings of a model of practice for collaborative leaders.

Description of Specific Methods in the Bricolage

In completing my literature review of shared leadership, I learned a great deal about the continuum of possibilities from small to large-scale collaboration. In looking for clues to answering the question of what practices and conditions will optimize the development of a collaborative working environment, I came to see both the contemporary need and demand for greater awareness, knowledge, and skills about shared leadership. Bricolage helped uncover these subtleties and their associated processes. As bricoleur, I was a tinker of research lenses, playing with several methods in an effort to triangulate the phenomena of shared leadership into images or sketches. Table 3.1 provides a visual matrix and holistic picture of the interaction between my methods of choice. The literature review and portraiture provide a more hermeneutic

examination, while the action learning progression of awareness, knowledge and skills

reflect the phenomenological level of discovery.

Process	Methods	Intended results
Study of current and emerging theories about shared leadership and collaboration.	Literature review of contemporary theories.	Development of awareness: "Discovery".
Observation and interviews of individuals and group(s) who are exemplars of collaboration and shared leadership.	Portraiture, portrait of the process of developing. collaborative leadership. Long interview(s)	Development of awareness and knowledge: "Dreaming".
OD and action learning.	Focus groups, facilitated. Training and action learning activities with teams. Coaching.	Development of awareness, knowledge, and skills: "Design".
Collaboration with other researchers studying collaboration and shared leadership.	Information sharing.	Development of awareness, knowledge, and skills: "Destiny".

Table 3.1 A Research Matrix: A Holistic Picture of How the Methods Interact

As mentioned earlier, my invention included bringing together portraiture, cooperative-

inquiry, appreciative inquiry and the long interview in hopes that these representations

would help profile the qualities needed in becoming more collaborative.

Case Study: Co-Inquiry and Portraiture

Portraiture is an attempt to "paint" with words the subject of a study. At the core

of portraiture are phenomenology and ethnography. Portraiture can also be considered a

type of case study. The reader of the study begins to 'feel' not only the research itself but

engages in an almost empathetic association with researcher and participant. This is

accomplished through narrative that goes far beyond a mere case study – it is complex,

and superficially is almost like a tale. The reader feels many of the nuances that are

either never shared, or merely alluded to, in traditional research methods. Portraiture

then, is of the counterpart to traditional straightforward quantitative research.

In the Introduction to *The Art and Science of Portraiture*, Lawrence-Lightfoot and Davis (1997) state that portraiture is…

> …a genre of inquiry and representation that seeks to join science and art. Portraiture is a method of qualitative research that blurs the boundaries of aesthetics and empiricism in an effort to capture the complexity, dynamics, and subtlety of human experience and organizational life. Portraitists seek to record and interpret the perspectives and experience of the people they are studying, documenting their voices and their visions – their authority, knowledge, and wisdom. The drawing of the portrait is placed in social and cultural context and shaped through dialogue between the portraitist and the subject, each one negotiating the discourse and shaping the evolving image. The relationship between the two is rich with meaning and resonance and becomes the arena for navigating the empirical, aesthetic, and ethical dimensions of authentic and compelling narrative. (Lawrence-Lightfoot & Davis, 1997, xv)

In Lawrence-Lightfoot's book Respect: An exploration, the reader is exposed to the whole spectrum of individuals who embody respect. "I focus upon the ways respect creates symmetry, empathy, and connection in all kinds of relationships…" (1999, p. 9). Her vision of respect is a life enhancing one that she conveys through the composite action of the six exemplars. A multi-dimensional representation is created where there is symmetry through both "harmony and counterpoint", leaving the reader with a broad ranging and holistic understanding of respect.

I performed a pilot study using portraiture and like Kezar (2000), who in her article "The importance of pilot studies: Beginning the Hermeneutic Circle", I developed a tacit and more intuitive understanding of portraiture and use of the interview when doing the pilot study. The piloting process reshaped my trajectory in this study in meaningful ways. The process of research is often circular, developmental and hermeneutic, each time feeling like a beginner in understanding the practice of shared leadership. Like Frankenberg's (1997) reflexive recursive learning process, the piloting

or practice of the study facilitated an experience in which the researcher reconceptualized leadership from what was initially a more detached theoretical viewpoint to what became a more applied, inclusive and collaborative paradigm.

In portraiture, using the long interview during a six-month methodology study last year, I gained an appreciation and sense of proficiency using the method. The portraitist seems to walk a parallel path with the facilitator, the experiential educator and the OD practitioner. The observation key skills that both require are: the ability to notice nuance, see symbolism, recognize political gestures, note body language, and be aware of process.

Could the roles of practitioner and researcher create a conflict of interest? Researching a phenomenon where I was not only playing the role of researcher but also in the role or professional capacity of consultant and change agent. I found this took careful balance in a reflective ongoing cyclical process. The process cycled continuously through three phases: practice, inquiry and reflection. Moving through these different phases and roles had a feeling like moving from one culture to another. An example of how collaborative leadership carries and awareness of the complexity of a diverse and plural society, my different hats or roles as researcher/scholar and practitioner/facilitator parallel a level of multiculturalism. The scholar/practitioner is between and within both worlds, building bridges of shared concern through reflection and learning. As the tenets of dialogue spell out, a careful balance of advocacy, inquiry and reflection are needed for successful dialogue. The doctoral research for the dissertation was different from my day-to-day OD consulting in the degree commitment and depth of the work. The formal data collection, the processing of data and the writing up the findings were a part of this extra

level of depth. In their theoretical underpinnings, I do not see a big difference between the action learning model of OD and the fluid co-inquiry model used here have many similar tenants. I was effected in the degree of my investment in the project. I was more committed to the process knowing it was part of my dissertation. My literature review was much more in-depth, the data collection was more extensive than the usual feedback form I used in my OD practice, the one-on-one interviews focus groups, note taking, and the writing up of the findings, were aspects I may have done at the end of a non-research oriented OD project.

Interestingly, my role changed during the process, for the first 8 months of the project I had a non-researcher relationship with this agency. I was working as a consultant and facilitator and this agency was a client. After their goals had been clearly identified through a participatory process, it became apparent that their objectives were the same as my research project goals. At that point, I asked them if I could study their/our process as part of a case study for my dissertation. They agreed, being informed that the only difference in the process for them would be the addition of a large focus group with the staff at the end and that there would be one-on-one interviews with members of the administrative team after the final session. After making that agreement the research project was not discussed again until the final session. For me, taking on the researcher role did not seem like a significant transition in nature of my relationship with the agency. As a researcher and practitioner, I wanted to study the learning process. In portraying their work, I want to honor those involved. For this reason, I do not identify any of the authors of the quotations from the one-on-one interviews. I tried to portray the

participants as neutrally as possible. Holding a balance and intention of neutrality in an effort toward the both/and perspective.

In portraiture the researcher is deeply touched by participants, it is a humanistic and relational approach to researching. The use of voice underscores the researcher's stance as discerning observer, as sufficiently distanced from the action to be able to see the whole, as far enough away to depict patterns that actors in the setting might not notice because of their involvement in the scene. We see the portraitist standing on the edge of the scene – a boundary sitter – scanning the action, systematically gathering details of behavior, expression, and talk, remaining open and receptive to all stimuli (Lawrence-Lightfoot & Davis, 1997, p. 87).

As portraitist and OD practitioner when I entered into the organization, I scanned the environment for clues about the culture and symbolism indicated by what they were choosing to display and privilege. OD practitioners often use a rubric of four lenses or "frames" (Bolman & Deal, 2003): the structural, the political, the symbolic and the cultural. The portraitist uses all of these four lenses, and more, to see the image that she paints through words. According to Lawrence-Lightfoot, the researcher pursues five modes:

> First, we listen for repetitive refrains that are spoken (or appear) frequently and persistently, forming a collective expression of commonly held views. Second, we listen for resonant metaphors; poetic and symbolic expressions that reveal the ways actors illuminate and experience their realities. Third, we listen for the themes expressed through cultural and institutional rituals that seem to be important to organizational continuity and coherence. Fourth, we use triangulation to weave together the threads of data converging from a variety of sources. Finally, we construct themes and reveal patterns among perspectives that are often experienced as dissonant by the actors. (Lawrence-Lightfoot, 1999, p. 193)

Lawrence-Lightfoot in one of portraiture's seminal works, *The Good High School* (1983) paints stories of lives lived within localized cultures in six contrasting yet excellent high schools. It is a template that has stood the test of time and displayed a new and important voice within the chorus of emerging qualitative methods. In her artful prose, Lawrence-Lightfoot conveys the leadership traits, teaching styles, curricula, students in the context of the surrounding community. The rich description gives a sense of the overall organizational culture at each school.

Portraiture distinguishes itself by blending the empirical and the aesthetic in an effort to capture the complex yet subtle dynamics of organizational life and in the human experience. It is a mix of art, creativity and reflection, literary principles and scientific rigor. The portrait is shaped through narrative processes, data collection and analysis.

Thick description.

Since ethnography is at the foundation of portraiture, my writing style will employ thick description (Geertz, 1973) as a means for explication or interpretation. It is a more descriptive method of doing research. One of the fathers of modern ethnography, Geertz, felt that culture was "overblown" and "misleading". Culture is a ubiquitous notion. Geertz proves this by defining culture in eleven different ways and then finally espousing that culture is a semiotic concept. "Believing, with Max Weber, that man is an animal suspended in webs of significance he himself has spun, I take culture to be those webs, and the analysis of it to be therefore not an experimental science in the search of law but an interpretive one in search of meaning. It is explication I am after" (1973, p. 5). As Geertz says, the object of ethnography is a "stratified hierarchy of meaningful structures in terms of twitches, winks, fake-winks, parodies, rehearsals of parodies are

produced, perceived, and interpreted, and without which they would not in fact exist, no matter what anyone did or didn't do with their eyelids" (1973, p. 7).

Co-operative inquiry.

Co-operative Inquiry (CI) from Heron's 1996 book Co-operative inquiry: *Research into the human condition*, is a form of doing research with people, where the researcher and subject share roles. Bringing forward participative forms of decision making and knowing, Heron ties his work together with works of Lewin, T-groups, Cooperrider and AI, Tavistock and the human potential movement. His work is an excellent source for outlining the underlying skill areas and potential uses for collaborative research and collaborative leadership practices.

Appreciative inquiry.

Appreciative Inquiry (AI) helps demonstrate the power of questions and has a pension for indicating what is working well. It involves both valuing, exploring and discovering. Cooperrider and Whitney (2005), a principal architects and curators of the AI approach, help encapsulate the spirit of this approach in the follow statement. "Organizations are centers of human relatedness, first and foremost, and relationships thrive where there is an appreciative eye—when people see the best in one another, when they can share their dreams and ultimate concerns in affirming ways, and when they are connected in full voice to create not just new worlds but better worlds" (Ricketts & Willis, 2004, p. 11).

AI works through a four-phase process. This "4D cycle" includes: (D1)Discovery, appreciating, "the best of what exists"; (D2) Dream, envisioning results, "what we might become"; (D3) Design, co-constructing, "steps for getting there"; (D4)

Destiny, sustaining, "how to sustain change". The AI process takes place by first

understanding the positive core of a living system. A question that guides this phase is,

"What makes it most effective and vital, in economic, ecological and human terms?" The

positive guiding images of the future trigger action in the present, where change is based

on positive questions. The questions guide attention to positive images. These images

are found and identified in the dialogues with each other. The "5" Principles of AI are:

(1) The Constructionist Principle. Reality is socially constructed. (2) The Principle of

Simultaneity. Change begins when you ask the question. (3) The Poetic Principle. An

organization's story is like a book that can be written. (4) The Anticipatory Principle.

Our image of the future creates the future. (5) The Positive Principle. You cannot be too

positive (Cooperrider & Whitney, 2005).

     The long interview.

     Another research tool that I employed using the co-inquiry approach incorporated

the use of the long interview. These interviews were semi-structured interviews based on

McCracken's (1988) long interview method; a four-step method of inquiry: (1) review of

analytic categories, (2) review of cultural categories of interview design, (3) interview

procedure and the discovery of cultural categories, and (4) interview analysis and the

discovery of analytic categories. These steps formed a pattern of continuous or cyclical

inquiry. McCracken efficiently and effectively addressed the basics, covering issues like

quality control, the writing up process and the management of qualitative research,

ethical, and budgetary considerations. A practical method, with many special virtues, the

long interview provides an "agile instrument with which to capture how the respondent

sees and experiences the world' (McCracken, 1998, p. 65)

Narrative-based approaches.

Narrative-based approaches have become more recognized and utilized in social sciences in the past two-decades (Hollway & Jefferson, 1997). Using narratives as core components to in-depth interviews, the *biographical interpretive method.* This method was first developed for use in collecting the stories of Jewish concentration camp survivors. Narrative methods are in accord with portraiture, which strive to paint pictures of people and situations with words. The four simple principles behind their methodology include using open ended questions, eliciting stories, avoiding "why" questions, and following up using respondents' ordering/phrasing" (Hollway & Jefferson, 1997, p. 60). Their double interview method is distinguished from the more traditional "why" centered question and answer format. Their method establishes a "preliminary symptomatic reading" with follow up interview(s) to check for consistency and "evidential gaps". Some of the strengths of their new story-based approach include drawing out the themes that will be the focus of the follow up interview(s) and in securing an unexpected or unusual admission that would enforce a thorough reevaluation through the gestalt of a story. Also included in the data for this case study were materials made from observations during facilitated focus groups and from field notes.

Action learning and organization development.

Action Learning [AL] is a team process that enables members to: (1) effectively and efficiently deal with critical, urgent *organizational issues* [problems, opportunities, and dilemmas] with innovative strategies; (2) develop teams that continuously learn and improve their capacities to perform and adapt; and (3) capture, transfer, and apply

valuable, practical knowledge at the individual, team, inter-group, organizational, and community levels. (Marquardt, 2004).

Organization Development (OD) is a system-wide application and transfer of behavioral science knowledge to the planed development, improvement, and reinforcement of the strategies, structures, [technologies,] and processes that lead to organizational effectiveness (Cummings & Worley, 2005). My learning came through my own action learning and reflective recursive process in my organization development practice. I drew from my field experiences with clients and colleagues who were also working to create more collaborative workplaces. The co-inquiry process included creating and experimenting with leadership development strategies like traditional leadership training- instructor provides knowledge, experiential leadership programs – instructor facilitates knowledge transfer from training curriculum, coaching and mentoring. As pointed out by Weick (2001), both OD and AL are most appropriate when client organizations must develop executives while also dealing creatively and effectively with critical, unprecedented, discontinuous issues where there are ambiguous goals and uncertain pathways for creating "solutions" in real time.

Ethical issues.

I submitted and was approved for my IRB application through Antioch's IRB. I did my work in accordance with Antioch's IRB guidelines. I also was committed to practicing in congruence with the decolonizing methodologies (Bentz & Shapiro, 1998; Smith, 1999) where diverse viewpoints were included and honored.

I feel that this research had an ethical imperative in its focus upon something useful, needed, and at this point, a skill set that if better understood and mastered could

be helpful on both local and global scales. I used collaborative methods and participatory techniques with the focus groups, action learning, and co-inquiry.

The issues of social power and privilege could have affected the collaborative processes in a number of ways. The supervisor team at ACCSS was a group of eight European-American women, middle class, ages 40-60. Although not a significant issue in this heterogeneous team; gender, race and social class effect team dynamics and the collaborative process. Sharing power and sharing leadership carry similar themes. The potential effects of gender, race or social class are beyond the scope of this study.

In closing this section, I would like to mention that the sample interview questions and the IRB application are included as Appendices B and C of this document.

The method of co-inquiry fit the study of shared and collaborative leadership in mixing action learning with shared methods of study. A more complete picture of the overall process, a working model of ally-based collaborative leadership, emerged from and through the mixed study of complex and often-invisible processes.

Conclusion

The future of leadership will need to be participatory, involving diverse leaders working collaboratively to solve a new level of problems. Collaborative leadership is an essential capacity that one must understand and master to be a postmodern problem solver. Looking at leadership theories and their evolution, several conclusions can be drawn about the trends in leadership literature looking at these leadership theories through a macro-lens. The concept of leadership is becoming less tied to a single leader, and being seen more as a collaborative process. Leadership is a dynamic process in which a number of different dimensions come into play. The challenge in defining

leadership is that it is not a static event. Leadership in a given situation mirrors the many situational aspects that come together. In line with postmodern thought, leadership is constructed. It is built from a creative tension between the players, the time, and the place. The situational nature of leadership is not to be seen in a simplistic way. Different concentrations of skills and abilities coalesce at precise moments to meet the leadership needs at hand. Some of the abilities that leaders need to possess include being adaptive, process oriented, relational, ethical, and collaborative.   In trying to find a suitable definition for leadership, the search becomes less about finding one "holy grail" definition and more about opening the possible combinations. Collaborative leadership as a dynamic and emerging concept will remain seen but not well understood. Signposts point the way, but the road map does not yet exist. The different research perspectives and the concepts they contribute provide for key navigation points. Participative processes like collaboration in formal relationships between agencies - two-way, and multi-party - small group cooperation, and emergent leadership, as well as inter-agency collaboration, larger scale and virtual collaboration - all contribute insight toward understanding the process. These findings about collaboration and leadership tell only part of the story.

The list of key ingredients will remain a partial list of key ingredients for the continued construction of collaborative and shared leadership theories. The skill of knowing to what degree and at what moment each of these ingredients is called for is part and parcel of what makes applied leadership an art form.

Chapter IV: Findings of the Study

Introduction

Organizational shift happens through a constellation of certain advantageous climatic conditions aligned with certain leadership competencies, creating a perfect storm of environment and development. Chapter 4 presents the findings in a narrative case study, telling the story of an organizational culture in the process of changing from an autocratic culture to one with more participatory leadership.

The story of organizational shift is told from several perspectives. The viewpoints of the supervisory team and those of the staff represent two different perspectives in the organization. My perspective as an outsider, a process consultant and change agent, reflects a third perspective. In the narrative, I will use the words of the participants and materials gathered from the interviews, focus groups and trainings to try to portray the experience of the staff and supervisors in the story. I share my observations and reflections on my own process in the final chapter, when I explore the implications of the findings on leadership and change theories.

The Process

On the northern edge of the city sits a large brown and cream-colored one-story building. It has few windows. A modern warehouse style building, it sits in surroundings that mix an air of industriousness with a Spartan-like efficiency. Gated, the staff parking area is surrounded by a four-foot high chain link fence. The fence encompasses a paved area with wood chips, low shrubs and a sign that says, "Anderson County Child Support Service Agency" (ACCSS).

Across the street a wetland and highway provide a quarter mile buffer to the waters of the bay. The stoic building is the first structure at the edge of a large oceanic wilderness.

The mission of ACCSS is to foster parental responsibility for the support of children. The goals of ACCSS include any or all of five measures: (1) to establish child support, (2) collect child support, (3) to establish paternity, (4) to establish health insurance order and (5) to enforce.

Those who work at ACCSS are caring enforcers. Their work involves the collection of child support funds from delinquent fathers, a job that requires a degree of psychological toughness. These enforcement duties and the tough approach needed effected the direction of the earlier organizational culture.

The first contact I had with the agency was in April of 2007 when I received a phone call from one of the supervisors. The note I jotted down for myself at the time read: "68 people, highly effective but not functional". This was the beginning of what would become a journey that revealed to me the dualistic nature of leadership and its apparent paradoxes.

ACCSS is an agency that has consistently ranked as one of the top three county agencies of their kind in a state with more than 50 counties. At the same time, top managers called it a broken organization.

> …the old culture was very authoritative. It was top-down management
> completely. And I was a senior during that period of time and it would
> absolutely drive me nuts when they would go into meetings and close the
> doors and I've got no idea what's going on and what they were gonna
> come out I was going to be doing. It used to just drive me crazy just
> absolutely drive me crazy and I would go around behind my supervisor
> going, "Okay. What'd you guys talk about? What's happening? What's
> going on?" That sort of thing. It was all this hush, hush. Nobody told

anybody anything. There was no transparency or outline as to what was coming… I felt very insecure. I had very little control in that role, so it made me feel insecure. It didn't make me value myself very much although I knew that I was a value or I wouldn't have been placed in the position   …Well, I didn't feel like I had to be privy to everything. Of course, I knew that there were personnel things, but when they were talking policy, procedures, and stuff like that. I was a senior a league person. I certainly had valuable input. But I never felt like that input was being solicited.

The climate was toxic. It was a difficult place to work. The relationships had reached an acrid state where the participants had little hope of changing their chemistry.

It became so miserable to be here that it always felt hostile when you walked in the building. It just felt hostile. People were just constantly on edge, and this is at the old system, even before we started a transition to the new system. We knew if we were that broken before we started going on to this new system and even began the transition process that we would absolutely fall apart.

The agency was about to begin a major software conversion which was going to increase the frustration and stress levels in an already taxed system. At the same time, the agency seemed to be in a state of recovery from a management style which, in the interviews, was euphemistically described as "top-down" and "autocratic". The lightning rod at the center of this approach was a retired head supervisor who left a wake of toxicity and a raft of ill will. When I first arrived, the stories about her were legion. She had just retired three months prior to my arrival, after having joined the agency at its inception 20 years earlier. She had been there since the beginning.

She had been a child support officer herself and then a supervising child support officer. Then she moved into the assistant director's position. She was hired and moved up through the rank; but, as she moved up through the ranks, she lost touch with the real work what was going on, on the floor. And she didn't manage people very well. She came from a police background and a military background. Her father was career military. She was in the police force before she became a child support officer. So it

was one of those 'do as I say' type of leadership roles, but she didn't always understand.

When interviewed, the phrase, "do as I say", was used by all four of the supervisors to describe the leadership style before the OD process began. A supervisor portrayed the previous practice of leadership as,

> Very autocratic, very top-down, very directive, very what you do with no information as to why you need to do it that way.
>   Yeah, yeah. And oftentimes they were valid, very good reasons for wanting people to do things a certain way. But the information was not given out; it was held very tightly and so there was always a lot of suspicion, very little trust. People weren't given room to give feedback, so they didn't have a lot of buy-in process and a lot of resentment and push back.

When the management team initially called me, they requested that I work with them over a one-year period, during which time I was to provide ten trainings. I would work with half the agency for three hours in the morning and the other half during the afternoon.

During the first session I gathered information from dialogue, focused facilitated group process and an anonymous soft survey called the "nut shell survey". I used the nominal group technique to sort and prioritize the data.

I based my approach and curricula on an organization development model (OD). The OD philosophy emphasizes action learning and the participatory aspects of planned organizational change using behavioral science knowledge. As mentioned in the methodology chapter, the ten session series were adaptive and designed based on a progressive or developmental model of learning, moving from awareness to knowledge and then to skills (Pedersen et al., 2008).

Rough start and gathering steam: development sessions 1 & 2.

Ironically, the county prison facility was the location of our first all-staff training session. It was a foreboding five story hulky concrete building towering ominously in the center of the bustling downtown area. Although a boom to the local economy, the irony of scheduling our teambuilding at the prison was not lost. What kind of tone was a mandatory training in the prison setting? We used the City Council's Chambers, which were located in the center of the building. Given the general mood of the staff and the prison surroundings, it felt like we were starting our process in a dismal setting. The first development session introduced the OD process, gathered information about the existing organizational climate as well as gathered participant ideas for constructive change. The tools used to assess the organizational climate and evaluate the perceived training needs included the nutshell survey, the three wishes exercise, and the climate assessment tool. All are included in appendix A. The purpose of these diagnostic tools was to get a sense of where the morale level was hovering, to gather the perceptions and assess the needs all of the agency employees. For example, the nutshell survey asked three simple questions. (1) What is working? (2) What is not working? (3) What would you like to do about it?

The design of the trainings intentionally included everyone who worked in the agency in order to get the whole system into the same room. Unfortunately, this effort to include all took on a tone of the training being *required*, creating a mandatory form of *inclusion* that may have contributed to some of the initial resistance to the process.

Sorting and prioritizing the outpouring of observations and ideas generated during session one was the focus of the second session. The goal was to make sense of the many

assessments of the current climate and to begin the process of designing how they would

improve their situation. It was in the second session that the participants identified their

overarching or meta-goal as creating a more collaborative working environment. Based

on the articulated collective desires, a learning agenda was established for the remaining

eight sessions based on the needs and feedback expressed by the participants. The

progression of getting all of the ideas into a cohesive series involved repeated rounds of

brainstorming, then combining and prioritizing the themes. It was a boiling down of

ideas, using facilitated group processes and dialogue to tap into the combined wisdom of

the crowd.

Below, listed in italics, are representative samples of the responses to the nutshell

survey. These direct quotes capture the tenor of the information gathered from the

nutshell survey. The original survey read: "Please fill out anonymously. This survey is a

quick assessment, along with several other assessment tools, meant to help in gathering

potential themes for learning and development. The first question asked, what is working

at Anderson County Child Support Services (ACCSS)?"

The predominant themes to the responses focused around <u>productivity</u> and <u>performance</u>:

- o Productivity is working. The work gets done.
- o We do our job – getting support to children – very well.
- o Meeting the State's demands – fulfilling compliance criteria.
- o Collecting child support for the children.
- o We work well as a productive agency compared to other C/S agencies.
- o High performance in collections of child support.
- o We are a top performing agency.
- o The State mandated tasks are being accomplished at a high level.

The second question in the nutshell survey was what is not working?

The list of responses was very long. Seven themes emerged in response to this question:

(1) Negative attitude, lack of appreciation for diversity, strained relationship within the

supervisors team and between supervisors and staff, poor communication, trust issues,

lack of consistency, and fractionalization into cliques or silos.

Here is a more detailed sample of the agency-wide responses, listed by theme:

1.) Negative attitude:
o   There is an abundance of negativity. It seems we are all lacking in skills to
        deal with one another effectively.
o   Too much whining.
o   The "whiners" bringing morale down.
o   The negative people. Attitudes and morale is not the best.
o   People spend more time complaining than actually doing their jobs.
o   People's attitudes/behaviors causing gossip and judgments.
o   People with negative attitudes and express them even if we don't want to hear.
o   Bad attitudes, gossip and judgment.
o   Attitudes toward work/morale. Attitudes of employees towards others.
o   The personality conflicts due to poor moral and superiority conflicts are
        causing a failure in job performance.
o   The office seems to breed a lot of negativity, distrust of management.

2.) Lack of appreciation for diversity:
o   Relationships, embracing differences, lack of professionalism.
o   Management, in the past, has been lacking in understanding of peoples
            lives and their impact on work (or vice versa).
o   I feel there is a lack of understanding of the value of differences.

3.) Strained relationship within the supervisors' team and between supervisors
        and staff:
o   People whose personal bad habits are overheard by others.
o   There is an environment of retribution and punishment where workers are
        encouraged to spy on and report on coworkers, in everything, to their
        supervisors.
o   Management and workers – us and them – too much of an attitude that "they"
        management are our parents and we are "their" children and we need
        someone to tell us what to do and watch over our every move.
o   Middle management appears to be rigid and focused on prerogatives and over-
        supervision.
o   Supervisors forcing ideas on us. Supervisors/Mgmt not listening to staff.
o   Micromanagement to excess. Overlap and vague spheres of responsibility.
o   Management doesn't hear staff suggestions/needs. Supervisors don't believe
        staff can do anything right.
o   Management not listening or understanding the job they are supervising.
o   Policing does not work.

4.) Communication:

o   Communication between management and employees basic consideration toward co-workers (in all areas).
o   Communication between management and staff.
o   Professional and efficient, communication across all staff lines.
o   Lack of communication training.
o   People not treated correctly – managers need more supervisory skills… lack of communication.

5.) <u>Trust issues:</u>
o   Trust, feeling like a team member.

6.) <u>Consistency:</u>
o   Whatever is mandatory for one of us has to be mandatory for ALL of us. That is very important and must be enforced.
o   Supervisors are not always consistent, i.e. time of requests.

7.) <u>Factions/silos:</u>
o   Cliques. Some people put themselves out there and… get the work done. Some relationship issues aren't working.
o   The clique like separation of Departments. Not the physical walls, but the imagined ones.
o   We don't work as a team, as an organization we have some smaller teams within our organization that work well together… look out for one another, but they don't want to look out for other teams. Just their own.
o   Favoritism shown.

III. What would you like to do about it?

Three themes were echoed: (1) an air of uncertainty or hopelessness, which were

counterbalanced by (2) constructive optimism and (3) requests for training.

1.) Uncertainty or hopelessness:
o I am not sure you can really change negative, self-absorbed people.
o There is really not much we can do about it. It's been a very helpless feeling for a longtime.
o I am at a loss.
2.) Constructive optimism:
o Find out what/where the problems began and begin a healing work environment.
o Open meaningful communication without fear of reprisal.
o Be able to vent openly and not be criticized for being what you are feeling openly.
o Need for collaboration.
o We have taken the first step by bringing everyone together. Even though we work together – we don't work with everyone else.

o Continue to express myself.
o Get everyone to realize we should all work together. We all have/do different jobs that complete different parts of the process. But it takes all of our jobs being done to make the process work.
o Find a way to empower employees so they will do the best they can and derive satisfaction.
o I want to help change the environment. People, me included, need to take responsibility for how they are perceived and how they interact with one another.
o Teach how to be non-partial.
o Consciously work on ways to acknowledge and recognize co-workers.
o Maintain an open attitude.
o Feel part of the team and not like an outcast.
3.) Training:
o Have management go through these types of "courses" and learn how to treat people.
o All I know is to express the best of who I am, I don't know how to change others attitudes, especially in such large groups.
o Have training for management (supervisors).
o Have them (upper management) do this training in depth while the rest of us continue our job.
o Better train management to understand the needs of the job they supervise.

Showing a perception bias that the positional leaders were the ones needing to change, the managers or supervisors received the bulk of the suggestions for needing to change and attend trainings. In the next section, the biased perception that change needs to come first from above or below will be looked at more closely. There, we will explore derailers and sticking points that beget shared and collaborative leadership efforts.

During the second session, we looked at the data generated in session one and the participants worked to further consolidate the information gathered and identify the dominant themes generated from the first session. A second set of discussion questions worked as a catalyst for generating ideas of how to address the issues identified through the nutshell surveys. The three wishes question read as follows, Imagine you had a magic wand and could have three wishes granted to heighten the health and vitality of this organization. What would they be?

Each of the two training groups would meet for three hours. Typically, 30 participants would attend each. Identifying strategy points the participants prioritized the following results from the different surveys, the three wishes question, the nutshell survey and the climate survey.

Creating a more collaborative environment was the first and overarching identified goal. The ideas generated by employees included the following points:

(1) a more collaborative environment where ideas and opinions from all teams and all staff levels are considered; (2) understanding others so as not to take something out of context, which creates division, and takes away time from accomplishing work tasks, (3) having empathy and, being equitable with everyone, dependable; (5) accept the differences in each other, (6) including, (7) creating a safe environment where differences are embraced not judged, (8) implementing cross-training so that the right hand knows what the left hand is doing, (9) modeling "professional" behavior, (10) asking people to mind their own personal business and not everybody else's,(11) applying mandatory standards for all levels (12) communicating ideas and sharing discoveries; (13) expecting each job title to be the same for everybody; (14) realizing people have different ways to get to the same end goal ,being consistent and reliable.

The second point that the training participants identified was the relationship between management and employees. The topics identified included:

> better understanding of the working relationship between management and the employees, clear decisive firm edict from management, new policies/changes/rules would come with an explanation of why, more interaction between management and employees including people implementing decisions in decision making (ask our opinions).

Interpersonal relation is a third area identified as needing focused attention within

the agency. Suggestion included:

>greater tolerance and respect for co-workers, more compassion for co-workers/other departments and what their jobs entail, every employee have respect for all and their position in the organization, stop the criticism of one another, more team like atmosphere, off work gatherings such as picnic and holiday season parties, constructive and positive communication, less complaining, more compromise, disregard the small stuff, treat each other respectfully as adults, effective timely communication, leave me alone to work, stop telling me I'm a bad employee and need training to do a better job, positive feedback on a daily basis, people treat each other as they wish to be treated, feeling and acting supportive of one another, improve communication (respect, equality, professional attitude, less wasted time).

The next topic we discussed was decision-making. In this case the decisions

involved both the general agency wide decision and the decision making process in the

upper management group.   The agency wide suggestions were:

>determine a common goal and let everyone know what it is, more connection to the community, each person to have an understanding to the office and what it does and to know just how important their role is, everyone work to the best of their ability, relieve stress (especially during a conversation), encourage job advancement pooling resources, simplified processes, training unrelated to your specific job s/b optional, fewer meetings, people would be recognized/rewarded for hard work and allowed to grow instead of being taken advantage of.

Suggestions that were made in regards to decision making in upper management

included these topics: Upper management work together, mgmt/supervisors would deal

with the real problems and leave the ridiculous things alone, management/supervisors

would forget preconceived ideas and allow people and opportunities to grow and express

themselves.

Flexibility was a fourth issue and included topics like: more flexibility with

scheduling work hours, accommodating people's lives, making the work schedule

flexible work schedule (beginning at 6 AM or earlier), removing the physical barriers (cubbies),acknowledging a job well done.

Lastly, work-life balance was identified as a theme. The suggestions included: people need to participate in stress-reducing activities, people to take personal responsibility for their actions and attitudes and to realize this is a job not your life, more positive attitude, be aware of co-workers personalities and differences and respect that, I wish for every one to have a fulfilling life outside of work and remember that this is just a job, foster good mental and physical health.

During these first three development sessions, there was a tangible tension in the training groups. Guardedness was evident. I sensed years of underground tensions. Some seemed on the verge of blowing up if rubbed the wrong way.

There were several occasions where staff members became agitated and/or publicly blew up provide an example of the fragile or tenuous emotional state of some of the staff during the early trainings. For example, during the tense moments of the first session as I invited a group of thirty (half the agency) to create learning agreements for the sessions, one participant became agitated and vocally combative when she thought that the group agreement on timeliness was a personal statement about her. Her reaction showed signs that she felt trapped and resented having to be at the training, let alone make agreements.

Another example happened during the third training. The second development session had taken place at a Planned Parenthood facility and one employee refused to come because of the location. In the subsequent training, when I described having seen the mission, vision and core values of Planned Parenthood posted on their wall, that staff

person became very hostile and threatened to leave the room immediately if I continued with any further talk about Planned Parenthood.

During the third session, we started using a room that was right next to the harbor. It was in a nice building that was far enough away to give us a place that was neutral. The room had windows on two sides and was 20 feet from the water. Colorful boats bobbed along the docks. It could be blustery and cold outside, but we were warm comfortable inside. On several occasions when the weather was nice outdoors, we were able to do some teambuilding activities outside and take breaks outside. This building became our home, a safe and appealing place for participants to learn together.

Another milestone came after the seventh session, when there was a notable change in tone and the collective mood of the groups that were coming to the trainings. Crossing a goodwill tipping point, there was a friendlier more relaxed feeling between of the group members and toward me. Everyone would participate in the training activities to some degree, which had not been the case in some of the early sessions. Several individuals who had seemed particularly disgruntled at the early sessions, now only came sporadically and/or relatively quietly to the final four sessions.

The organizational climate survey created a soft numerical assessment, a simple rating tool for comparative study (Figure 4.1). The climate survey asked participants to rate three different dimensions needed for organizational success. This model of facilitative leadership looked at the following three dimensions: the task dimension, (2) the process dimension and (3) the relationship dimension. The task dimension relates to productivity and the completion of required work. The process dimension refers to the way in which work takes place. The relationship dimension looks at the quality of

interactions between members of the organization. At the beginning and end of the OD

process, the climate survey gathered a sense of how the participants felt their organization

was doing in regards to these important three dimensions. Figure 4:1 is a pictorial

representation of the survey results.

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+-----------------------------------------------------+
|                    Task = 7.6                       |
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|                     /    \                           |
|                    /      \                          |
|                   /        \                         |
|                  /          \                        |
|                 /  Overall   \                       |
|                /   = 6.6       \                     |
|               /                 \                    |
|              /_____\                   |
|                                                      |
|  Process = 6.2              Relationships = 5.1      |
+-----------------------------------------------------+
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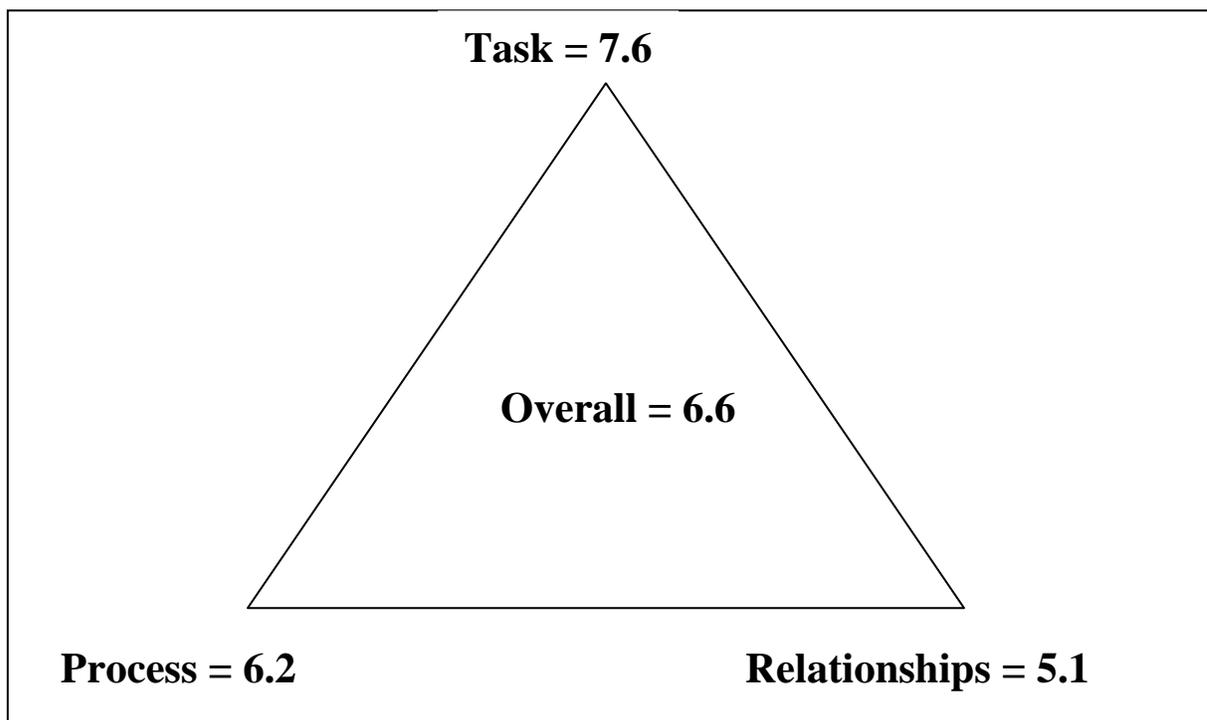
Figure 4.1 Soft assessment of organizational climate at ACCSS from development session
1 (combined results of both sections, with 1 as low 10 as high).

       The organizational climate survey provided a reference point, especially for those

who like numbers. It also provided a baseline to go back to with the final assessment. The

scores reflected the opinions shared and vented through the other surveys; mainly that the

organization performance was high and at the same time, the relationships within the

agency were suffering.

       Building awareness: development sessions 3-5.

       The third development session was designed to increase awareness of the issues

facing the agency. This was accomplished by building connections between employees

and by increasing their awareness of one another. The data gathered from early sessions provided fertile soil in which to cultivate the themes that would guide us forward. Through a process of consolidating and reframing, the results of the surveys from the first session identified ACCSS strengths as being (1) good at task completion, (2) productive, high performing, and (3) good working relationships at certain levels.

The following thirteen points represent the principal topic areas identified for organization development at ACCSS during the third development session. (1) More collaborative environment - in planning for change, in general decision-making; through empowerment and personal responsibility. (2) Interpersonal skills - two-way communication, avoiding negativity, inconsistencies with rules, favoritism, and knowledge of procedures. (3) Sense of "team" between units - relationship building between management and employees. (4) Meetings and communications - low quantity & high quality. (5) Authentic and effective communication - flexibility, listening skills, presentation/style). (6) Collaborative decision-making. (7) Consistency in messages. (8) Dialogue skills - respecting differences of opinion. (9) Accountability - personal and professional. (10) Attitude - starting with a clean slate and an open mind, basic assumptions that all workers are professional. (11) Mission/vision/core values. (12) Stress management and balance. (13) Teambuilding - fun, trust building, full participation.

The thirteen topics identified from the feedback gathered during the first two development sessions were the basis of the design for the six developmental sessions that followed. The six sessions would be experiential, based in action learning methods like: group initiatives, facilitated discussions, and models for understanding leadership and organizational behavior. The following themes capture the curriculum these sessions: (1)

Core values, mission, and vision (part I); participating in effective meeting and team/community-building activities. (2) Core values, mission, vision (part II); work styles; collaborative leadership skills (part I). (3) Communication styles and interpersonal skills; assertive communication: "high quality, low quantity": team/community-building activities. (4) Collaborative leadership skills (part II); dialogue skills; the situational leadership model. (5) Social intelligence, feedback and listening skills. (6)Work life balance, renewal, stress management, assessment during final development session.

With six of the remaining eight development sessions identified, initially the remaining two development sessions were to be determined along the way. Those two undesignated sessions eventually became two special six-hour facilitated sessions with the eight core members of the supervisors' team.

Development session three had three other activities. The first, called "I am from…", asked participants to make power point slides describing themselves. The focus was on helping agency employees build relationships by providing an opportunity to know each other better. For reasons of anonymity, I will not include samples of the original slides in the appendices. The "I am from" activity proved to be especially rich in creating connections and giving relationships a chance to deepen. The reading of the slides by those who wrote them was powerful. The slides had texture, carrying images and colors. Some participants chose to use two and three slides. The public sharing of the slides brought laughter, tears and emotion over those present. Here are two of the slides:

> o *"I am from Anderson, land of the giants behind the Redwood curtain".*
> o *"I am from a society that judges me because of the color of my skin and not the person I am".*
> o *"I am from a place of kindness and compassion because of this".*
> o *"I am from tolerance and respect for others beliefs and customs".*
> o *"I am from a spiritual plane that goes beyond religion".*
> o *"I am from the belief that just by caring we can make the world a better place".*

Figure 4.2 "I am from…" power point slide example 1.

> o *I am from Ridgecrest – a town with a very misleading name being that it is on the floor of a valley therefore not located any where near a ridge or a crest.*
> o *I am from a place of pessimistic optimism; I hope for the best but expect the worst.*
> o *I am from the Indian Wells Valley (two valleys over from Death) in the high desert where in a single day the temperature can fluctuate from higher than Anderson County's seasonal high to lower than Anderson County's seasonal low.*
> o *I am from thinking that getting along with co-workers is one of the "other duties" associated with every job.*
> o *I am from the world of theatre where either as audience member or as a participant, there is a chance to get away from your every day existence and for at least an evening, experience new and exciting things.*
> o *I am from the belief that the motto for ACCSS should be "keeping your pants in check will keep the check in your pants".*
> o *I am from a place where by being open and helpful I have strengthened the working relationship between two separate government entities.*
> o *I am from a place where I hear people complain that management does not listen to them and then complain when they are offered a forum where the management is there to listen.*
> o *I am from a world where you can not tell people who do not listen that they do not listen because they are not listening.*

Figure 4.3 "I am from…" power point slide example 2.

For many the slides gave a place to start a conversation by following up on a mutual interest or asking about something peaked by the content of the slide. They gave me a chance to get to better know and further appreciate the participants.

The second topic of session three focused on the best practices in conducting and participating in effective meetings. This included brainstorming a list and reviewing a handout of the best practices for meetings. Each of the groups in the agency conducted a short meeting, during which they explored how to improve their own meetings. During the debrief one of the participants became angered. Her tone was sharp and aggressive, eyes squinting and brow furled. She said that they were learning management skills, and that the mangers were the only ones who needed these, not everyone else. Her observations reflected a view that managers were the organizational leaders and process keepers.

A third activity involved learning about the process of consensus decision-making called "Lost on the Moon". The larger group was split into four sub-groups. Each of the sub-groups was told that together, as survivors of a crash landing on the dark side of the moon, they would have to prioritize the 14 items that they had left with them. Individuals were asked to do it first alone and then as a group. The groups struggled for some time and finally came to similar conclusions. They found that combining expertise was harder, but yielded better results. The idea of "all" being smarter then "one: was well demonstrated through the activity. The groups grasped both the concept and enjoyed the hands-on approach to learning. Experiencing the sub-group working well together became a template for activities that would follow. The full group sessions, that became heated at times, would jump from topic to topic were less personal. Allowing the larger group to work in smaller configurations, such as pairs and smaller sub-groups, created more developed and less volatile debriefs when in the full group setting. Lastly, in the

third session the group began to identify core values they felt would help the agency to move most effectively toward its goal of becoming more collaborative.

The fourth development session focused on promoting appreciation for different work styles. We also selected and defined the core values for the organization. We did more team building activities. We explored four different "colors" or work styles with a self-assessment tool. We followed this with a presentation by the members in each group outlining their strengths, weaknesses and their groups' needs from others when working on the same team.

During session four, we narrowed down their core values, ending with a concise threesome: respect, partnership and integrity. In retrospect, partnership, respect and integrity were essential in what the agency needed in becoming more collaborative. Among others, these same three, respect, partnership and integrity, are part of the core conditions identified by the final focus groups and interviewees as being pivotal to developing a collaborative workplace. all the agency employees collectively designed the definitions of the three core values. Here are the definitions: (1) Integrity: Providing confidential and professional services with excellence and diligence. (2) Partnership: Create partnership with our clients, employees and other agencies to cooperate and collaborate, ensuring the equitable support for the children of Anderson County. (3) Respectfulness: Treating people respectfully through effective and unbiased communication.

Typically, the sessions took place once a month. Due to holidays and a snow storm there was a two-and-a half-month interim between sessions four and five. We then returned to the monthly routine. The focus of development session number five was on

communication styles, assertive communication, identifying assumptions and perceptual flexibility. At this point, the climate was still tense and especially so because the employees at ACCSS were going through a conversion to a new statewide software system. All reported increased stress as they worked to understand a new system with many unfixable errors because the system was 'working as designed'.

Supervisor intensive: development session 6.

Development session number six was a special session with the supervisors' team. Primarily, we walked through a process to outline making decisions collaboratively as a team. We also covered issues like conflict, stages of group development, the different needs of a multi-generational workforce and coaching/mentoring. This was a particularly intense session because the group was smaller and able to have a deeper, richer dialogue. It was this group of eight women, who were at the center of the organizational culture and at that time the reason for the organizational conflict.

At the end of the day a supervisor pulled me aside and said that she wanted to talk to me. This supervisor said that she was having difficulty with another supervisor, so much so that she could not talk to her, In fact, she found it very difficult to be in the same room with her. I encouraged her to try to work things through with the other supervisor, to look for an opportunity to speak directly and in an unguarded way with her, and to explore ways in which they might improve the situation.

Expanding knowledge and skills: development sessions 7 & 8.

Session number seven focused on social intelligence and a community building activity. We reviewed Goleman's emotional intelligence model (1995) and completed a self-assessment on emotional intelligence. Emotional or social intelligence provided a framework beneficial in helping employees more responsibly navigate the emotional

vicissitudes of a stressful workplace. The object of the teambuilding activity was primarily for the group to have fun, bond and discover the group's many hidden talents.

Healthy communication skills were the objective of the eighth development session. Topics included assertive communication, feedback skills, the Johari window, active listening skills, professional renewal, and work-life balance. Several experiential activities and an article titled *Five things happy people do* were included in the curriculum. During this session, participants were asked to individually design a sustainability and collaboration project. The project was an effort to initiate collaborative practices at many levels of the organization that would immediately benefit those involved.

Traction: development sessions 9 & 10.

Session number 9 focused on review and evaluation. Here I facilitated a session where the staff gave an updated round of feedback to the supervisors' team. This session was markedly different. For one, there were no supervisors there. Secondly, it was the agency's last session of the OD process. At the same time, the sustainability and collaboration projects were taking root in various shapes and forms. Lastly, they had good news to share about the changes they were seeing. Their feedback carried a different tone, an optimistic one, recognizing significant shifts toward a more collaborative leadership practice by the supervisors' team. Their feedback is presented in the results section, which immediately follows the description of the final development session.

The tenth development session was a special session held exclusively with the supervisors' team. Seven of the eight women were present. One of the agency attorney's, a male, also joined us for the afternoon portion. During the session I presented the

feedback from the staff, we spent time discussing these and then we engaged in a process of planning the next steps. The team also created a list of things that each individually wanted to do that would be different from their usual pattern. They each named a behavior they wanted to bring forward and a behavior they wanted to hold back. During the course of the day a list of agreements was generated, the details of which will follow.

The findings: Feedback about the process from focus groups and interviews

The first tangible result was the feeling in the air during the final sessions. There was a distinctly nicer feeling. I would like to elaborate more on this development and will use both the data generated by the focus groups as well as the insight gleaned from the interviews to do so.

The staff focus group, which consisted of a group of 36 of the staff of roughly 50. They were asked a series of four questions. The questions were presented to the group that had the option to respond verbally or to write their answers on the handout. The participants were given 20 minutes to write or reflect on the questions. We then began a facilitated dialogue about the questions. The dialogue walked through each of the questions, the facilitator charted the responses and asked for clarification. The following section is devoted to presenting the responses to the five ending question from the focus group.

Key elements in creating a collaborative working environment.

The first question was: What are the key elements in creating a collaborative working environment? The following are the responses from the larger staff focus group:

- o Asking for more input before final decision are made,
- o Being given a place and time to share concerns and ideas.
- o Case workers having a meeting without supervisors,
- o Self organization, regularly scheduling positive results,

o More flexibility and less judgment from supervisors about the staff
o Being more inclusive
o Looking for how to work
o Less blame, more solution focus
o Less focus on "problem people"
o Feels better than it used to
o The teambuilding session working with the team of supervisor had tangible results from March session with just supervisors
o More of a team focus
    o "How are we?"
    o "What can I do to help you?"
o More side-by-side and not top down leadership.
o Going from a need to know to a more collaborative approach
o You don't have to be mean to be good… you don't have to be a drill sergeant
o Approach has expanded, more team more collaborative … not just, "because I said so…"
o Creativity
    o has been released trying new things
    o job sharing, how can we work differently?
    o new CSS will see how a case is open from the beginning,
o More willingness to try new things.
o More follow through with ideas, ideas are not shot down at the beginning…more active experimentation
o Greater listening or active listening
o Feeling out situations by all, before implementing caseworker meetings.
o Better communication
o I see efforts at better communication especially among supervisors.
o Trust, I don't think there has really been progress.
o Respect, perhaps some respect for the strain that has been on all groups. It has produced better cooperation towards a common goal. Being open to other ways of doing the work we do, talk aloud, organize, taking good clear notes,
o Work ethic, chain of command, responsibility for your duties.

The themes that the staff group identified as to what was working could be summarized as: greater inclusion and input into decision making, greater flexibility, less judgment, more of an ability to self-organize and a shift to a focus on solution focus. This group of 36 staff represented roughly half of the agency.

In contrast, the larger staff focus group, the supervisors' focus group was made up of seven of the eight core supervisors. The supervisors had similar feelings about the

cultural shift to those of the staff, responding with many of the same observations around

inclusion, greater input and a positive change. The following comments were drawn from

their final six-hour session.

What is working to create a more collaborative working environment?
- A change in management style from authoritarian to more collaborative one.
- Getting things right and making people happy.
- Developing the relationships within the team.
- Consistency and trust.
- Communication is better.
- Going to those who are involved and having them give each other feedback.
- Inclusion
- Willingness to take a risk.
- Continuing to work on ourselves and work to sustain our changes.
- Flexibility with creative ways to manage and share work.
- Open mindedness to more than one-way of doing things, ability to blend.
  - Not just an either/or focus.
  - Being considerate of others
- Commitment to team agreements within the supervisors' team.
- All showing concern, modeling concern in action that is inclusive.
- Bringing down the barriers between the units and showing greater appreciation for each other.
- Greater communication between the units.
- An emphasis on unit identity, an emphasis on overall team identity, sensitivity to inclusion and proactive communication.
- Balance of ground up and top down.
- Greater definition of job roles.
- Knowing what you want: information or expertise and consulting.
- Development and mentoring: encouraging decisions to be made at the appropriate level, with room for development and making mistakes.
- Being open and honest in action… not just saying it, doing it.
- Being objective and open to listen to others who don't share your point of view.
- Remaining true
- Trust
- Communication
- Listening to all ideas.
- Not losing sight of the long-term goal.
- Openness
- Flexibility
- Consideration
- Positive personality
- Competence

One significant point that both staff and supervisor's noted was how important it was to be reflective, see the need, and actively be a part of the needed change. The process of change, however, was initially very slow to take place. . Many had the mentality of "I am going to wait for other people to change first before I will change". These sentiments were reflected in a comment from one of the supervisors.

> I think, first, you have to have the knowledge that takes change on a personal level, not just expectations that the organization will change or other people within the organization will change. So, I think before you get to the willingness stage you have to get to the place of, "Oh, wait. That means me, too. I need to develop myself along those lines as well as help other people to develop." So, I think until each individual gets there or you have enough individuals getting to that point the process doesn't really get started, it seems. So, first knowledge and then, I think, willingness to go through the process. Just self-examine.

In looking back at the feedback from the first session about what was not working, the eight themes of (1) negative attitude, (2) lack of appreciation for diversity, (3) strained relationships within the supervisors team, (4) strained relationships between supervisors and the staff, (5) poor communication, (6) trust issues, (7) lack of consistency, and (8) fractionalization into cliques or silos, -- the progress is noteworthy. Many of the adjectives used to describe what was now working showed an increased level of development. These descriptions included words like consideration, flexibility, listening, trust and openness; showing movement to new norms that coincided with higher levels of consciousness.

Several of these points also reoccurred in the interviews. When asked: "What have you noticed that it takes to be good at collaborating?" A supervisor said: "Being honest and real. And I think the hardest part is the trust issue. Because you don't know what the other person is thinking. Especially if it's people that can't (be honest and

real)… In the work environment, because your management styles are so different the

collaborative process is hard unless those people are genuine". Here the reoccurring

themes are trust, authenticity, resiliency, willingness and being able to move-on

emotionally. Another supervisor pointed to the basic steps of respect and setting-up

agreements.

> We started with just the ground rules, setting agreements, keeping in
> confidentiality and that type of thing. In the beginning, it was treating each
> other with respect. And trying to come into the meetings kind of with a
> clear head and an open mind instead of coming in with all the stuff that's
> been stressful or stressing anybody out that day or week…Kind of felt like
> a battle ground at the beginning, and then – now, it seems more like we're
> coming a little bit more – at least personally a little bit more of an open
> mind. It's not a place to attack each other, but a place to discuss things….
> Exactly. I don't think we were aware of the patterns we were stuck in and
> we really needed to just remind each other to be more professional or
> more courteous, more respectful. And those are the things that were on our
> original list that we wanted as the organization to be towards each other.
> So I think that was where we started. And I think it's helped a lot.

One of the stories from a supervisor interview was about a change in a supervisor

who had been very autocratic in the past.

> …one of her staff complained to her in an email that he felt that her attitude
> towards him - he works offsite and she never came around- and she never
> showed any interest in it. As far as he was concerned he could die and she'd
> probably never know, and that he had no value to the organization, and her
> attitude was part of what made him feel that way.

> In the past, I think Gretchen would have been very defensive about that and
> instead she called him up and went right over there, and talked to him and
> talked it through and told him – and later told me – that she was very
> thankful that he had given her that feedback, which was incredible.

> In addition, I talked to her later, she said – I complimented her on the way
> that she had handled the situation. It made him feel that, indeed, he was
> important and to find out what his needs were and to meet them. And I said,
> "Replicating that behavior is what I would like to see." And, at that point,
> that's when she threw up her arms and said, "I can't do that with other
> people because I don't trust them." You know, "I can't trust – I don't have
> enough respect for them and I don't trust them." Well, the fact that she was

able to do it with Steve I think in the future may help her taking a risk again, because it was quite successful.

He emailed me back later and just said that he was really very surprised; it could not have turned out any better. He never expected that from Gretchen and he felt that what we're doing here, the teambuilding, really is paying off, so he was elated. And now she goes over on a regular basis.

It's funny 'cause I asked this of the supervisors, to be more engaged with their folks when they have offsite people, to go visit them on a regular basis. And the two people who do have been resistant to doing that, but for Gretchen, when it came from her staff she now, I think, sees a value in it and I think now she'll make that part of her – of what's she's doing, her management of her employees.

Now the supervisors, even the more directive and resistant ones, were becoming the ambassadors of how the leadership practice is changing and becoming more collaborative.

Sticking points.

The second question to both the staff and supervisors' focus groups was what were the sticking points in creating a more collaborative working environment? The staff's responses were:

- o Flexible hours
- o There's still a problem with the communication between supervisors,
    - o Some don't get along, request that they get along on a professional level
    - o Continue working on communication and getting along

- o People who feel they don't need to change or grow, they feel exempt from needing to change, resistance to the process of growth development and change
- o That the supervisors experiment with managing a small case load and use a consistent bulletin board system
- o They felt the supervisors doing work on their team process was very helpful. They found it a side by side leadership approach, a non punitive focus
- o General resistance
- o Sour attitude
- o Competition for resources in a time of cutting back money time and staffing
- o People who don't see a need to change anything

The following are the supervisors' responses to the question: "What are the next steps for continuing this process?"

- o Put agreements in writing
- o Confidentiality:
    - Keeping critiques of each other and of other team members limited to the individuals involved
    - When offline, agree to represent each other honorably
    - Will actively support the decisions that are made by the team
    - Again, clarifications and concerns should be kept within the supervisor team
- o Continued consideration
- o Openness
- o Flexibility
- o Actual practice of honesty
- o Willingness to take risks
- o Keeping the end goal in mind
- o Stressing that we are all on the same team. Less emphasis on titles and more on expertise
- o Plan to have some fun together
- o Agreement on minimum expectations, on cases and standards of expectations
- o Checklist, bringing the standards out into the light of day again
- o Same message to all
- o Permission to make mistakes and being willing to admit our mistakes.
- o I'd like feedback and will ask.
- o Helping guide each other and support honesty and transparency.
- o 'Raw' is preferable to nothing.
- o Trying to customize and be considerate of each other's differences.
- o Take the politics out of things.
- o Have a heart to heart with my colleagues with whom I am in conflict.
- o Decision making:
    - Defining how the decisions will be made
    - Designate a process facilitator
    - Practice consensus method
    - Debrief afterwards
    - Bide by the confidentiality agreement
    - Identify the stakeholders.
    - Be explicit with the process

They had articulated many new and needed norms toward creating a collaborative working environment. These included a confidentiality agreement and a plan for group decision making that would help them continue to build trust and collaborative capacity.

When asked about breakthrough moments, one of the supervisors felt that the attention to

decision-making, talking about planning and then practicing decision-making were

breakthroughs for the team. I think that when we sat down and made our plan – our first

collaborative effort at decision-making - we used our decision making model that we had

designed. We could see that it could work. It could work, yeah. That can work. This will

work!

Decision-making seems to be a distillation point for group process and social

power. In efforts at sharing leadership, decisions are metonyms for how the group will

manage social power. Collaborative decision-making entails a high level of development

both individually and mutually where group members need to balance advocacy, with

inquiry and reflection. Breaking down, practicing and talking about and debriefing these

skills seemed important to gaining a level of comfort, proficiency and even mastery.

Decision-making has the potential of being more and more inclusive and

collaborative, combining a wide range of communication and processing skills. Looking

at recent efforts in opening-up the decision-making, one supervisor cheerfully reflected:

> I think the communication, and when we're making decisions, bringing in
> the key stakeholders. I keep using that term over and over. We just had a
> meeting right before I came here, pulling people in, left and right. We
> were talking about a decision being made – regarding one specific person,
> but that person would affect six different people. So we got everybody
> involved. And I really think that makes a big difference because we used
> to make a decision and we would tell everybody involved this is what we
> made, so now it's – sometimes this is the decision we're going make, but
> here's your opportunity to give us feedback sort of depends on what the
> decision is. I think that's really important and the communication and
> then allowing the ideas and creativity from our staff to come up for them
> to grow and feel like they're important and included and where we're
> going. Because they are. They're the future.

Another supervisor reiterated the centrality that decision-making could have on

improving group collaboration skills.

> …a decision-making process that we engaged in to hire the two CSS's and how we wanted to proceed with training. (A process) To reflect the changes in the agency and what we thought would be a better fit for the people who were coming in. We did a really, really good job, particularly for the fact that it was the first time we ever used any of the models that you gave us. And it felt very collaborative. It was really really good.

> *Next steps.*

The aim of the third question was to identify the next steps in continuing this

process of becoming a more collaborative environment. The staff replies included:

- o No more 'gotcha' or target on the back.
- o Having the teams move away from exclusivity, especially during scarce times of money or staff… when it becomes a turf war mentality, looking at the forests not just the trees.
- o Unifying divisions within supervisors.
- o Supervisors get consensus between themselves before emailing out to others.
- o Filtering and summarizing communication from the state.
- o Get over and move on from conflict.
- o Start paying attention to myself and other people start treating each other with respect and appreciation, practice celebrating and 'people generosity'.
- o Careful balancing of professional collegiality with friendships.
- o When factions feel like they are emerging to ask that we keep the team perspective.
- o Show how we are working toward one common goal.
- o All showing concern for the issues and successes of other teams. Modeling concern and action.
- o Allowing creative problem solving.

The supervisors' responses identified the following sticking points:

- o Expecting everyone to change but ourselves
- o Finding the middle ground with the different personalities
- o Being emotionally intelligent and not just reacting
- o Tending to think from a "what's in it for me?" perspective
- o Inconsistency, consistency is needed
- o Someone has to be in charge and sometimes play the disciplinarian, and measure the inputs and outputs. But, that doesn't mean it has to be a gotcha…more of a restrained and measured leadership is needed here.
- o Team emotional intelligence and not reacting, finding the middle ground.

- o Expecting everyone to change but ourselves is problematic.
- o Lack of a common goal
- o My unit is a sticking point.
- o The "gotcha" approach/attitude is a sticking point

As for sticking points, the two reoccurring themes echoed repeatedly are (1) lack of buy-in to the process and (2) expecting others to do the changing. Here is how one supervisor said it:

> I think that's the hardest part of this process… is that at the very beginning to get the feedback from the people about what they're seeing are the issues. …So I thought that probably was the most challenging thing to do was to get people to express the issues and then to develop these agreements and plans and get everybody to buy into that.

Another supervisor pointed to the organization development process as an element that helped in unsticking individuals who were resistant to seeing themselves as part of what needed changing.

> …I think the fact that you kept bringing up the personal responsibility, looking internally, the tools to help people look at themselves I think is critical in this agency's case because of the huge resistance to doing that initially. So, if nothing else, the fact that you got so many people finally to start understanding that it's not just the supervisors, it's not just the managers, it's not one change in one position at the top that's going to create a new culture, a new organization. "Oh wait, maybe I need to do something different, too."

Personal learning.

The forth question asked what personal learning the individual themselves had experienced through the efforts at becoming more collaborative. The large staff focus group reported the following personal learning:

- o Let go of the resistance,
- o Increased awareness of self, body language
- o "Become a *little* more open minded."
- o Colors activity helped me understand and value different ways of thinking,
- o Greater awareness of office dynamics.

- o "I am from…" co-workers are interesting,
- o "It helped me to have a common language and see who got involved and who didn't."
- o Only that I have also been a victim of time constraints and don't make the efforts I use to.
- o Complete projects of a team.
- o Even though many choose not to participate in this, I can take the high road and try to learn something.
- o Made more self aware

The personal learning that the supervisors reported when asked, included:

- o Less structure has meant more creativity,
- o Less competition has meant more collaboration.
- o Giving people a voice can help them become more comfortable with leadership.
- o It is very painful at times.
- o Don't assume, ask for clarification.

One supervisor talked about her ability to remain less political.

> I think the change in management style has allowed me to – I think for a while I was getting caught up in the sidebar conversations where somebody would say so and so isn't doing this and so and so isn't doing that. And I'll be like, "yeah, I noticed that too. I can't believe that they're not working harder whatever the issue would be." I don't let myself get dragged into that anymore.

Good collaborators.

The final set of questions asked both the staff and supervisor focus groups asked them to look for their models, mentors, and sources of inspiration for collaborative leadership. (1) Do any individuals in the agency come to mind when it comes to creating a more collaborative workplace? (2) What are the qualities they possess that makes them collaborative?

Clara (name changed) was one of the individuals identified as being a model of a good collaborator. They described her as: even tempered, positive, consistence, vocal, empathetic, good listener, practiced at listening for what is behind being said,

transcending her ego, respectful, patient, bilingual, a musician, and a bodyworker. For

her personal collaboration and sustainability project, she created the following design:

> Pay more attention in my personal life to building inspirational ideas and metaphors. Commitment to use the white board on the outside of my booth to post weekly quotations or ideas from my own writing. Intention, to provide positive energy in the unit and to encourage my own writing flow.

The following sample is from the power point slide Clara created for her "I am

from" slide:

> I am from Richard and Beverly and small town Kansas values of hard work, making do, and helping your neighbors.

> I am from an ungroup: a-political, a-religious denominational, a-racial, and a-historical.

> I am from ice cream socials, county fairs, music contests and hometown pride.

> I am from dust storms on the prairie, cold mountain streams in the spring melt-off from the Rockies, and witches' nights of deep booming thunder and lightning cutting the darkness in half.

> I am from beef and potatoes with green beans and corn, catfish and cornbread, and fried pheasant and fresh rhubarb pie in the fall.

> I am from "act appropriately; it reflects on your father," and "if you can't say something nice, don't say anything at all," and "you can't judge a book by its cover."

> I am from priests and nuns and farmers, sprinkled with the charm of a traveling salesman for Swift and Company.

> I am from light and humor and darkness and melancholy, but mostly from feeling God in the power of the wind.

> I am a free spirit dancing in the sky against a backdrop of women working together in the kitchen while men discuss matters of importance in the living room.

The following individuals and their qualities were identified by the focus groups:

- o Marti – Openness, flexibility, consideration, positive personality, competence, takes initiative and has a quiet competence.
- o Ruth and Stacy's job share - Motivated, sharing caseload, very giving attentive to what needs to be done, trust, trying new and creative things.
- o Ruth- willing to do whatever is asked adaptive goes the extra mile, high quality, open to different perspectives.
- o Stacy brings a new fresh upbeat positive attitude optimistic and kind.
- o Teresa's team, Team one - looking out for Terry when she was sick willingness to self-motivate and contribute.
- o Melanie – organized, respectful, listens, provides feedback, liaison between staff and supervisors, very caring, personally invested, asks for feedback and provides feedback regularly, listens open-mindedly, willing to take the risk to make it work, go the extra mile, resilient to critique, organized, "can do" attitude.
- o Patty – collaborative and approachable

These combined responses of the staff and supervisors show a collective focus on the traits of service, kindness and optimism as what they associated with being collaborative.

At this point in the process, the staff began to appear different to me. I observed a greater degree of joking, humor and laughter. The compliments and affirmations were being more easily shared. One example is when participants talked about someone in the room, they would use the first and second person and talk directly, not using the third person as they had been doing previously.

Finally, the climate assessment survey was used a second time, again, as a soft assessment. The intention was to get a more quantifiable sense of where the organization lay in relation to their success in improving their task, process and relationship dimensions in their current organizational behavior.

Task:
Sept =7.6
June = 7.0

Overall:
Sept = 6.6
June = 6.8

Process:
Sept = 6.2
June = 6.5

Relationships:
Sept = = 5.1
June = 6.7
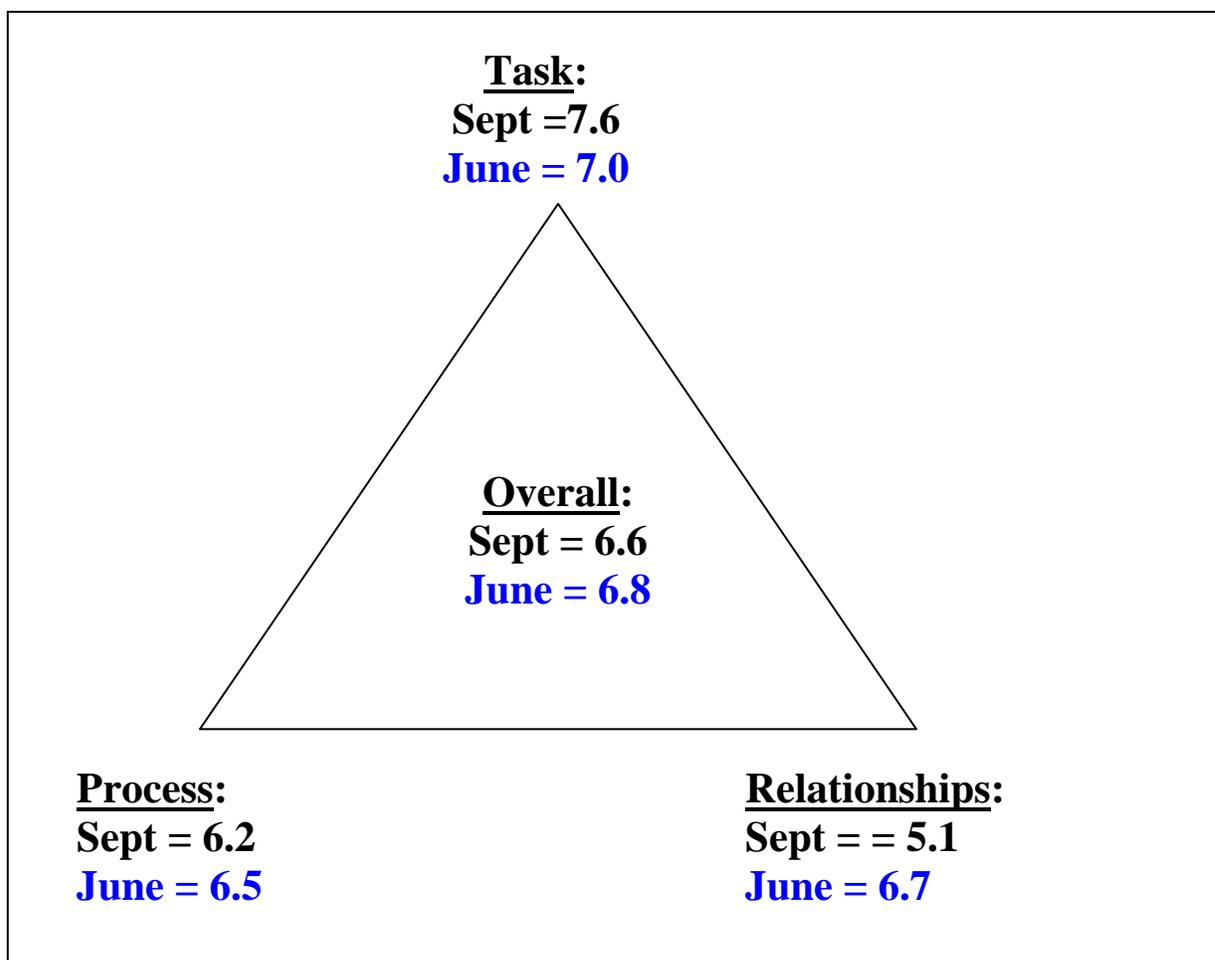
Figure 4.4 ACCSS combined results of climate rating, for both September 10 and 11, 2007 and June 2 and 3, 2008 (1 is low 10 is high).

The results were that task score had dropped a little, and all other three areas had increased, especially the relationships score. The cumulative feedback from the focus groups, the interviews and the surveys pointed to a climatic shift. The process was building momentum, an effort that took some time to unfold. It was six months before the first news came of noticeable and positive changes in behavior. The rate of change seemed to be increasing as trust grew, as does the speed of change. In another six months, the study would benefit from further collection of data, to get a sense of the longer terms results.

Chapter V: Interpretation, Analysis and Discussion

Chapter 5 compares and contrasts findings of theorists from chapter 2 with the findings from my research.   The research question: 'In today's shifting landscape, what practices and conditions will optimize the development of a collaborative working environment?'   I answer the research question by interweaving the findings from the focus groups, interviews, and the research the process, with my experience and the theory presented in the literature review.

I fill the gap in the literature by using bricolage, a method of co-inquiry to co-create both an action learning process and a methodology for developing collaborative leadership skills. The gap in the literature was specifically in regards to how to develop shared and collaborative leadership. This gap includes practical framework and tools for organizations that are in the process of changing their culture and developing collaborative working environments.

After combing and sorting significant themes, the co-inquiry research process with ACCSS generated the following ten significant themes in regards to practices and conditions that optimize the development of a collaborative working environment: (1) on-going learning and continuous development, (2) flexibility, (3) trust, (4) respect/esteem/ positive regard, (5) willingness/commitment, (6) facilitative process and inclusivity (process capability/ tacit knowledge of functional group process establishment of norms, ground rules/agreements), (7) realistic optimism/resiliency/ positive personality/ solution/strength/future focus, (8) communication skills, (9) social intelligence (transcending the ego, ability to self-organize and motivate) and (10) an appropriate level

of technical competence. These themes are paralleled in the works of various significant

researchers from the literature review.
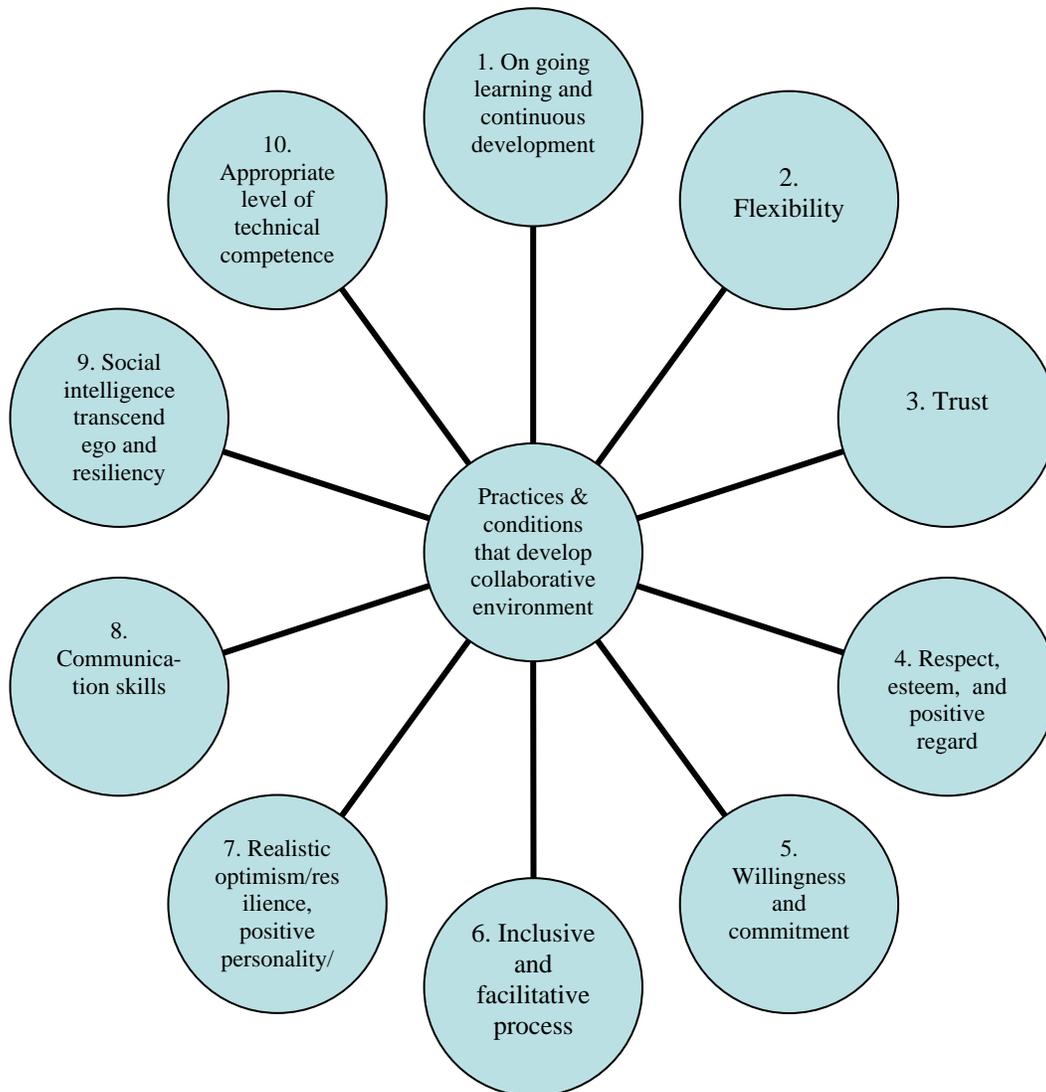
Figure 5.1 The ten significant themes identified through this study with regard to practices and conditions that optimize the development of a collaborative working environment.

Chapter 5 will compare and contrast these themes with those that emerged in

chapter 2. The literature reviewed in chapter 2 explored collaborative and shared

leadership from duos to larger scale collaborative processes. One significant theme

documented an elemental shift in the understanding and enactment of leadership occuring both in the literature and in organizations. ACCSS mirrors the shift of moving from top-down to a more participatory and collaborative approach to organizational leadership.

Identification of reoccurring, relevant and emergent themes came by sorting through the content of the focus groups, our development sessions and the one-on-one interviews, plus naming the clusters of favorable conditions and social competences. These themes coalesced into the models displayed in Figures 5.2, 5.3 and 5.4.

My method was quite simple. I read the interviews and focus group data looking for themes and creating post-it notes with descriptions of the themes. After repeated readings, looking for different themes, the following ten themes emerged with regard to what practices and conditions optimize the development of a collaborative working environment: (1) on going learning and continuous development, (2) flexibility, (3) trust, (4) respect/esteem/ positive regard, (5) willingness/commitment, (6) facilitative process (establishment of norms, ground rules/agreements, inclusivity, process capability/ tacit knowledge of functional group process), (7) realistic optimism/positive personality/ resilience/ solution/strength/future focus, (8) communication skills, (9) social intelligence (ability to transcend the ego and to self-organize and motivate) and (10) an appropriate level of technical competence.

For me it made sense to organize them into conditions and social competencies. Technical competence, social competence and a particular assemblage of favorable conditions were the three major organizing categories that materialized to create a model for how to develop collaborative working environments. Technical competence stood alone, based on individual familiarity, specialization and particular expertise

(Henneman et al., 1995; Sawyer, 2007). The social competencies were many, involving soft skills, such as relational and process skills.
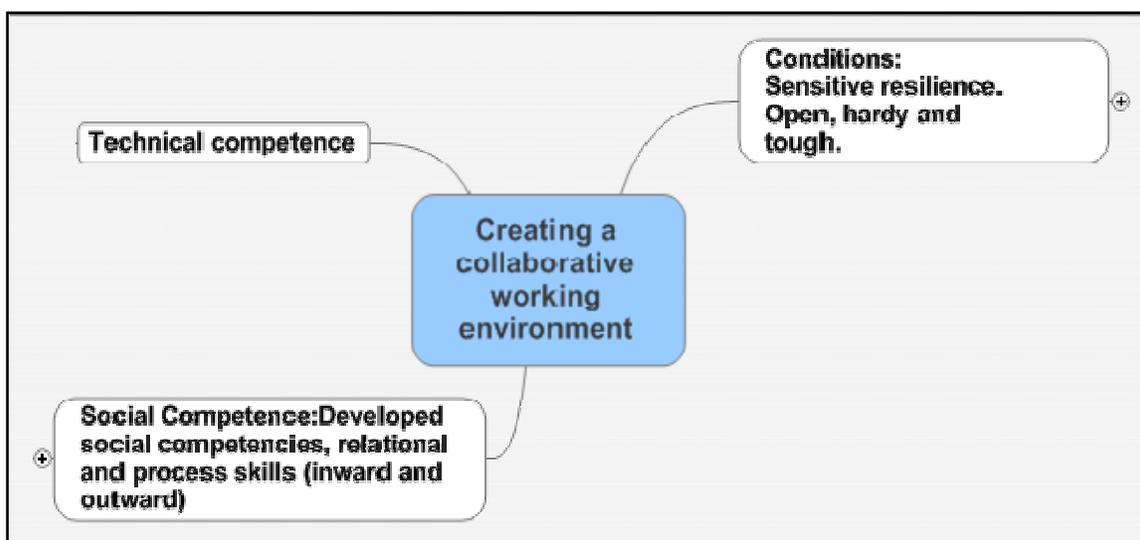
Figure 5.2 The three core dimensions of collaboration.

The social competencies that help in being collaborative require being able to behold two seemingly opposing behaviors in suspension together, acting from a both/and perspective (Pedersen et al., 2008).

For example, simultaneously being assertive and cooperative (Thomas & Kilman, 2002), or supportive and directive (Hersey & Blanchard, 1988). A certain multidimensionality was needed even though this blending could be perceived as paradoxical. Some of the competencies identified through the co-inquiry process pointed to being able to hold two seemingly opposing approaches with an equal yet flexible grasp on both. Collaboration took being able to balance being sensitive and resilient, tender and tough, open and protected, optimistic and realistic, humble and confident, being inclusive while being critical/evaluative

As the capacity to shift perspectives and see two (or more) sides of an issue emerged, an ACCSS supervisor reported:

I've noticed a few people really trying to make an effort to think beyond their own perspective and come at things from a more office-wide point of view. It's happening in kind of very small steps. I still see a lot of people that are – that I think are stuck and it's 'my way or the highway', and 'I'm right and you're wrong' instead of 'we can both be right'. So I still see that. However, overall we're getting there.

Particular conditions of openness accompanied by a hardiness or toughness helped create an atmosphere of sensitive resilience that made collaboration more possible. Conditions included social qualities like: a willingness to change, to be self-reflective, and a willingness to be a continuous learner in continuous development. Other conditions favorable to collaboration included: flexibility; trust; respect; esteem; positive regard; willingness; commitment; establishment of norms, ground rules and agreements; inclusivity, and a facilitated process.
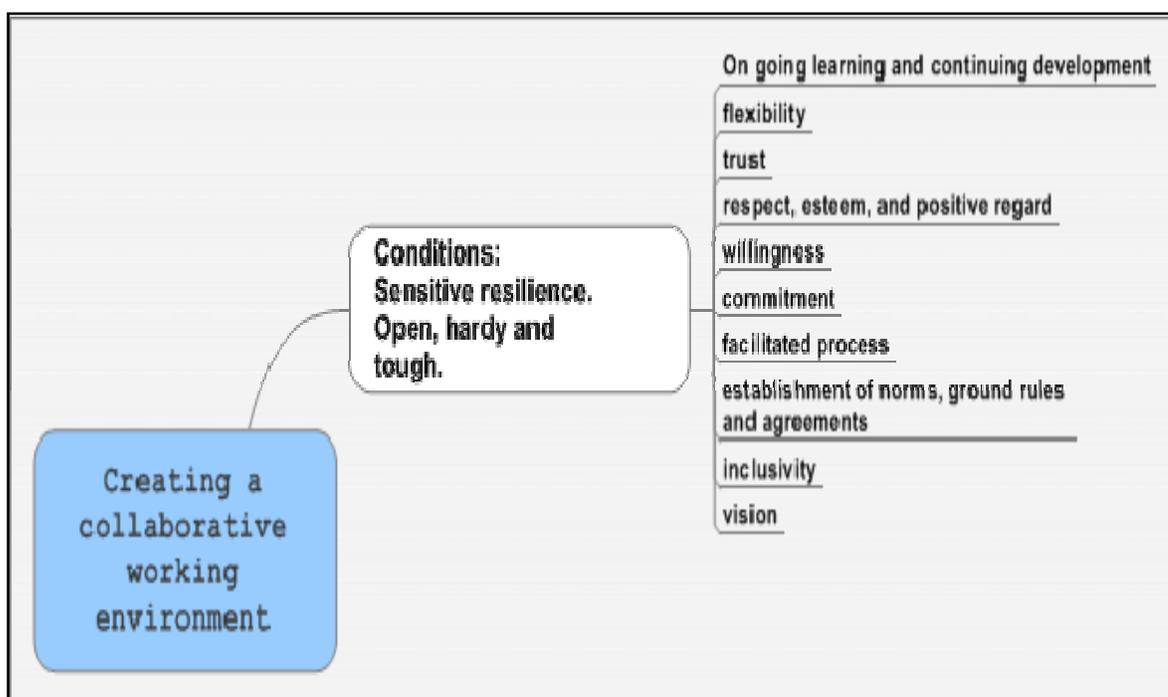

Figure 5.3 A map of the conditions and social competences identified through the OD process as helping in the creation of a collaborative working environment.

Social competencies represented the relational and process skills developed by individual and groups over time. The social competencies represent four

counterbalancing qualities: sensitive resilience, inclusive discernment, facilitative

impatience*, and* constructive optimism.
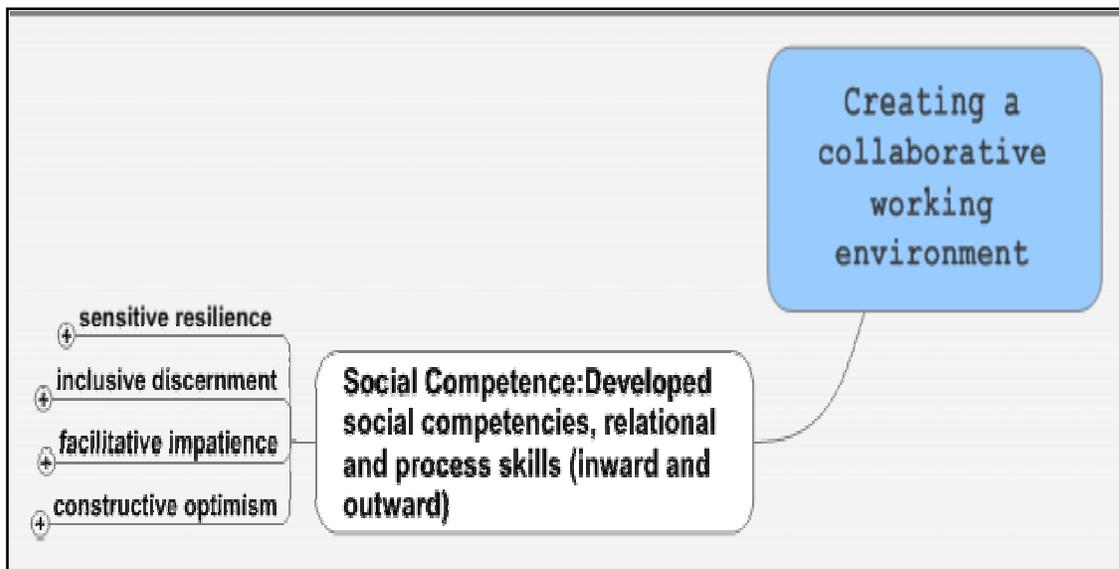
Figure 5.4 A map of social competences identified through the OD process as helping in the creation of a collaborative working environment.

The focus will now turn back to looking at the ten themes that arose and

further connecting and contrasting with the works of different scholars. Again, the

ten themes that emerged from my research were (1) on going learning and

continuous development, (2) flexibility, (3) trust, (4) respect/esteem/ positive

regard, (5) willingness/commitment, (6) facilitative process and inclusivity (process

capability/ tacit knowledge of functional group process establishment of norms,

ground rules/agreements), (7) realistic optimism/resiliency/ positive personality/

solution/strength/future focus, (8) communication skills, (9) social intelligence

(transcending the ego, ability to self-organize and motivate) and (10) an appropriate

level of technical competence.

Theme	Parallel concept	Representative author(s)
1a. Ongoing learning and continuous	Ongoing learning Self-leadership and personal mastery	Fletcher and Kaufer (2003) Pearce and Conger (2003)

development 1b. Personal mastery/know thyself	Continual learning	Austin (2000)
	Know thyself	Heenan and Bennis (1999)
	Fourth and fifth level consciousness	Kegan (1994)
	Presence	Goleman and Senge (2007)
	Go first	Tamm and Luyet (2004)
	Self-mastery	Joyce (2007)
	Model the way	Kouzes and Posner (1995)
	Lead others to lead themselves	Manz and Sims (2001)
	Personal mastery	Senge (1990)
	Self-leadership	Houghton et al. (2002)
2. Flexibility	Perceptual flexibility and recognition of assumptions	Joyce (2007)
	Be open	Tamm and Luyet (2004)
	Inclusive cultural empathy	Pedersen et al. (2008)
	Flexibility and adaptability	Mattessich et al. (2001)
3. Trust	Trust	Tamm and Luyet (2004)
	Mi casa su casa	Bordas (2007)
	Nurture trust	Heenan and Bennis (1999)
	Power and trust	Huxham and Vangen (2000)
	Developing trust	Campbell et al. (1999)
		Mattessich et al. (2001)
	Understanding and trust (received highest rating of twenty factors influencing successful multi-party collaboration)	
4. Respect, esteem and positive regard	Forgive quickly, and keep talking	Tamm and Luyet (2004)
	Mutual respect	Mattessich et al. (2001)
		Bordas (2007)
	Mi casa su casa	
5. Willingness and commitment	Go first, and keep talking	Tamm and Luyet (2004)
	Loyalty and co-leaders	Heenan and Bennis (1999)
	Commitment to the partnership	Austin (2000)
	Compromise, determination, commitment and stamina	Huxham and Vangen (2000)
	Long term commitment to working through frustrations	Campbell et al.(1999)
	Commitment to and creation of vision and relationships	Mattessich et al. (2001)
6a. Facilitative process	Facilitative leadership	Straus (2002)
	Proceed in the collaborative manner releases processes of social and organizational learning	Trist (1973)

	Group psyche	Hooker and Csikszentmihalyi (2003)
	Mi casa su casa	Bordas (2007)
	Power distance, lower is less autocratic	Pearce and Conger (2003)
	Celebrate the enterprise, not celebrity, foster togetherness, cultivate egalitarianism balance power	Heenan and Bennis (1999)
6b. Inclusivity	Maximum stakeholder involvement	Bryson and Crosby (1992)
	Democracy and equality	Huxham and Vangen (2000)
	Equal participation	Sawyer (2007)
	Appropriate cross section of members	Mattessich et al. (2001)
	W*hole system in the room, experience the whole before acting on any part of it...*	Weisbord and Janoff (2000)
	"get everybody improving whole systems"(p.16)	Weisbord (2007)
	Web of inclusion: structured permissiveness, and managed chaos	Helgesen (1995)
6c. Process capability/ tacit knowledge of functional group process establishment of norms, ground rules, agreements	Collaborative intelligence High CQ teams - equality Meaningful participation	Joyce (2007)
	Formulating mutual goals	Campbell et al. (1999)
	Team approach	Henneman et al. (1995)
	Process and structure.	Mattessich et al. (2001)
	Members share a stake in both process and outcome. Multi-layered participation	
7a. Optimism and resiliency	Unusually healthy egos of co-leaders	Heenan and Bennis (1999)
	Resiliency	Joyce (2007)
7b.Positive personality/	Purvey hope	Heenan and Bennis (1999)
	Challenge assumptions	Kouzes and Posner (1995)
	Focus on the future and common ground, not problems and conflicts	Weisbord and Janoff, (2000)
7c.Solution/str ength/future focus	Optimistic not realistic	Bennis and Biederman (1997)
8. Communicatio n skills	Active listening	Joyce (2007)
	Inclusive cultural empathy	Pedersen et al., (2008)
	Open and frequent	Mattessich et al. (2001)
	Close listening and constant communication	Sawyer (2007)
	Listen more talk less	Manz and Sims (2001)

	Communication Communication betw. partners	Huxham and Vangen (2000) Austin (2000)
9a. Social intelligence- 9b.Transcending the ego 9c. Ability to self-organize and motivate	Emotional intelligence Blending egos Subordinate ego to attain a common goal Nonhierarchical relationships Self-manage learning and action planning	Goleman (1996) Sawyer's (2007) Heenan and Bennis (1999) Henneman et al. (1995) Weisbord and Janoff (2000)
10. Appropriate level of technical competence.	Contribution of expertise Familiarity	Henneman et al. (1995) Sawyer (2007)

Table 5.1 Connecting the ten findings from the study with the literature from the literature review.

Pearce and Conger (2003) had identified the following reoccurring themes from the literature about shared leadership: (1) resounding need and a sense of urgency in developing collaborative capacity, (2) delineating vertical from shared leadership (3) leadership is less about a person or single individual and more about a process that is shared, (4) self-leadership and the need for personal mastery (5) lack of agreement on the definition of "shared leadership" signaling the newness of this theory and emerging field of study.

At ACCSS, all felt both need and urgency to develop collaborative capacity. Their initial feedback reflected a clear collective sense that vertical leadership was not working and that the leadership needed to move away from individuals to the group in a shared process. The lack of agreement or lack of an ability to see and understand the workings of a shared leadership process was clearly a deterrent to progress. Without a clear vision of what shared leadership could be, the process was a slow one in the beginning. As Connerley & Pedersen (2005) point out developing the skills come through a progression of developing awareness and knowledge first.

1. Ongoing learning, continuous development and personal mastery.

Greater awareness, knowledge and skill help increase one's personal capacity or personal mastery. Personal mastery and the reticence to commit to personal learning initially slowed the change process. Eventually when participants began to see themselves as needing to be part of the changes, it helped the process reach a tipping point. Many participants initially spent an extended period either in denial or resistant to seeing themselves as part of what needed to change. The process started to take root when the participants began to explore and commit to a process of self-development, self-leadership and personal mastery. Once staff and supervisors saw that change needs to start with the self they realized that all participate knowingly and unknowingly in perpetuating or changing organizational culture. Knowing thyself or self-awareness is a theme echoed by Heenan and Bennis (1999), Kegan (1994), Senge (1990), and Goleman and Senge (2007).

In pointing out the several shifts in how leadership is being conceptualized Fletcher and Kaufer (2003) point out that leadership involves a process of ongoing learning. This is not only on an individual level Senge's models of organizational learning, learning organizations, and systems thinking show how on-going learning needs to be an organization-wide capability. ACCSS employees reached their tipping point for change when enough individuals saw the need to change themselves as well as participate in collective change efforts.

2. Flexibility.

Flexibility and adaptability are qualities that greatly serve the collaborative leader. Heifetz (1999) and Hersey and Blanchard (1988) have been proponents of this situational

or contingency approach to leadership. They view our response as leaders as needing to match the emergent and evolving needs of groups. This requires choosing between varying degrees of supportive and directive leadership.

Joyce (2007) contrasts this approach with his concept of perceptual flexibility, a more internal process of identifying assumptions and being able to empathize with the experience of others. Internal awareness and flexibility are themes echoed by Pedersen et al. (2008) in their Inclusive Cultural Empathy model for multicultural leadership.

When Tamm and Luyet (2004) use the term openness and Mattessich et al. (2001) refer to adaptability and flexibility, they use these words in a common sense approach of staying open-minded and being able to adapt to changing circumstances.

All three uses, the more generic, the contingency theories and the internal process of perceptual flexibility are relevant to creating collaborative leadership. Flexibility requires self-knowledge and a level of readiness or maturity to be able to empathize with or understand the needs of others.

3. Trust.

When Mattessich et al. (2001) completed their meta-analysis of collaboration, they found trust to be the highest rated of the 26 factors in successful collaboration identified by their sources. Many other theorists recognized trust as an important factor to successful collaboration (Tamm & Luyet, 2004; Bordas, 2007; Heenan & Bennis, 1999; Huxham & Vangen, 2000; Campbell et al., 1999).

At ACCSS, trust and respect turned out to be at the core of what would lead to the success or failure of the efforts at creating a more collaborative working environment. These two elements of trust and respect are essential to successful leadership sharing.

4. Respect, esteem and positive regard .

As mentioned in the context of the previous theme, mutual respect between the collaborating parties is a foundational piece found in most thriving collaborations. A breakthrough in my understanding of the dynamics between the two dissenting supervisors came when I asked a third supervisor what she felt was at the root of their protracted and divisive conflict. Her response was that "respect" was lacking, possibly completely nonexistent, between the two parties. Once one of the supervisors was willing to sit down and have a heart-to-heart conversation about what was going on between them, things began to change. Tamm and Luyet (2004) advise to forgive quickly, and to keep talking. Mattessich et al.(2001) name mutual respect a key component identified through their meta-analysis. Without trust, respect, willingness and commitment, there would be little hope for effective shared leadership.

5. Willingness and commitment.

A basic level of willingness to commit to the process of being collaborative is fundamental to developing shared leadership. "Go first, and keep talking" is how Tamm and Luyet (2004) describe this. Heenan and Bennis (1999) use the word "loyalty", where Austin (2000) describes this as a commitment to partnership. Huxham and Vangen (2000) use the words compromise, determination, commitment and stamina. Both Campbell et al. (1999) and Mattessich et al. (2001) identify long-term commitment to working through frustrations and commitment to the process of collaboratively creating the desired vision and relationships.

At ACCSS, willingness and commitment were major hurtles to overcome in helping create positive change. Individuals' willingness to be self-reflective and see how

they might be contributing to the problems was a critical factor in moving forward. The

willingness see oneself as part of what needs to change translated into a commitment to

making those changes. There was a core group of, roughly ten employees who were

willing and committed.   They were pivotal in modeling change and leading the way to a

new, more collaborative organizational culture and climate.

> *6a. Inclusive and facilitative process, tacit knowledge of functional group process and process capability.*

Group processes are an inherent part of leadership and change. I employed a skill set

that was helpful in facilitating group gatherings and interactions. Providing a structured

process through which the group could do its work was important for the success of the

group. I found this to be especially true in the case of this research project. Inclusivity,

inclusive discernment, process capability, and a tacit knowledge of functional group

process are all components of the facilitative skill set I used. Heenan and Bennis (1999)

describe this as celebrating the enterprise, not celebrity, fostering togetherness,

cultivating egalitarianism and balancing power. 'Group psyche' is the name that Hooker

and Csikszentmihalyi (2003) give to the flow state of a high performing group's process.

> *6b. Inclusivity.*

Inclusivity is the ability to bring in the optimal number of constituents. It

involves openness.   This was an activity in which ACCSS participants improved

significantly during the study. Theorists from the literature identify "inclusiveness" as a

key variable for organizational change. At times, they used different terminology:

maximum stakeholder involvement (Bryson & Crosby, 1992), democracy and equality

Huxham & Vangen, 2000), equal participation (Sawyer, 2007), appropriate cross section

of members (Mattessich et al., 2001).

Examples from the literature about full stakeholder involvement include, approaches like Future Search where the design is to have the whole system in the room, and experience the whole before acting on any part of it (Weisbord & Janoff, 2000). "Getting everybody improving whole systems" (Weisbord, 2007, p.16), and approaches like the web of inclusion, structured permissiveness, or managed chaos (Helgesen, 1995).

In the context of collaboration, inclusiveness does not mean completely open-ended or unbounded. Notice the careful wording like 'an appropriate cross section'. Being inclusive requires structure and discernment. The paradoxical nature of being inclusive was highlighted in Helgesen's use of descriptions like 'structured permissiveness' and 'managed chaos'. Being inclusive and discerning is the first of four paradoxical aspects of being collaborative that I discovered in this study. I would like to examine these further. The other three paradoxical aspects of successful collaboration: facilitative impatience, constructive optimism, and sensitive resilience, will be introduced as part of the explanation of the multidimensional nature of collaborative leadership.

Inclusive discernment.

Inclusive discernment involved big picture or systems thinking. Inclusive leaders tend to come from a "we/us" worldview, not the more typical "I/me" paradigm. Inclusive discerners could see both the forest and the trees, possessing relational skills that helped them in sharing leadership Helgesen's "web of inclusion" (1995), Bordas (2007) principle of "mi casa su casa" and Kegan's "fourth and fifth levels of consciousness" can be seen as examples of theorists who recognize the need to be inclusive and discerning.

6c. Process capability, tacit knowledge of functional group process, establishment of norms, ground rules, agreements.

Process capability refers to a collective skill set, a jointly held level of proficiency among the members of a team, group or organization. There was a domino effect in relation to spreading these skills. The process skills could be introduced by an individual or a unit in an organization and then passed along. Eventually they became part of the group's tacit process skills. Joyce (2007) calls this 'collaborative intelligence', 'high CQ teams', and 'meaningful participation'. Other researchers who identified this aptitude in the literature review include Campbell et al.(1999) calling it 'formulating mutual goals', Henneman et al. (1995) used the term 'team approach', Mattessich et al. (2001) called it 'process and structure'. They gave the name 'multi-layered participation', when members shared a stake in both process and outcome.

Several of the ACCSS supervisors recognized that participatory and customized facilitation was a critical component to the success of the project.

Facilitative impatience.

Facilitative impatience was the second paradox of collaborative leadership. It consisted of a blend of three approaches: an eye for process, a 'can do' attitude, and highly developed process skills. The facilitative tools and group methods related to helping groups of people work together effectively. Holding tacit knowledge of functional group process, participatory decision-making, planning and the facilitation of effective meetings was an important skill set in developing a collaborative working environment.

The facilitated process of OD which interwove the gathering of information, presenting of theory and action learning, created a group process that was helpful to those who may not have seen the emerging options or have been comfortable with an iterative group

process. One supervisor expressed her appreciation for the process support from her new

supervisor and from the OD effort.

> Number one, the fact that we've brought you in has forced us to take a
> kinder, more gentle approach with each other.
> Interviewer asks: What has helped you the most in this process?
> I think that most of it has been the combination of you and Lisa coming in
> and setting the example, number one. Not telling us what we have to do – I
> mean you've been – you've told – you've given us tools to use.
> Asked how it's working. Where we want to be. You kind of made us look
> at where we are and how we can get to where we want to be. Okay. And
> you don't use an approach that is: "this is the way it has to be done. This is
> the way it's going to work". I think that you're helping us figure out how to
> solve our own issues. Does that make sense?
> You're not here solving our issues or you're not fixing us. … you're giving
> us a process that even the process we develop. It's those tools that are
> allowing us to develop the process and understanding what collaboration is
> and what you have to do in order to make it work.
>
> You've taken our ideas and all those charts and graphs that you put up there,
> so that we can see the things that we're doing. We're building it. It's ours.
> It's our design. And you're the facilitator of that design … And then when
> you got it up on the board and people could see – oh, I felt the same
> way…Yeah, and it really let people know that they weren't alone in how
> they were feeling and it was a myriad of feelings out there and I just – I
> think that we – this whole process has worked for us because we've been
> developing it. I don't know if it would have succeeded as well with a
> different facilitator. We interviewed different people. We really didn't want
> somebody in there that was going to be – that had a preconceived formula.
> We wanted somebody in here that could come in and look at us as an
> individual organization and could meet our needs.   And with all our
> dysfunction. So I think developing the tools to extract that information to
> make that plan is probably critical to success.
> These observations point to a level of group or facilitative intelligence. Having

individuals who know options for participatory group processes, and who will lead, track

and speak to where the group is in its evolving process was quite helpful. Joyce (2007)

calls groups that are able to use facilitative intelligence 'high CQ teams' - CQ means

collaborative intelligence - and he stresses that a high CQ team displays a strong sense of

meaningful participation, through which the members are all nourished.

7. Realistic optimism, positive personality, resilience, solution/strength/future focus.

The ability to be optimistic has often been cited as a critical quality for leaders to possess. Optimism is significant in promoting collaborative cultures. Heenan and Bennis (1999) in their study of co-leaders cite purveying hope and unusually healthy egos of optimistic co-leaders. Joyce (2007) returned repeatedly to the importance of resiliency. Other researchers who identified optimism as a factor for success in collaboration include Weisbord & Janoff (2000) who recommended in their process of future search, that the focus be on the future and common ground, not problems and conflicts. Bennis and Biederman (1997) refer to this as being optimistic and not realistic.

My experience in the findings differed. I found that a certain level of realism was important; a realism that saw room for improvement. I found that optimism mixed with a constructivist approach fit nicely. Counterbalancing and paradoxical by nature, constructive optimism proved to be a good combination.

Constructive optimism.

Constructive optimists see the world as a place that is constantly evolving and that can be beneficially transformed or changed. Qualities of the constructive optimist include a positive personality, a person who tends to have a focus on strengths, solutions and the future when it comes to problem solving. Using inquiry, especially appreciative inquiry, was characteristic of this approach. This was done by asking what works well or would work, instead of focusing - as is typical - on the problems, weaknesses, negativity or the past.

8. Communication skills.

Skilled communication was a reoccurring theme in the literature review (Huxham & Vangen, 2000; Austin, 2000; Pedersen et al., 2008), and the findings of the study. In the literature, Mattessich et al. (2001) called for open and frequent communication, Sawyer (2007) identified close listening and constant communication as important, Manz and Sims (2001) said to listen more and talk less.

The feedback from the participants highlighted how important listening skills were for successful collaboration. Communication skills were an important skill set for the constructive optimist. He or she as a communicative observer, was able to adeptly listen to the needs of others, collect pertinent information, then authentically and effectively address difficult issues providing insightful feedback. Using assertive communication methods, the constructive optimist sought out those who were directly involved, practicing active listening skills in gathering objective data. Constructive optimists were skilled orators, able to provide a vision or picture of the collective goal. The practice of constructive qualities aided participants in their ability to self-organize, and engage in ongoing learning.

9. Social intelligence and the ability to transcend ego and self-organize and motivate.

Goleman's *Emotional intelligence* (1995) identified the importance of self-awareness and awareness of others, both in terms of recognition of emotions and our response. The emotional outbursts and moodiness expressed at ACCSS meetings were initially difficult obstacles to overcome. Presenting Goleman's model helped create some parameters around what was considered professional and what was not.

One key factor that emerged with regard to emotional or social intelligence was that sharing leadership required transcending one's own egoistic mindset. Sawyer (2007) calls this "blending egos". Heenan and Bennis (1999) say that subordinating the ego to attain a common goal is a fundamental quality common among their 'great groups'. Henneman et al. (1995) talk about nonhierarchical relationships, Weisbord & Janoff (2000) refer to this as self-managed learning and action planning.

Sensitive resilience.

Sensitive resilience, as mentioned earlier, is a combination of being mentally open and at the same time having a high level of mental toughness. Sensitive resilience describes the mix of social sensitivity and empathy with the ability to withstand constant negativity and/or stand up and be strong/self-motivated when under stress. One who can observe their own reactions and recognize their moods, who has reached a level of personal mastery where they can transcend their ego and are able to shift between multiple perspectives by reframing how they see things. Sensitive resilience is tough yet soft. It enables one to recognize assumptions yet remain aware of underlying guiding models that could limit or enhance one's perspective, Attitudes like 'everyone else must change except me' hampered and stalled efforts at collaboration. Resiliency overcame the resistance to change, making possible the overall success of the project.

10. Appropriate level of technical competence.

The final theme my research identified was a stand-alone theme. *An appropriate level of technical competence* is needed for successful collaborations to develop. Henneman et al. (1995) call this 'contribution of expertise' and Sawyer (2007) uses the

term 'familiarity'. The skill set needed would be the hard or technical skills possessed in

a group or team's functions and purpose.
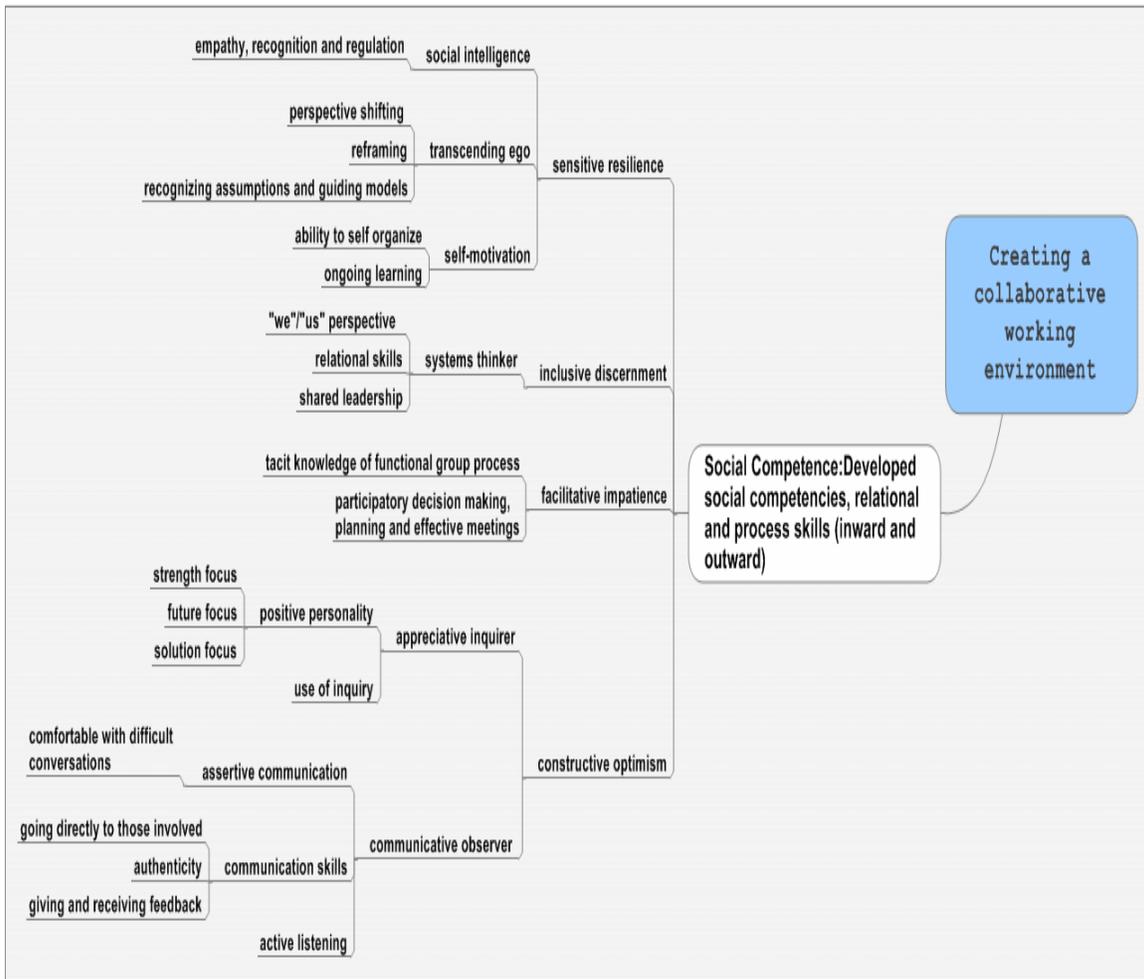
Figure 5.5 An extended mind map, focused on the social competencies that are effective in creating a collaborative working environment.

**Technical
Competence**

**Social
Competence**

Conditions
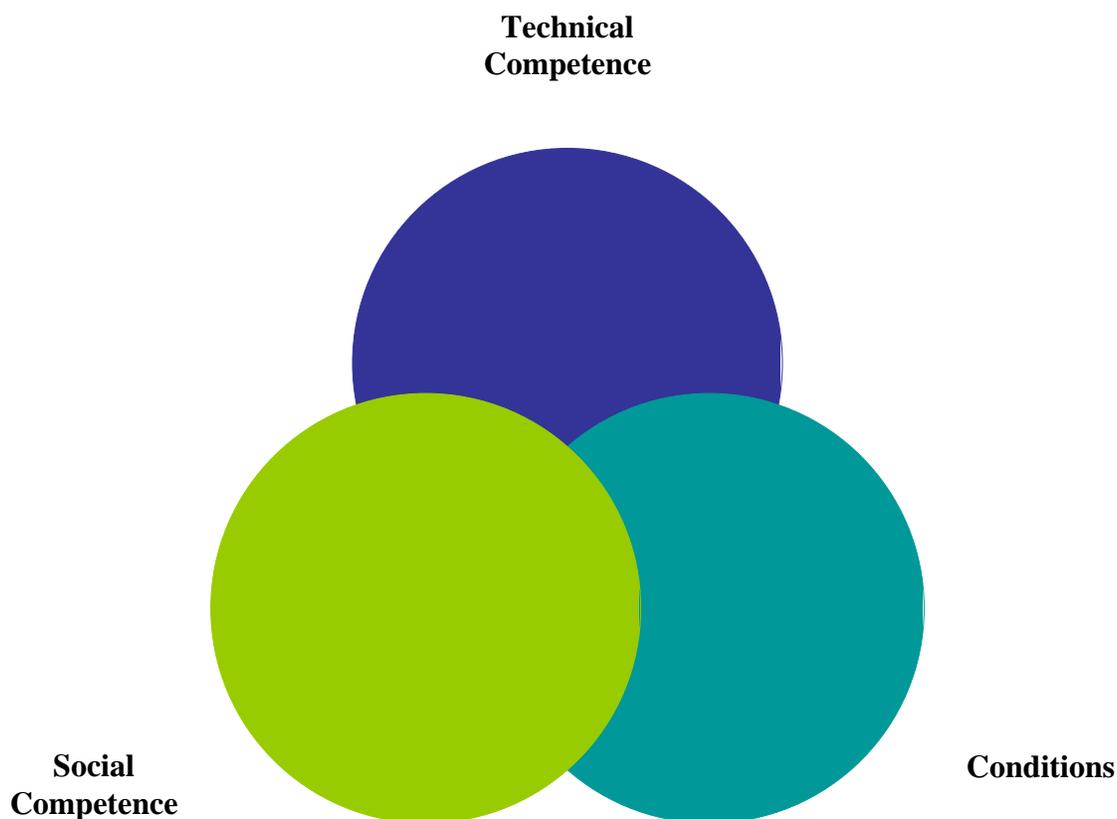
Figure 5.6 Finding flow, shared leadership and creating collaborative environments.
Flow is the middle area of triple overlap.

In our process of creating developmental tools and action learning

progressions, as the facilitator and as a bricoleur I drew many of my conceptual and

theoretical pieces from works covered in the literature review. I was able to pick

parts from the six different categories ranging from smaller to larger forms of

shared leadership. (1) co-leadership, (2) emergent leadership (cooperation in self-

organized groups of 4-10 individuals), (3) shared leadership in groups of roughly 10

individuals, (4) inter-organizational collaboration, alliances and partnerships and

lastly (5) the larger group forms of shared leadership of 40 or more individuals (6) virtual collaboration involving thousands of individuals.

Including the last category, virtual collaboration, I drew from much of the material I had assembled in creating the literature review. I experimented with and applied to the research many concepts from the models of collaborative leadership processes presented in the literature review. Because I was working on a variety of levels in the organization, I drew from all the forms, scales and models of collaborative and shared leadership. For example, when I was working with individuals I drew from the scholarship about co-leadership. When working with the supervisors' team, I used the material for emergent, shared and inter-organizational collaboration. When I was working with the whole organization of 60 employees, then I drew from the authors and techniques related to larger group forms of shared leadership and collaboration.

Virtual collaboration

I would like to focus briefly on virtual collaboration. Although I used it in the form of a communication and as an information gathering tool, I thought virtual forms of collaboration were something I would have utilized more in the scope of this project. What I found was that the wiki I created for shared and collaborative leadership needed more attention than I could give. For the wiki to be successful it needed more time than I was able to give at that moment. I did not get an initial group of four to six passionate scholars to help kick-off the first phase and build a database from which to generate further interest and participation.

Another reason that virtual collaboration was not one of the stronger components of the change process was due to uncertainty about all staff

communications from my contact person at ACCSS. Typically, I sent a follow-up email asking the participants to engage in a particular activity during the interim period between trainings. Very few of these emails were passed along to the employees in a timely or effective manner. For example, the personal collaboration and sustainability project was an action-learning piece that I introduced during a development session. Immediately after that session, I sent out a follow-up email with a detailed description of the expectations and examples of possible projects. This was not passed along until I called in to check, several days before the next session. The virtual aspect was under utilized in this particular project. In the future, I will look for direct ways to communicate with the entire staff and try to eliminate the middle person. I feel that my connection with the entire organization was one step removed and thus compromised when my follow-up communications were not passed along in a timely manner. The email process could have benefited from greater transparency; for example, being able to see if the message I sent had been received, read and passed along. On a practical side, although there is software that will perform these functions, I could also have been better at double-checking on what I had hoped was happening with my electronic communications.

Time spent attempting to collaborate in the realm of the World Wide Web did prove fruitful on one account; I established a relationship with Stephan Joyce, the author of the 2007 book *Teaching an anthill to fetch: Collaborative intelligence at work.* We spent time chatting through Skype, exchanging information, ideas and resources. His work was parallel to mine, and he modeled effective use of the web.

We continue to exchange links, updates and our progress through twitter.com and other social networking sites like linked-in.com.

The study findings point to collaboration as a meta-skill, a highly developed set of skills and competencies requiring expertise in task, process and relational dimensions. Because of the model's multidimensional qualities such as being sensitive and resilient, collaboration is a complex, delicate and subtle art that is often taken for granted. Because of the high level of cooperative behavior needed to collaborate, those who have developed this skill may not fight for recognition or reward. This may help explain why shared and collaborative leadership is over looked or not even noticed. If those who collaborate are highly cooperative while being highly assertive, it seems that the other styles of competing, compromising, avoiding or accommodating would not be assertive in recognizing the contributions of a collaborative approach. In addition, those who like to compete may be highly assertive, but toward their own ends; thus they would be unlikely to recognize the strengths of a collaborative approach.

Development of collaborative skills comes from building greater awareness, competence and a focus on enhancing certain key climatic conditions like respect, willingness, commitment and trust. Kegan's (1994) five orders of consciousness provide a model that helps when he elaborates on the four paradoxical competencies of the collaborative leader. Kegan presents five orders of consciousness that people can attain or possess. The first and second stages typically happen during childhood and adolescence. The third and fourth are reached during adulthood. The fifth can be reached as early as the forties, and remains unreachable for most. Collaboration requires that one achieve the fourth and fifth level of consciousness.

Sensitive resilience, inclusive discernment, facilitative impatience, *and* constructive optimism all require a certain degree of fourth order consciousness. Fifth level or "post-modern" thinkers have an ability to stretch or flex along a seamless paradoxical continuum (Kegan, 1994, p. 10). Hersey and Blanchard's (1988) situational leadership model, helps leaders master the simultaneous use and interplay of two different leadership modes providing both direction and support, not just one or the other. The adaptive and emerging qualities of the "both/and" paradigm (Pedersen et al., 2008) seems central to successful collaboration and shared leadership.

Other theorists who point out the higher level of behavior required for collaboration are Thomas and Kilman (2002). In their conflict styles indicator they identify five conflict styles: (1) competing, (2) collaborating, (3) compromising, (4) accommodating and (5) avoiding. Each requires varying degrees of cooperative and assertive approached. These behaviors could be perceived as conflicting ones, yet in the Thomas-Kilman model they are used mutually, but to different degrees. As shown in Figure 5.7, collaboration demands the highest degrees of both cooperation and assertiveness.
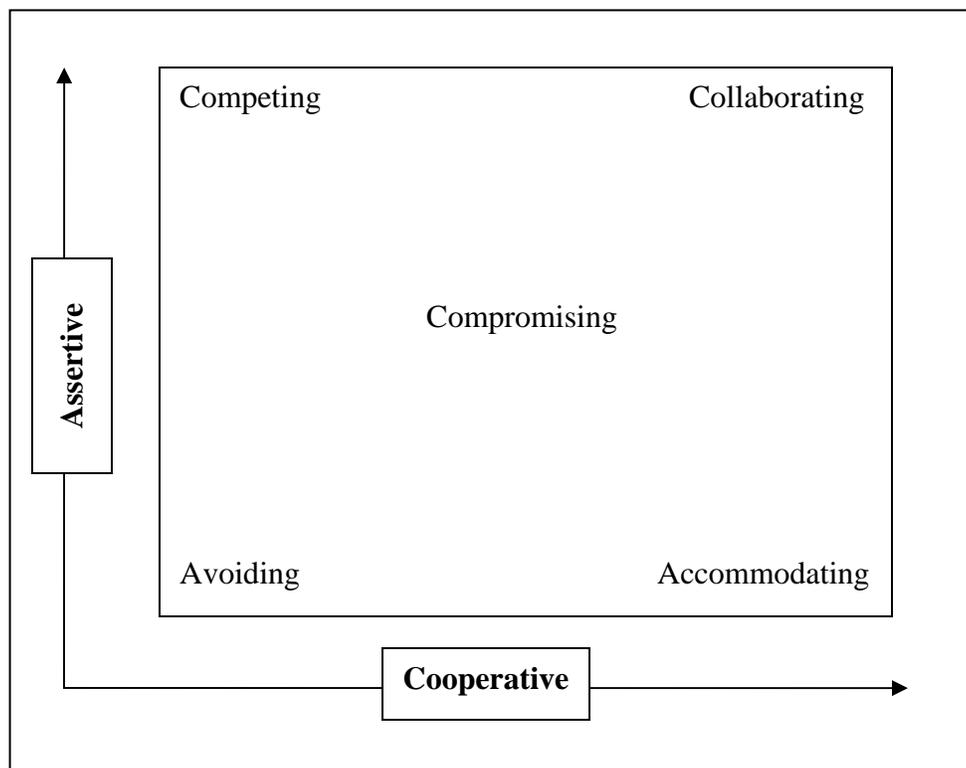
Figure 5.7 Thomas-Kilman conflict styles model, showing collaboration as needing the highest levels of assertive and cooperative behavior.

Finally, it is important to note, in regard to leadership and change, the paradoxical nature of certain dimensions of shared leadership. These paradoxes proved to be problematic when I was in the process of trying promote a more collaborative working environment. For example, Fletcher and Kaufer point to the three paradoxes identified in the process of changing to emerging models of shared leadership: (1) hierarchical leaders being the ones charged with creating less hierarchical organizations; (2) shared leadership practices getting "disappeared"; and (3) using skills to get the job done that were different from the skills it took to do the job; or the "that's not how I got here" paradox (2003, p.26). These paradoxes were a major part of the challenge at ACCSS as I tried to facilitate the creation of a collaborative organizational culture. Speaking of the first and third paradoxes, one supervisor noted, "We were broken. We needed to get fixed. I kept

saying, "If we don't fix us, we're not going to be able to fix anybody else." Another in a separate interview noted that,

> in retrospect I think maybe doing work with the management group first would've been more helpful for" buy-in" from the staff. And that was set – it was set up the way it was because that's what we asked of your, was a group to do the entire organization first.

Initially the supervisors' team lacked relational and process skills. They needed new models, knowledge and agreements as to how they would become more collaborative. A focus on the development of readiness by the power-holders and decision-makers of the organizations was well spent. At the same time, I felt that efforts to develop leadership readiness and expand collaborative practices were well aimed at all levels of the organization. The development of shared leadership skills in the upper levels of the organization were essential in leveraging a more probable and expedient change. However, if only the top received the attention, the top-down mentality would have lived on and continued to have been reinforced. For the process to have been more holistic and able to bring about comprehensive changes, the process would have needed to be one of distributed and inclusive development on all levels.

The political realities of facilitating OD work were always present. It is beyond the scope of this particular study to address political leadership and facilitation in any depth. However, I want to emphasize its importance in encouraging, designing, and implementing the both/and strategies suggested in this study. One of the most prominent scholars in the area of political leadership is Charles Taylor. Taylor (1991, 2007) has been concerned about the complexities of modernity, the dilemmas in preventing fragmentation in contemporary society, and the difficulties of fully expressing our humanity in the highly complex and technological societies in which we live.

Taylor focuses on "the common good," (2007, p. 713) and the many considerations by enacting governments, organizations, and societies that authentically support such a concept. One of the concepts most relevant to my study is the concept he borrowed and developed from Benedict Anderson called "imagined communities". I work in such communities as an OD practitioner. I asked my participants to imagine something good, something better.

Taylor writes: "We might say that they (imagined communities) have a particular kind of social imaginary , that is, socially shared ways in which social spaces are imagined" (2007, p. 713). And in modernity, he suggests that now: " There is the shift from hierarchical, mediated-access societies to horizontal, greater trans-local entities-- nations, states, churches--as grounded in something other, something higher, than common action in secular time" (2007, p. 713). Taylor recommends creating "spaces" in which such a horizontal social imaginary could occur.

To me the similarities between shared leadership or collaborative leadership, according to Taylor, are significant. The kind of political leadership needed to support my findings in this study were ones that intentionally created such a space.

As for critiques, Locke's (2003) critique--that the old paradigm would be very hard to change--turned out to be true in this study. There were formidable challenges and obstacles to overcome, such as: (1) lack of knowledge, skills, and abilities necessary for practicing shared leadership; (2) lack of goal alignment among members of the team; (3) lack of goal alignment between the team and the organization; (4) lack of time to develop shared leadership; and (5) lack of receptivity to the notion of shared leadership (2003, p. 299). Prioritizing processing, building knowledge and skill bases while raising the level

of willingness, alignment, and commitment would play an important role in helping to

overcome Locke's concerns (it is hard to bring about change where patterns of behavior

were deeply engrained.) In the words of one of the supervisors, he/she observed that the

group appeared to be changing,

> It's really incredible. It's really nice to see the momentum start to shift and
> all the positive things that after some of this long and sometimes very
> painful process, that we're finally seeing momentum shift. There's a lot of
> people there who are doing some really great things and who are really
> changing dramatically, and that's really exciting!

Chapter VI: Implications for Leadership and Change

A fuller understanding of shared and collaborative leadership holds great promise for continued discovery. Suggestions for further research include a focus on whole systems strategies that work on distributed and interdependent levels. Further study could also include exploring the developmental issues of readiness. The question of how leaders best grow their relational skill set, one needed in creating collaborative working environments needs more answers. More case studies would be helpful in building a developmental model. This model could track the cognitive changes and the shift in behaviors corresponding to learning competencies such as: social intelligence, multicultural thinking, postmodern thinking, self-talk in creating the capacity for collaborative leadership.

The complexity and highly developed nature of the process of shared and collaborative leadership makes this phenomenon difficult to study in isolation. There is a need for more action learning tools, along with innovative methods of collective inquiry and growth-in-connection. Caution must be taken should reductionistic techniques of study focus on the trees and fail to understand the integrated process of the forest ecosystem. Methods that attempt to simplify or narrow any particular element in collaborative practice, may fail to notice the interplay between broad ranging and multidimensional competencies and conditions required. From the ten part model that was presented in Chapter 5, one can see that it is in the complex interplay of many different variables that we can observe the dimensionality of "creating a collaborative working environment. A better understanding of these complex relationships will be helpful in the future study of shared leadership. The enigmatic nature some of these

qualities will require greater innovation, creativity and adaptability using mixed genre research methods. This study used bricolage, which is a start.

An area of potential future research that holds great intrigue and appeal for me personally involves the study of the everyday practices of exceptional collaborators or teams and organizations that share leadership successfully.

Personal learning and vision for the future

To my surprise, resiliency turned out to be a key capability, not just in the participants' process, but also in my own process. I needed to be resilient by moving through the negativity. At times I felt under attack while in my role as facilitator. My role was mixed as a consultant and outside agent in a process of organizational change. My intension was to both study and be part of the problem solving. Is this another paradox, being both a student of change and a facilitator of a planned process of change?

A second intention of mine was to provide a process that could be co-creative. Although the data came from the participants, the delivery of the trainings came from me. This model, with me as the trainer, made a true, full co-creation impossible. Many were resistant when they realized they were seen as part of what needed to be changed. Therefore, it was a challenge to get initial commitment and movement. The participants were waiting for others to change, not seeing themselves as part of what needed changing. This meant that the movement toward a more collaborative environment was initially very slow and uncertain.

Another balance point I faced was in finding the appropriate level of anonymity when it came to telling the story. I had initially envisioned myself as shadowing some of the supervisors and getting more behind the scene in their workplace. Due to the nature

of their work and because I knew that eventually this document would be publicly available, confidentiality became a concern. In painting a portrait of the organization, I wanted to be careful to protect those involved. I took care such that if and when individuals in the organization should read the study, the contents disclosed would not create difficulties for them.

I experienced a level of toxicity in the environment when I entered the system. This made my own resiliency paramount. The several times I faced angry individuals or looked out on a group of hopeless and frustrated faces. There was the awkward first development session inside the prison building. I often battled with insomnia during my nights before trainings and would be mentally, emotionally and physically exhausted at the end of the sessions. Eventually the faces grew brighter as changes began to take place.

Another important learning for me in the process of research was the reaffirmation that leadership is an inherently relational process. For me as a facilitative leader of change efforts, the quality of my relationships is very important. The moments were I felt I might put the project in jeopardy were the ones where my own ego or shortcomings in emotional intelligence might have derailed the process. The adversarial atmosphere that I encountered initially was one that set up some antagonistic interactions. These interactions took place in the presence of the entire training group. Thus, my ability to be relational, honor the individuals and the connections that I had with them was critical. Trying my best to be an ally and not another adversary in those moments of scrutiny was important for the tone I wanted to set. It was important for me to stay out of power struggles and remain neutral as a facilitator of process and learning. There were

moments when I needed to set boundaries, but in a non-adversarial way. To build trust, every relationship mattered. The negative moments with disgruntled employees took their toll on my psyche and perceived trust-ability. Resilience and optimism also proved to be important attributes for me in this process, I believe that they will continue to be so for future collaborative leaders.

The development of a collaborative working environment can be optimized through the careful cultivation of the ten themes that emerged through this study: (1) on going learning and continuous development, (2) flexibility, (3) trust, (4) respect/esteem/ positive regard, (5) willingness/commitment, (6) facilitative process (establishment of norms, ground rules/agreements, inclusivity, process capability/ tacit knowledge of functional group process), (7) realistic optimism/positive personality/ resilience/ solution/strength/future focus, (8) communication skills, (9) social intelligence (ability to transcend the ego and to self-organize and motivate) and (10) an appropriate level of technical competence.

APPENDIX

Appendix A

A mind map for creating collaborative leadership.

Creating a collaborative working environment

Conditions:
Sensitive resilience.
Open, hardy and tough.

- On going learning, continuous development
- flexibility
- trust
- respect, esteem, and positive regard
- willingness
- commitment
- facilitated process
- establishment of norms, ground rules and agreements
- inclusivity
- counter balanced by conflict and individuality
- Collective individualism?

Technical competence

Social Competence: Developed social competencies, relational and process skills (inward and outward)

- sensitive resilience
  - social intelligence
    - empathy, recognition and regulation
    - perspective shifting
      - reframing
      - recognizing assumptions and guiding models
    - transcending ego
  - ability to self organize
    - self-motivation
    - ongoing learning
- inclusive discernment
  - "we" "us" perspective
    - relational skills
    - shared leadership
  - systems thinker
- facilitative importance
  - tacit knowledge of functional group process
  - participatory decision making, planning and effective meetings
- constructive optimism
  - appreciative inquirer
    - positive personality
      - strength focus
      - future focus
      - solution focus
    - use of inquiry
  - communicative observer
    - assertive communication
      - comfortable with difficult conversations
      - going directly to those involved
    - communication skills
      - authenticity
      - giving and receiving feedback
      - active listening

Appendix B

Informed Consent From

Antioch University
PhD in Leadership & Change
INSTITUTIONAL REVIEW BOARD
Human Participant Research Review
Informed Consent Statement

I am participating in a research project at the graduate school of Antioch University. One of the primary purposes of this project is to learn about the development of collaborative and shared leadership.

Study overview: This study will focus upon organizations that are trying to create more collaborative working environments. Voluntary participants representing members of the organization will be asked to either participate in individual interviews and/or focus groups. All transcript documentation will be reviewed by participants. Research will be collected during two interview periods one at the beginning of the research and the second at the end of the research, in March and June of 2008.

I understand there is a minimal risk that I will share confidential information from the focus discussion groups and individual interviews.   This risk will be minimized by
1. my review of the transcript checking for accuracy or misunderstandings;
2. the confidential handling of focus group and individual information;
3. the removal of my name or my organization's name prior to publishing the final report; and
4. by the destruction of all electronic recording and transcripts at the completion of the project.

I am aware that my opinions may be utilized for research purposes, but that I will not be identified by name in the final written document.

I understand the research findings may benefit future organizations engaged in the development of shared and collaborative leadership by increasing their understanding and sense of options for developing greater collaboration at work.

I understand my participation is voluntary and I may discontinue participation at any time. I have the right to express my concerns and complaints to the University Committee on Research Involving Human Participants at Antioch University (Dr. Carolyn Kenny, Chair, Institutional Review Board, Ph.D. in Leadership and Change, Antioch University,ckenny@phd.antioch.edu, Tel. 805-565-7535).

This project requires the collection of data from organized focus groups, individual interviews and action learning activities.

No first or last names will appear on any materials that are collected. Conversations will serve as an iterative form of the process. The form below will be used to document your permission for the use of these materials.

I understand if I have any additional questions regarding my rights as a research participant, I can contact the investigator ,Jonathan "Joc" Clark or his advisor, Dr. Carolyn Kenny, Professor of Human Development and Indigenous Studies, Antioch University (ckenny@phd.antioch.edu, 805-565-7535).

Sincerely,

Jonathan "Joc" Clark

Consent Slip

Your Name: _____

Business Address:_____
(School)

                                     _____

e-mail   _____

Name of project: **Organizational Development for Humanities Support Teacher**
                                 Urbana City Schools
                                 Urbana, Ohio 43078

     ___ **I DO** give permission to you to include my contributions from the focus groups in the project. No names will be used.

     ___**I DO NOT** give permission to use my contributions from the focus groups.

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