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EXPANDING LEADER CAPABILITY:  
AN EXPLORATORY STUDY OF THE EFFECT OF  
DAILY PRACTICES FOR LEADER DEVELOPMENT

SIMON RAKOFF

A DISSERTATION

Submitted to the Ph.D. in Leadership & Change Program  
of Antioch University  
in partial fulfillment  
of the requirements for the degree of  
Doctor of Philosophy

January, 2010

This is to certify that the dissertation entitled:

EXPANDING LEADER CAPABILITY:  
AN EXPLORATORY STUDY OF THE EFFECT OF DAILY PRACTICES FOR LEADER  
DEVELOPMENT

prepared by

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is approved in partial fulfillment of the requirements for the degree of Doctor of  
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## **Dedication**

This work is dedicated to those who continually strive to improve themselves.

Your curiosity, courage, and commitment inspire me.

## **Acknowledgements**

This study on individual leader development, and the resulting dissertation, were completed through the dedication, commitment, patience, and love of many people.

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## **Abstract**

Leadership is, at its essence, an influence relationship between people. Leaders are often thought of as those who are able to influence people to take actions oriented toward achieving specific goals and objectives. While many books have been written, and myriad scholarly research studies conducted enumerating countless personal characteristics, qualities, and skills of the exemplary leader, little has been done to understand and convey the ways in which an individual might go about cultivating these virtues; which are often said to include charisma, empathy, communication skills, and others. Through a multiple single-subject design, this research examines the individual-level effect of a set of somatic daily practices for leader development—techniques integrated into everyday activities such as walking, sitting, and driving a car—based on the underlying principles of the Japanese art of aikido. The daily practices were designed to address 3 abilities at the individual level that are believed to be important to the leadership relationship: (a) focusing and sustaining the focus of attention, (b) establishing and maintaining genuine connections to other people, and (c) reducing and minimizing tension and stress. These 3 abilities function as facilitators of the individual skills, characteristics, and qualities that are thought to contribute to leader capability. Five study participants were taught the daily practices for leader development. Participants were asked to apply the practices as often as possible during the 12-week study period. They met with the researcher for 1 hour each week to review the practices and share their experiences implementing them. The Center for Creative Leadership's Benchmarks 360-Degree Leader Assessment Inventory was used to measure leader ability before and after. Participants provided weekly self-assessments of attention, connection, and tension/stress. All 5 leaders made measurable improvements in one or more of the 3 ability areas of attention,

connection, and tension/stress. Both the self-assessment data from the study participants and, in some cases, the external 360-degree assessment rating data from peers, superiors, and direct reports, showed meaningful improvement over the 12-week period. The findings indicated that, in a relatively short period of time, individual leaders can make dramatic changes in deeply habituated leadership-related behaviors. The electronic version of this dissertation is at OhioLink ETD Center, [www.ohiolink.edu/etd](http://www.ohiolink.edu/etd).



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## **Chapter I: Introduction**

### **Overview of the Study**

This study focuses specifically on leader development—that is, on the question of how an individual can cultivate skills, characteristics, and abilities that are fundamental to engaging in positive leadership relationships. Underlying this study is the belief that leaders can develop specific abilities that make effective relationships and interactions possible. Conversely, the absence of these abilities may result in diminished leader capability.

The individual leader is distinct and different from leadership. Likewise, leader development is distinct and different from leadership development. McCauley and Van Velsor (2004) of the Center for Creative Leadership defined leader development as the “expansion of a person’s capacity to be effective in leadership roles and processes” (p. 2). They positioned leader development as a uniquely individual process. This distinction is corroborated by Bass and Riggio (2006), who explained “leader development focuses on the enhancement of the individual leader, whereas leadership development looks at how the leaders and followers—the group or organization as a whole—can develop shared leadership capacity” (p. 142).

The distinction between leadership development and leader development is fundamental to this study, as the primary questions being asked through the study are specifically focused on the way in which an individual can enhance their capacity to engage in leadership relationships. Further, the study methodology includes the application of very specific individual practices, and the analysis of the effects of those practices on leader

capability, as evaluated through self-reporting and 360-degree evaluation, which incorporates feedback from colleagues, peers, managers, and direct reports.

The focus on practicing as an approach to leader development is an important distinguishing feature of the study. While the approach to leader development applied and tested in this study is practice-based, the study is not intended to make comparisons to, or judgments of, the efficacy of any approaches to leader development, save for the one applied here. The practices for leader development outlined in the current study may, however, serve as useful ones for future research where the comparative efficacy of a variety of leader development approaches could be examined.

Additionally, and importantly, the focus of this study on practice-based approaches to leader development is not intended to minimize the impact, or the import, of individual level skills, traits, and characteristics on leader capability and perceived leader capability. To the contrary, skills, traits, and characteristics (and the perception of these) have been shown to be meaningful in the leadership relationship (Avolio & Yammarino, 2002; Gardner, Csikszentmihalyi, & Damon, 2001; Greenleaf, 1977; Kouzes & Posner, 2002).

Rather than dismiss these skills, traits, and characteristics, the current study acknowledges them as meaningful, and frames them as things that can be cultivated through practice as opposed to things that one either has or does not have naturally (the born leader) or that one somehow gets through short term participation in training (the sudden leader). Practice-based approaches to leader development result in the *cultivated leader*. As the word implies through its agricultural roots (pun intended), cultivating the skills, characteristics, and

abilities that support leadership is not an event, but a process that happens over time (Parks, 2005) and requires patience, persistence, caring, and commitment.

### **Purpose of the Study**

The purpose of this study is twofold. Primarily, it examines the effect and efficacy of a specific set of daily practices on individual leader capability. In doing so, an important issue in the leadership field is examined—how individuals become better leaders. This obvious, but scarcely investigated question contributes to the significant gap between leadership theory and practice. Creating deeper understanding of the ways in which individuals go about transforming themselves into more effective leaders is critical in bridging the theory-practice gap, and in expanding both individual leader capability and leadership capability at the organizational level.

Secondarily, the study is intended to create a foundational basis for future inquiry into individual leader development through daily practice. This basis is created by providing a set of established practices that can be applied in a variety of situations and under varied research conditions over time.

**Daily practices for leader development.** This study examines the effect of one specific approach to individual leader development. This approach is embodied in the daily practices for leader development (the practices), detailed in chapter 3. The practices applied and tested through this study are intended to cultivate three very specific abilities at the individual level. These are the abilities (of the individual) to:

1. Purposefully direct attention, and sustain the focus of attention.
2. Establish and maintain genuine connections to others.



### 3. Minimize tension and stress.

This study tests the hypothesis that these three abilities facilitate and cultivate the individual skills, traits, and characteristics that contribute to leader capability and, in their absence, serve as potential barriers to developing and leveraging those critical skills in leadership relationships. Improvements in any one of these three areas is likely to result in improved capacity to lead.

The relationship between the body and the mind is fundamental to the practices. The important underlying belief about this relationship is that the state of the body is indicative of the state of the mind. To leverage this relationship between the physical body and the mind of practitioners, the practices include a somatic component—meaning that the physical body is used as a tool in the process of cultivation of the attention, increasing the strength of connection to others, and reducing tension and stress. The relationship between the mind and the body is discussed in detail in chapters 2 and 3; the former explores the historical development of the mind-body relationship and establishes the philosophical foundations of the practices. The latter links those foundations to the practices, which are applied and tested in this study.

The daily practices for leader development are based on the principle of repetitive practice. Much like the way elite athletes train for peak performance through repetition, leaders must practice the behaviors that result in desired leadership interactions, relationships, and outcomes (Loehr & Schwartz, 2003a). The professional golfer for example, is not born with an effective swing, but develops one through practicing the physical act of swinging the golf club repetitively.

The practices are oriented toward expanding attention capacity. Continuing the golf metaphor, in addition to practicing the physical mechanics of swinging a golf club, the professional golfer practices being completely mentally engaged in the act of swinging the golf club. This quality is sometimes referred to as presence (Goleman, 2006) or mindfulness (Kabat-Zinn, 2005). The cognitive mechanism that makes presence possible is the attention (Pashler, 1998).

In using golf as a metaphor for success in business and personal life, Hendricks (2003) identified wandering attention as a significant challenge for leaders. He presented three secrets for success on and off of the golf course, the first of which is to “keep your attention on the essential process until it’s complete” (p. 36). Hendricks explained, “for many people, the biggest problem they need to fix is the habit of letting their attention wander from essential tasks before completing them” (p. 36).

The professional golfer monitors both their physical swing and their presence, or mental attentiveness, which provides them with the awareness to make adjustments as they are needed. The professional golfer trains through practice that involves the body and the mind simultaneously. Like the professional golfer who uses attention and awareness to improve their practice and play performance, the leader can improve their ability to engage in leadership relationships through practices that engage the mind and the body to increase physical, mental, social, and emotional skill and capability, including attention and awareness.

The practices are also based on the belief that non-optimal behaviors become habituated—they become the default way of interacting and being with others. The practices

do not focus on eliminating habits, but on replacing existing habits of interacting and being in relationship with others, with new, more productive habits, that support optimal leadership relationships.

### **Philosophical underpinnings of the daily practices for leader development.**

Training the body and the mind simultaneously to develop leader capability is by no means a new idea (Cleary, 2008; Miyamoto, Cleary, & Yagyu, 2003). For thousands of years, leaders in the Far East have been training this way. The daily practices for leader development examined in this study have their roots in these leader development approaches. Specifically, they emanate from the underlying principles of the Japanese art of aikido.

Since its initial development in the early part of the 20th century, several different styles of aikido have emerged (O'Connor, 1993). The various styles incorporate new and modified physical techniques, training approaches, and pedagogical frameworks. Some of the distinctions between styles of aikido include the degree of focus on the martial element of the art, and the extent to which the physical techniques of aikido (in their varying forms) are practiced for self-defense purposes or used metaphorically to support other kinds of training and development. This metaphorical application of aikido practice trains the mind and the body together—as the Shinto and Buddhist philosophies underlying aikido teach that they exist (Yasuo, Nagatomo, & Hull, 1993).

One style of aikido that is explicitly focused on training the mind and body together and on using aikido's physical techniques metaphorically is shinshin toitsu aikido (translated to English as, aikido with mind and body unified) developed by Master Koichi Tohei, a long time student of aikido's founder, Morihei Ueshiba (1883 – 1969). Tohei built on Ueshiba's

training approach, adding an explicit focus on developing the mind through aikido technique practice (aikido waza) combined with four other practices: breathing practice (ki no kokyu ho), sitting meditation practice (ki no seiza ho), therapeutic healing touch practice (kiatsu ryoho), and bell-ringing meditation practice (sokushin no gyo, or misogi). These combined practices are meant to help the individual lead a productive, positive, and enjoyable life and live harmoniously with others through unification of mind and body (Tohei, 2003).

Tohei expanded the original aikido teachings of Ueshiba, with the express intent of making aikido, and its underlying spiritual principles, more accessible to a wider range of people—particularly westerners. His primary intent was to clarify and demystify the esoteric teachings of Ueshiba, and to increase the overall accessibility of the purpose and approach of aikido training. Importantly, Tohei’s pedagogical framework was intended to position aikido not as a singular or prime component, but as one part of a larger approach to personal and spiritual development.

This study is intended to build on Tohei’s work, which spans some seven decades, through the development and the empirical study of a set of practices for leader development. These practices are based on Tohei’s teachings, and specifically on his “four principles to unify mind and body,” which are discussed in detail in chapter 3.

Tohei’s approach for individuals to unify their minds and bodies is based on the ability to become aware of and access ki (pronounced *key*), the Japanese concept of universal energy (Reed, 1992). The daily practices for leader development applied and tested in this study are a modified form of Tohei’s ki training practices.

## **Study Methodology**

This multiple-single subject study looks at the effect of engaging in the daily practices for leader development on the five individual study participants who are in leader roles in their respective organizations. Changes in leader capability are described using both qualitative and quantitative data collected from the perspective of the participants themselves, and from the perspective of the people around them. The participants were taught the daily practices for leader development, and asked to practice them as often as possible during the 12-week study period. The principle investigator met with each participant for one hour each week during the study period to review the practices and discuss the participants' experiences implementing the practices.

To provide fidelity, the data collection strategy for the study included two distinct data collection techniques. The first is a 360-degree assessment of overall leader capability, which was conducted two times and provides pre- and post-intervention perceptions of each participant/leader, from the perspective of their bosses, peers, direct reports, and others around them. The initial 360-degree assessment was conducted in the beginning of the study, prior to the participants being taught the daily practices, and served as the baseline for both overall leader capability, and for the three constructs central to the study: (a) attention, (b) connection to others, and (c) tension/stress. The 360-degree assessment included items that measure these constructs. The second 360-degree assessment, conducted at the conclusion of the 12-week study period, provided the post-intervention perspective. Comparisons of the pre- and post-360-degree assessments provided insight into perceived changes in study participants. In addition to the pre- and post-intervention data, time series self-assessment

data were collected each week through the hour-long one-on-one discussions between the principle investigator and each participant. Time series self-assessment data included a subset of the items from the 360-assessment instrument, and provided insight into incremental changes that occurred in the interim between the first and second 360-degree assessment of overall leader capability. Each week, data on practice implementation frequency were collected from study participants. Finally, weekly data collection included self-assessments of the three core leader abilities (attention, connection to others, tension/stress), along with self-assessments of overall leadership for each week. Weekly data were collected using a simple questionnaire (see Appendix A) completed by the participants.

Both qualitative and quantitative data analysis techniques were applied. Quantitative data analysis included analysis of changes in pre- and post-360-degree ratings, and changes in weekly time series data (practice quality, frequency, and weekly self-assessment data).

Changes in pre- and post-360-degree assessment data helped describe perceived changes in overall leader capability throughout the 12-week study, and the time series data allowed for analysis and understanding of the effect the daily practices had on the study participants in the three core construct areas, and on overall leader ability. Time series data added richness and depth through insight into the factors that contributed to changes in the study participants' ability to focus and sustain their attention, establish and maintain connections with people around them, and lower their levels of tension and stress.

### **Research Question**

What is the effect of the daily practices for leader development on individual leader capability?

## **Chapter II: Literature Review**

### **Introduction**

As leadership theory develops and matures, there is, within the scholar-practitioner community, an ongoing debate about the value and relevance of individual skills, traits, and characteristics. In some cases, these concepts are cited as vestiges of a foregone era where theories of the great man as leader abounded. As an alternative to these individual-level qualities, a new generation of scholars and practitioners prefer to focus on interaction and the relationship between people, identifying these dynamics as the real stuff of leadership. The distinction between these two approaches to studying leadership creates the impression that a choice must be made as to whether leadership phenomena are most aptly studied by looking at either the individual or at the relationships and interactions between individuals. This false dichotomy ultimately obscures an essential truism of leadership—individuals and their relationships are not two separate things.

Leadership scholarship and research does not have to be either the study of individuals or the study of relationships; it can be the process of understanding and making meaning of individuals in relationship. Choosing to ignore the skills, traits, and characteristics of an individual in relationship is a choice to see only a portion of the phenomenon that is leadership. It is unlikely that leadership theory and research that disconnects the individual from the relationships they are a part of can move the field closer to understanding how leaders improve.

Rather than perpetuate the false dichotomy between the individual leader (skills, traits, characteristics) and the dynamics and complexities of the leadership relationship, the

current review seeks to unify those two—not by creating a new linkage between them, but by leveraging the connection that already exists.

**Pertinent history of the development of leadership theory and scholarship.**

Leadership is often described in the contemporary leadership literature as an influence relationship. This broad definition of leadership has developed through a long evolutionary process beginning in earnest in the 1940s and expanding considerably in the post World War II era. The theories of leadership developed and advanced during this time can be thought of as being part of the traditional leadership literature. Much of this work has been situated in the context of, or influenced by the scholarly disciplines of, political science, psychology, management, cultural anthropology, and sociology, among others. Much of the contemporary theory and scholarly research on the leadership relationship focuses primarily on the dynamics between people in those relationships, and less so on the people themselves.

While no clear line of temporal demarcation is evident when discussing or comparing the traditional leadership literature and the contemporary leadership literature, Burns' (1978) presentation and contrast of transactional leadership and transformational leadership served as a powerful indication of an important shift in leadership theory. The distinction is based largely on philosophy and orientation rather than the period of time that the thinking, research, and writing was conducted. Rost (1991) discussed the nature of this philosophical distinction and described it as the “periphery and content syndrome” (p. 4) of leadership scholarship and practice. The peripheral issues of leadership study and practice, Rost said, include personal traits and characteristics, outcomes and effectiveness, and management style and processes. The content of leadership for Rost was, “the ideas and information that



leaders and followers in particular professions or organizations must know in order to influence one another in a leadership relationship” (p. 3). For Rost, the content of leadership was symbolic of a transformation in the general nature of (professional) leadership relationships, which came about largely due to the post-industrialization of western society. While Rost’s distinction between, and implicit juxtaposition of, the periphery of leadership and the content of leadership may have overemphasized the importance of subject-matter expertise in leadership relationships, it did maintain an important focus on the relationships between people.

The early traditional leadership literature focused on identifying and, to a lesser extent, understanding the various character traits and behaviors of individual leaders (House, 1971; Stogdill, 1948) deemed to make those leaders effective. Effective referred primarily to leaders’ capacity to execute their will--political, social, economic, and religious. Put more simply, the focus of traditional leadership study was on the individual and their ability to manage. This traditional line of inquiry tended to focus on elements of individual behavior.

The contemporary literature has moved away from trait and behavior based notions of leadership and replaced that orientation, for the most part, with a relationship construct, where leadership is less about the qualities, characteristics, or discrete behaviors of an individual and more about the quality and dynamics of interactions between people or groups of people (Liden, Sparrowe, & Wayne, 1997). Thus, a distinction was created between researching leadership and researching leaders.

In contrast to traditional leadership theory, the contemporary leadership literature, because of its general treatment of leadership as an influence relationship (Avolio &

Yammarino, 2002; Bass & Riggio, 2006), seeks to identify and explain those elements of interactions that contribute to the leadership relationship. The research and scholarship of the last two decades further builds on foundational theory and research by seeking to describe or prescribe specific characteristics of positive leadership (Day, Zaccaro, & Halpin, 2004; Flynn & Staw, 2004; Greenleaf, 1977) and necessary preconditions for the initial and ongoing development of leadership relationships. These characteristics are, in many cases, prescribed not to the individual but to the relationship between individuals (Liden et al., 1997; Tichy & Cohen, 1997; Yukl, 2005). The degree to which the leadership relationship can be appropriately anthropomorphized (beyond the theoretical) is not yet clear, and is a question for another study. The immediate challenge fundamental to the current study, and critical in expanding understanding of how individuals increase leader capacity, lies in effectively bridging elements of individual behavior and elements of interaction. This connection between the leadership relationship and the individual leader is operationalized through elements of leadership.

Elements of leadership are descriptive of both the relationships between people, and the way individuals contribute to these relationships through their behaviors, which are informed and driven by their individual skills, traits, and characteristics. Elements of leadership often manifest concomitantly at the individual level through actions, and at the relationship level through interactions and contribution to shared goals. Elements of leadership provide a helpful frame for inquiry into leadership by removing the artificial separation between individuals and relationships. Elements of leadership provide a platform upon which both the individual and the relationships they engage in can be considered, and

are, therefore, a helpful way to avoid the false dichotomy between the individual leader and their relationships with others.

A review of the leadership literature reveals a seemingly endless list of these essential elements of leadership. Some fall squarely into Rost's (1991) "peripheral" (p. 3) category, and others truly concern themselves with the content of leadership. Countless scholars, practitioners, and scholar-practitioners use a variety of terms, sometimes with very similar meanings, to describe the nature or essence of these critical elements and of leadership itself. It is not the intent of the current review, nor is it practical here, to present and discuss the voluminous work done on the myriad elements of leadership. Rather, a representative list is presented below for context.

### **Elements of Leadership**

The scholarly leadership literature identifies several essential elements that contribute to leadership relationships (Bennis, 2003; Northouse, 2004; Rost, 1991; Yukl, 2005). While the terms vary from one scholar-practitioner to the next, there is considerable agreement on a core set of fundamental elements of leadership; a sampling of which includes:

1. A vision for the future that is well-defined and clearly communicated.
2. Awareness of self, others, and the context and dynamics of relationships.
3. Authenticity, or acting in accordance with deeply held values and beliefs.
4. Collaboration with others to achieve mutually desired goals.
5. A conflict engagement style that includes the element of dual concern for the needs of all parties.
6. Acceptance and embrace of change.

These are some (not all) of the foundational elements upon which strong and lasting leadership relationships are thought to be built. Generally, the scholarly community agrees that positive leadership is most likely to materialize when the individuals engaging in leadership relationships skillfully exercise and apply these core elements, through their behaviors, in interaction with others.

What the current leadership literature does not do is directly address the question of how one might go about increasing their ability to skillfully apply these essential leadership elements in the form of behaviors in their daily interactions (Strozzi-Heckler, 2007). The question is one of cultivation of individual characteristics, skills, and abilities—of leader development.

The original body of scholarship focused mainly on the individual leader (Stogdill, 1948) and the current scholarship tends to focus to a greater extent on the interaction and macro-dynamics between people and groups in leadership relationships (Locke & Kirkpatrick, 1991). Therefore, there exists an opportunity to increase understanding of how individuals can effectively increase their capacity to engage in leadership relationships. More simply put, the contemporary scholarly leadership literature has, for the most part, focused (implicitly in some cases) on the question: What common relational elements and characteristics can be observed in good leadership relationships?

### **Leadership Development and Leader Development**

Leader development is distinct and different from leadership development. McCauley and Van Velsor (2004), of the Center for Creative Leadership, defined leader development as the “expansion of a person’s capacity to be effective in leadership roles and processes” (p. 2).

They positioned leader development as a uniquely individual process. This distinction was corroborated by Bass and Riggio (2006), who explained, “leader development focuses on the enhancement of the individual leader, whereas leadership development looks at how the leaders and followers—the group or organization as a whole—can develop shared leadership capacity” (p. 142). The distinction between leadership development and leader development is fundamental to this review, as the primary questions being asked are specifically focused on the way in which an individual can enhance their own capability to engage in effective leadership relationships.

While literature on leader development exists, it is generally limited to normatively prescribing leader behaviors, and, for the most part, stops short of explaining how one might internalize and adopt those prescribed actions. Much of this literature simply describes and prescribes alternative behaviors, making it only marginally helpful in supporting individuals in increasing their leader capability.

A relatively small, but growing body of literature does focus more specifically on the ways in which an individual might work to instill new and different behaviors in the leadership setting. The majority of this literature emanates from the scholar-practitioner community and, to varying degrees, prescribes leader development practices. This is a multi-disciplinary body of literature. As such, not all of the practices found within it are explicitly meant to improve leadership, *per se*. In some cases, practices are meant to improve or cultivate the individual for other purposes. While not specifically intended for developing leadership skills in all cases, some of these practices appear to focus on the same elements

that appear to support positive leadership relationships, and are activities that an individual can engage in that may increase their leadership capability.

A review of this sub-set of leader development literature, which focuses on leader development practices, allows for categorization, characterization, and some degree of comparison of the practices. It reveals similarities and differences in their essence, mechanism of action, and the underlying theories and epistemologies that inform them.

The current review is not intended as an analysis or comparison of the efficacy of the reviewed leader practices. Rather, it is meant to present a sampling of the available approaches for individual leader development.

**General categorizations and features of leader practices.** Through an initial scan of the literature, general categories and features of leadership practices emerge. This list of defining features is not exhaustive, but does provide a general frame, or categorization schema, to apply in order to group leadership practices at a high level. Leader development practices, it appears, may be designed to address very specific personal characteristics, skills, capabilities, and behaviors, or they may be oriented toward general character development. Further, leader development practices may be designed to address a single specific characteristic, or they may focus on the development of multiple characteristics. Where multiple characteristics are developed through practices, the practices may be designed to address these characteristics in a serial or a simultaneous way. Practices appear to be prescribed primarily in one of two temporal modes: *pro re nata* (as needed, based on situation or context), or as regular recurring practices, often with some predetermined frequency (e.g., daily).

## **Systems of Practice for Leader Development**

The current review focuses on a very specific set of these leadership practices referred to henceforth as systems of practice. Systems of practice are defined as combinations of prescribed leader development practices that seek to develop, support, facilitate, or contribute to specific individual characteristics, skills, and capabilities that those who prescribe the practice view as fundamental to engaging in positive and productive leadership relationships. These include some of the elements identified in the leadership literature as being present in positive leadership relationship: vision, awareness, authenticity, conflict, collaboration, and change.

**Types and categories of existing systems of practice.** It is helpful to apply a high-level categorization schema to systems of practice (SOPs) in order to understand their similarities and differences from both a theoretical and an operational perspective. While categorization may also be helpful in conducting evaluations of the efficacy of SOPs, such evaluations are not part of this review.

Systems of practice can be thought of as falling into four high-level categories. They include somatic practices, relational practices, reframing practices, and blended practices. Somatic practices incorporate the physical body, using physical experience and felt sense to facilitate the development of characteristics, skills, and capabilities. Relational practices are based on the use of alternative interaction techniques in interpersonal interchanges. Reframing practices emphasize the application of alternative interpretive frameworks and meaning making to interactions, situations, ideas, and events. Blended practices span two or more of the first three categories, incorporating elements of somatic, relational, and

reframing approaches to develop the target characteristics, skills, and capabilities. Each of these high level categories are explained and discussed in more detail below.

**Somatic practices.** Somatic practices incorporate the body as a primary means of training and developing specific characteristics, skills, and capabilities that contribute to leadership capability. Somatic practices appear to operate in two distinct ways. In the first instance, somatic practices seek to improve the physical condition of the body with the belief that increasing overall physical wellness will naturally support increases in individual leadership capability. Loehr and Schwartz (2003b) argued that increases in physical energy, in the form of strength and stamina, allowed leaders to be more effective with colleagues in the workplace, and also in social and family contexts. Their system of practice included scheduled recurring physical exercise as one important component, and was designed to help people achieve a state of full engagement which was marked by the effective management of physical, mental, emotional, and spiritual energy. In this first instance of the function of somatic practices, there is an implicit suggestion that the physical condition drives the mental, emotional, and spiritual condition to some extent. Expressed another way, there is a suggestion that the body leads the mind and spirit.

Loehr and Schwartz (2003b), who worked with a number of professional athletes to help increase their energy management capability, used the metaphor of a muscle to discuss their approach. Training to manage energy, they said, is similar to training a muscle, in that it must be pushed beyond its normal operating limit, and then be given appropriate time to recover. This concept was applied to a number of behaviors that tie to the leadership characteristics discussed previously:



Much as it is possible to strengthen a bicep or a tricep by subjecting it to stress and then recovering, so it is possible to strategically build the muscle of self-control. The same training regimen applies. Exercise self-control or empathy or patience past normal limits, and then allow time for rest and these muscles become progressively stronger. (p. 169)

One of the most important features of the full engagement system of practice is the development of rituals. Loehr and Schwartz (2003b) said rituals:

Help us to ensure that we effectively manage energy in the service of whatever mission we are on. They reduce the need to rely on our limited conscious will and discipline to take action. Finally, rituals are a powerful means by which to translate our values and priorities into action- to embody what matters most to us in our everyday behaviors. (p. 166)

Loehr and Schwartz asserted that instituting daily rituals for energy management, such as spending a few minutes each day sitting in silence and focusing on breathing, helps to habituate new behaviors through somatic practice, and also through the mental and spiritual discipline of repetition.

While it initially appears that Loehr and Schwartz (2003b) suggested through their system of practice that the body leads the mind and spirit in the transformation and development process, further assessment of their approach shows that they viewed the mind, the body, and the spirit as an integrated whole, as opposed to individual pieces operating in proximity to one another. The full engagement system of practice has a physical component and includes somatic practice, but, it is not limited to the physical fitness of the individual as the primary or sole means of leader development. However, it is the physical elements of the practice that are emphasized. As a result, the full engagement system has been classified here as a somatic practice.

Several studies investigate the connection between physical fitness (including issues such as strength, stamina, flexibility, sleep, and nutrition) and leadership capability. As an example, Atwater, Dionne, Avolio, Camobreco, and Lau (1999) published a longitudinal study that looked at the extent to which physical fitness was a reliable predictor of leadership emergence and effectiveness among male cadets in a military academy. Atwater et al. found that those cadets entering the university in their first year in very good physical condition had a far greater likelihood of being in leadership positions in their senior year. Atwater et al. reported correlations between physical fitness and leadership emergence and effectiveness, but could not assert a causal relationship between the two. However, Atwater et al. did reinforce the point that the context in which leadership happens is important. They also said something about the meaning of leadership in the military and paramilitary environment.

The second way in which somatic leadership practices operate to increase leadership capability is by using the body to create learning and awareness. Practices that are based on this approach do not suggest that merely by conditioning the physical body will one increase their leadership capability. Rather, they incorporate the body as part of an educational process meant to cultivate specific individual characteristics, skills, and capabilities.

These types of somatic leadership practices can take many forms. In some cases, the body is used not as a mechanism, but as an indicator of sorts. These somatic practices function to create a physical marker or indicator, often of the state of the mind. The Feldenkrais method (Feldenkrais, 1972) exemplifies this type of somatic practice.

***Feldenkrais.*** The Feldenkrais method focuses on developing awareness through physical experience and movement and, more specifically, on treating physical conditions

relating to long-term stress. The awareness referred to by Feldenkrais (1972) is not limited to awareness of the physical movement of the body, but is an all-encompassing awareness that includes the physical, emotional, intellectual, and spiritual dimensions. Feldenkrais is something of a hybrid somatic practice as it focuses not on the body directly, in the way that pure physical fitness-focused practices do, but on the central nervous system, which is thought of by Feldenkrais practitioners as a bridge between the body and the mind (Knaster, 1996).

The Feldenkrais method is made up of two distinct techniques. The first is functional integration, a technique that is designed to help people reduce and eliminate involuntary, often unconscious responses to stress, anxiety, tension, and physical and emotional pain (Hanna, 1993). Functional integration is performed as a series of physical manipulations to the recipient, who is often lying on a table, similar to a massage table. The functional integrationist gently manipulates and stimulates the recipient's body, in part to increase awareness of the responses of the central nervous system.

Awareness through movement (ATM) is the second element of the Feldenkrais method. ATM is a set of repetitive movements, often done in a class setting, where an instructor directs the class to move in specific ways, which are designed to increase awareness, fluidity, and efficiency of movement. ATM practice can also be done outside of the classroom setting, making it available as a system of practice for individuals who want to learn new ways of reacting to stress and increasing their personal awareness; both of which are skills directly related to leader capability development.

While ATM looks very much like physical training in some regards, its underlying purpose is not only to heal the body, but to retrain the mind and develop alternative neural pathways to create new patterns and habits of behavior (Hanna, 1993). Much like the rituals of the full engagement practice, Feldenkrais practice is predicated on the concept of the necessity of repetition to create individual change. In this way, it is very similar to many martial arts practices. Moshe Feldenkrais was an accomplished martial artist, earning a black belt in the Japanese art of Judo, and the development of his method was clearly informed by his martial arts practice (Feldenkrais, 1942).

***Somatic systems of practice based on martial arts.*** Training in the martial arts is often cited as a means to develop or expand leadership capability and there are a number of somatic leadership practices based on martial arts. The Asian martial arts, with their long tradition of spiritual development, provide a rich history and powerful set of metaphors upon which a system of practice for leader development might be built. While many Asian martial arts are used as the foundation for somatic leadership practices, due to the limitations of space and time, the current review focuses specifically and exclusively on systems of practice based on the Japanese art of aikido. The applicability of martial arts training and concepts to leadership capability development is not limited to aikido and it should be noted that other martial arts have been used as a basis for developing a variety of skills in individuals.

Ultimately, the suitability of a particular martial art as a foundation for leader development is related to the extent to which the martial art can be used as a metaphor for non-martial settings (Donohue, 1998). Also important is how directly the resulting

metaphors can be drawn to the real-world contexts and lived experiences of practitioners (Raposa, 2003).

The literature and research indicate that aikido is well-suited to be used as a foundation for a system of practice to develop leadership capability in individuals (Baum & Hassinger, 2002; Clawson & Doner, 1996; Strozzi-Heckler, 2007), as there is a rich body of work using aikido metaphorically to simulate and depict a variety of scenarios in personal and professional life. Some of those aikido-based systems of practice are discussed on the following pages.

***Conscious embodiment.*** Conscious embodiment practice was created by Wendy Palmer (2002), an aikido instructor and Buddhist practitioner, to help people discover and understand their reactionary tendencies when confronted with stress and conflict. Palmer's techniques are predicated on the idea that if people can become increasingly aware of the nature of their tendencies, and can cultivate that awareness at the time the behaviors occur, they will have more options for alternative approaches to dealing with stress and conflict.

Conscious embodiment is based on the fundamental principles of aikido, which can be traced back to ancient Shinto and Buddhist practices. Palmer's (2002) system of practices consists of four distinct practices that are to be done every day, to increase awareness of, and to transform deeply rooted tendencies that play out in human interaction. Three of the four practices are purely somatic and the fourth is partly somatic. As a result, conscious embodiment has been classified here as a somatic practice.

The four elements of practice include: (a) breathing, (b) balancing the energy field, (c) feeling gravity, and (d) quality. Breathing is done every day in a very specific way.

Palmer (1994) prescribes a seated breathing practice using a spiral visualization technique and making a slight sound with the breath on the exhalation to make the practice “interesting enough to hold our attention” (p. 23). Balancing the energy field refers to the conscious equal distribution of attention to the front and back, left and right, and top and bottom of the practitioner’s body. Palmer recommended visualizing a spherical light or something similar surrounding the body and sensing whether the body is located in the physical center of the spherical shaped light. Feeling gravity is the third somatic element of practice. It instructs the practitioner to become very aware of the force of gravity throughout the body.

The fourth practice involves identifying and declaring a specific quality that one would like to cultivate. Some of the examples Palmer (1994) gave were patience, empathy, and kindness. Palmer instructed practitioners to choose one quality and ask themselves, “what would it be like if I had more” (p. 32) of this quality? The practitioner is then to “wait” (p. 34) for a time and be aware of the sensations in the body. Palmer recommended selecting a quality and sticking with it for one year, then switching to another quality. From a leader development perspective Palmer’s approach is somewhat unique in that it is one of the few that makes the cultivation of very specific qualities explicit for the practitioner.

Palmer (2002) recommended personalizing these first three elements of conscious embodiment practice to incorporate them into daily life. She suggested doing the sitting breathing practice as a ritual with a specific time set aside each day. The second and third practices she recommended doing at various times throughout the day, in the course of regular daily affairs such as when sitting at a traffic light or standing in line at the grocery

store. The more often one reconnects with the self in these ways, the more ability one will have to focus their attention—the ultimate purpose of the practices.

Conscious embodiment directly supports development of the leadership characteristics of awareness and the development of positive conflict styles through increased awareness of reaction tendencies. Conscious embodiment practice may also support the cultivation of other leadership characteristics if practitioners select specific qualities for development.

***Physical thinking.*** Building on the work of Peter Senge on learning organizations, Andy Bryner and Dawna Marakova (1996) developed a system of practice meant to cultivate several key leadership-related characteristics. Their approach, physical thinking (Bryner & Markova, 1996), was based on their belief that learning is a function of the entire self, as opposed to simply being a function of the mind. The physical body, they said, is a fundamental part of the learning process. Both Bryner and Marakova are martial arts practitioners. Their physical thinking system of practices is heavily influenced by, and based on, eastern martial arts traditions and philosophies.

Through their physical thinking system of practices, Bryner and Markova (1996) described in detail how to cultivate both internal, individual skills, as well as small group capabilities. In doing so, their system of practice addressed both the individual and the collective side of the leadership relationship. Physical thinking is comprised of 21 distinct practices. Each practice is intended to operationalize one or more of the five disciplines identified as necessary for developing a learning organization: mental models, personal mastery, team learning, shared vision, and systems thinking. Table 2.1 shows the way

specific skills and capabilities addressed by the physical thinking system of practice are grouped.

Table 2.1

*Physical Thinking System Skill and Capability Groupings*

Focus	Skill/Capacity
Leadership	Practice and culture of leadership Finding purpose and values Acting on wisdom Aligning resources Unlocking potential Creating and using leverage Coaching and mentoring Harnessing the forces of change
Management	Setting priorities—planning Allocating resources—implementation Delegating—empowering Living with stress, chaos, uncertainty, and loss of control Creating balance—home/work life
Teamwork & Collaboration	Building teams and alliances Creating commitment Creating trust Reconciling views Dealing with turf Creating win-win situations Saying no Maintaining integrity, values, and intention
Creativity, Learning, and Shifting	Accessing creativity Discovering options Working smarter versus harder



The four systems reviewed here (full engagement, Feldenkrais, physical thinking, and conscious embodiment) provide good examples of somatic practices, based on martial arts principles, for cultivating leadership-related skills and capabilities. This review is by no means exhaustive; there are countless other systems that could be considered. These four systems of practice provide good representations of many of the other systems available, and the general similarities between them. Important differences can also be seen by looking at these four representative somatic systems of practice.

The differences can be illustrated by considering the two primary underlying philosophies, or world-views, which inform these practices. These philosophies relate to the relationship between the body (or soma) and the mind. One is the Western, scientific paradigm, and the other is an Eastern paradigm. The first philosophy is referred to as *Western body-mind theory*. The second is referred to as *Eastern mind-body theory*. These are used as general terms to refer to a set of beliefs about the nature of the relationship between the physical body and the mind, or, as it is often referred, the relationship between mind and matter. The terms Western and Eastern, in this context, do not necessarily refer to geographic origin. The term Western is meant to suggest that this set of beliefs has its roots in Greek and European thought, and the term Eastern is meant to indicate that these beliefs derive mainly from ancient Asian philosophy (Yasuo et al., 1993).

Western body-mind theory is based on Cartesian dualism: the idea that the body and the mind are two distinct things (Descartes & Ariew, 2000), that they emanate from wholly different sources, and that they have minimal interaction or relationship with one another. While Rene Descartes elaborated this notion in the 17th century, its roots trace back to

ancient Greek philosophy. With the advent of monotheism and the subsequent spread of Christianity across Europe and the Americas, dualism became more embedded to the point where current Western science and medicine are predicated on the idea that the body and the mind are functionally distinct from one another. Traces of this underlying philosophy can be seen in both the full engagement practice, and, to a lesser extent, the Feldenkrais method, as they each focus on the primacy of the body—although not to the exclusion of the mind. Primacy of one component over another is, in and of itself, a sufficient indicator of an underlying belief in separation between the body and the mind.

Eastern mind-body theory takes a markedly different view. Based on ancient Hindu traditions and beliefs (predating Christianity by several thousand years), Eastern mind-body theory does not see a separation between the mind and the body. Eastern mind-body theory, which holds that the mind and the body are one, is primarily focused on self-development or self-cultivation (*shugyo* in Japanese) (Yasuo et al., 1993). As a result of the significant influence the mind-body theory has in Eastern culture, systems of practice based on Asian martial arts, such as conscious embodiment and physical thinking, appear to treat the mind and body as one. As a result, these systems do not propose the primacy of either the physical body or the mind. This is a critical distinction that follows from the underlying beliefs of the Western and Eastern theories and has significant impact on the general approach, and specific mechanisms of action of the various systems of practice.

The review of somatic systems of practice suggests that incorporation of the physical body in leader development practices is an important component of a comprehensive approach to cultivating the skills, characteristics, and abilities that allow people to participate

in positive leadership relationships. Full engagement emphasizes the importance of focused and deliberate interactions through attentiveness. The Feldenkrais method and conscious embodiment both emphasize the importance of identifying and addressing habituated tendencies of introducing unnecessary tension in the musculature of the body. The latter focuses more on habituated reactions in interaction with other people. Physical thinking focuses on both the individual, and the interaction, or connection, between the individual and the work group. What these systems of practice share in common is an explicit use of the physical body to aid in the development of skills, characteristics, and abilities that contribute to positive leadership relationships.

**Relational practices.** Relational practices are based on the use of alternative interaction techniques in interpersonal interchanges. This type of practice essentially suggests that the practitioner modify or alter their behavior(s) in interaction with others.

Leadership and self-deception. The Arbinger Institute (2000) presented an interesting relational practice for developing awareness of self and others, and the dynamics of interactions. Their practice was predicated on the idea that leadership relationships are put in jeopardy, or do not materialize at all, when one person (particularly the one in the leadership role) objectifies another. They termed the phenomenon of viewing others as objects “being in the box” (p. 15). The practices they suggested focus on “getting out of the box” (p. 138). Being in the box and viewing people as obstacles and objects as opposed to human beings, colleagues, and partners undermines leadership by injecting the dynamic of coercion and fear.

The lesson, then is that you need to be a different kind of leader. That’s your obligation as a leader. When you’re in the box, people follow you, if at all, only

through force or threat of force. But that's not leadership. That's coercion. The leaders people choose to follow are the leaders who are out of the box. (Arbinger Institute, 2000, p. 154)

Objectifying others, the Arbinger Institute (2000) explained, is the direct result of a chain of events that they called self-deception. Self-deception begins with self-betrayal—the act (or omission) of not honoring and acting on internal feelings to help and support others. Failing to act in a way that is congruent with held values results in internal conflict, very much like the function and effect of cognitive dissonance (Festinger, 1957). The dissonance can only be reduced, then, through justification of the act or omission, which often takes the form of objectifying the person and finding reasons why they do not deserve to be helped or supported.

The Arbinger Institute's (2000) solution to the problem of being “in the box” (p. 154) was to increase awareness of the behaviors and develop the ability to process them as the thought process begins to occur. The practices are a set of prescriptions for different actions in relation to other people. Ultimately, their suggestion was to change behaviors, making this a relational practice. The specific recommendations for practice were presented throughout, and are summarized thusly:

Don't try to be perfect. Do try to be better. Don't look for other's boxes. Do look for your own. Don't accuse others of being in the box. Do try to stay out of the box yourself. Don't give up on yourself when you discover you've been in the box. Do keep trying. Don't deny you've been in the box when you have been. Do apologize, then just keep marching forward, trying to be more helpful to others in the future. Don't focus on what others are doing wrong. Do focus on what you can do right to help. Don't worry whether others are helping you. Do worry whether you are helping others. (Arbinger Institute, 2000, p. 166)

These relational practices focus not on the cultivation, but on the implementation of some basic fundamentals of leadership. These fundamentals are similar to those underlying

the theory of servant leadership (Greenleaf, 1977), in that they treat service to others as a critical element of the leadership relationship.

***Inquiry leadership.*** In *Leading with Questions*, Marquardt (2005) presented one of the most specifically prescriptive relational practices through his practice of inquiry leadership. Marquardt said that effective leaders use questions as a primary tool to empower people, build and sustain relationships, build and strengthen teams, encourage individual and group participation, and drive teams to solutions to shared problems and challenges.

In addition to the positive effect Marquardt (2005) saw questions as having on individuals and groups, he believed adopting a practice of interacting through questions positively affects leaders. “When we make asking questions a standard practice, it changes us,” (p. 171), he said, referring to the transformative effect of viewing the leadership role not as one of directing others, but of connecting with others and partnering with them to address challenges together. This happens, Marquardt explained, through several accompanying mechanisms including less need and desire to be right, reduction in ego, increases in willingness to be vulnerable (and therefore viewed as more human), fewer pretenses, more openness, and a heightened focus on the value others bring to the relationship.

Like the Arbinger Institute (2000) and Greenleaf (1977), Marquardt (2005) saw service to others as fundamental to leadership relationships and viewed questioning as a way to increase the leader’s commitment to serving followers. This increased focus on service to others, especially those who are in subordinate roles, occurs concomitantly with increased humility (Marquardt, 2005). He explained:

The resulting humility can be very powerful in being of service to others. Questions help us see that we can lead more effectively by serving than by directing. When you

ask questions, you show that you are committed to providing others the opportunity to lead you. (p. 172)

Interestingly, relational practices appear to function largely in a way that is exactly opposite of Western-based somatic practices. Relational practices, like some of the somatic practices discussed, do not treat the mind and the body as one. Instead, relational practices are generally oriented toward the primacy of the mind. Here, the suggestion is often that simply by changing outward behavior (through alternative modes of interaction), the mind and the quality of interactions with others will change. These practices seem to be missing the critical component of authenticity. None of the relational practices reviewed explicitly stated that the objective was to genuinely feel differently in relation to others. The focus of the relational practices was strictly on altering outward behaviors.

***Reframing practices.*** Reframing practices involve the development and application of alternative interpretive frameworks and meaning making to interactions, situations, ideas, and events. In contrast to relational practices that seek to change the nature of an interaction or situation at the level of behavior, reframing practices create an opportunity to change the way the same set of circumstances are looked at and experienced. In simple terms, reframing practices provide a different lens for viewing the world and ones interaction with it.

***Flow.*** One of the most interesting examples of reframing practices can be found in Csikszentmihalyi's (1990) flow. Through his research on the psychology of optimal experience, Csikszentmihalyi described the flow state, which he defined as "total involvement with life" (p. xi). Rather than providing specific prescriptions for action, Csikszentmihalyi identified the elements and qualities of human experience that his research suggested leads to optimizing enjoyment and involvement with life. These elements and

qualities of enjoyable experiences include “clear goals, stable rules, complexity, and challenges well-matched to skill” (Csikszentmihalyi, 1990, p. 63).

While Csikszentmihalyi (1990) did not make specific prescriptions for action to increase optimal experience, he did suggest that to increase the overall quality of life one should seek complexity and engage in challenges that require full use of their skills and abilities. Doing so, he said, allows one to enter the flow state, which is evidenced by complete engagement in the activity at hand, and is often accompanied by a change in the way time is perceived during engagement in the activity.

Acknowledging that it is not always possible to engage only in the activities one would choose, and that people are not always in control of external factors and events, Csikszentmihalyi (1990) introduced the important element of reframing experience. His approach to achieving flow experiences is predicated on the ability to cast a given situation in a different light and to view it through a different lens. By doing so, one can transform what might be an unwanted or undesirable situation into a highly enjoyable experience and achieve, “the ultimate control: the freedom to determine the content of consciousness” (Csikszentmihalyi, 1990, p. 62).

The dynamic of control is fundamental to flow experiences. Csikszentmihalyi (1990) discussed the “paradox of control,” (p. 59) through a series of case studies of individual flow experiences—he described an important distinction between the ability to control external events and outcomes, and the ability to exercise internal control in trying situations. It is through this distinction that the reframing of experience occurs. As he described it, any situation can be transformed into a flow experience opportunity by redirecting attention to

the exercise of internal control. As an example, being cut off in traffic by an aggressive driver is generally not considered to be an optimal experience. It is generally experienced as stressful, maddening, and unpleasant. But the behavior of one driver is mostly out of the control of other drivers; so altering the other driver's behavior is not possible.

Csikszentmihalyi's model would suggest the possibility of transforming this seemingly unpleasant experience into a flow experience by viewing it as an opportunity to practice remaining calm and relaxing more deeply as a reaction, as opposed to increasing stress and anxiety levels. By reframing the incident as a challenge and a chance to practice a skill, it can actually be an enjoyable experience because it provides an opportunity to exercise internal control. This portion of the flow approach relates directly to the development of the leadership characteristics of collaboration and conflict styles.

The ability to reframe in this way requires a tremendous amount of self-awareness—specifically, awareness of the processes and tendencies of the mind. Csikszentmihalyi (1990) believed this level of awareness could be achieved through habitual practices that are meant to create “order in the mind” (p. 120). A disordered mind is, more often than not, the default state:

Contrary to what we tend to assume, the normal state of the mind is chaos. Without training and without an object in the external world that demands attention, people are unable to focus their thoughts for more than a few minutes at a time.  
(Csikszentmihalyi, 1990, p. 119)

Without the ability to order the mind and focus the attention, flow states are difficult to achieve. Csikszentmihalyi (1990) suggested that people will do things to attempt to add order to the mind, but many of these activities are ultimately counterproductive to having flow experiences because they do not include the elements of complexity, challenge, goals,



and rules. Examples of activities that are counterproductive to flow experiences (and that he suggested avoiding to some extent) include watching television. Television, his research shows, is rarely actually enjoyed, but does serve the purpose of bombarding the mind with information, which Csikszentmihalyi described as creating the illusion of ordered consciousness and structured attention. More beneficial examples of activities include daydreaming, engaging in a hobby, reading, and talking to people. Ultimately, Csikszentmihalyi suggested replacing habits like TV watching with habits that “increase the complexity of consciousness” (p. 120).

Engaging in activities that provide challenges commensurate with individual skill level, as Csikszentmihalyi (1990) suggested, requires a significant level of self-awareness. One would need to have a clear understanding of the things that are important to them, that they truly enjoy, and the areas in which they are skilled. Approaches for cultivating this type of specific awareness can be found in Seligman’s (2002) practices for authentic happiness and learned optimism.

***Authentic happiness and learned optimism.*** Martin Seligman (2002), the pioneer of positive psychology, took a very straightforward position on achieving happiness, rooted in self-awareness. His authentic happiness practice is a set of prescriptions for enjoying life by systematically identifying specific existing traits and skills, and structuring one’s life so that they are engaging in activities that are matched to those “signature strengths” (p. 14) as much of the time as possible. Doing so allows one to derive the most satisfaction from life (Seligman, 2002). Leadership is one of the signature strengths Seligman identified, along with integrity, genuineness, and honesty—all of which contribute to leadership relationships.

For Seligman (2002), it was the identification and regular use of strengths and traits that led to positive emotion. His suggestion was that feelings follow actions—that the mind leads the spirit. Seligman warned of the risks of attempting to feign positive emotion and the potentially devastating effects it can have on relationships (including leadership relationships). “Positive emotion alienated from the exercise of character leads to emptiness, to inauthenticity, to depression, and, as we age, to the gnawing realization that we are fidgeting until we die” (Seligman, 2002, p. 8). The work (the practice) of identifying signature strengths and creating more opportunities to apply those in one’s life directly supports the development and cultivation of two leadership characteristics—awareness and authenticity.

In addition to emphasizing the importance of identifying signature strengths and incorporating them into daily life, Seligman (2002) addressed the importance of a positive outlook through his learned optimism concept. The idea is that a pessimistic outlook is generally destructive, and that it is the result of practice as opposed to genetics or pre-determined disposition. Because, in Seligman’s opinion, pessimistic tendencies are learned, they can also be unlearned. Learned optimism practice is intended to do just that. Seligman (2006) presented specific techniques that could be used to “undo lifelong habits of pessimism” (p. 5).

In keeping with the nature of a reframing practice, Seligman (2002) identified some of the same fundamental principles as Csikszentmihalyi (1990) in *Flow*. Control is a significant factor in adopting a pessimistic view. Seligman explained that the extent to which people view the circumstances of their lives as being within their control, in terms of

influence, drives the degree of pessimistic thinking. Like Csikszentmihalyi, Seligman saw these patterns of thought as habituated responses, which can be replaced with different habits. Finally, Seligman had a similar way of thinking about the importance of awareness in changing the thoughts that occur, and therefore, reframing situations. Seligman's prescribed approach to this was very much like Beck's (1979) cognitive behavior therapy model, which suggested that emotions are often caused by the internal conversations that go on about our own behaviors and circumstances. Like cognitive therapy, the learned optimism technique includes: (a) developing awareness of the internal dialog, (b) actively searching for evidence to the contrary, (c) reattributing outcomes to other possible (and realistic) cases, (d) consciously deciding to think about other things, or defer the thoughts to another time, and (e) exploring the validity of the underlying assumptions that drive the internal conversations.

Seligman's (2002) approach is rooted in clinical psychology and extends the discussion of cause well beyond Csikszentmihalyi (1990) by specifically calling out the original framing of experiences as a major contributor to the learned behavior of pessimism, and its related emotion, depression. "Depression arises from mistaken inferences we make from the tragedies and setbacks we all experience over the course of a life" (Seligman, 2006, p. 13). Additionally, Seligman focused more on the conscious thought patterns and habits, where Csikszentmihalyi tended to look more at the unconscious thoughts and habits that manifest themselves through behavior. Yet, these approaches are similar in a number of ways and both represent examples of reframing practices that can be used to develop leadership capability.

***Art of possibility.*** For Rosamund Stone Zander and Benjamin Zander, a view toward possibility was the key skill in developing relationships and enhancing overall quality of life, both personally and professionally. In *The Art of Possibility* (Zander & Zander, 2002), the Zanders presented 12 practices for developing skills and capabilities that contribute to leadership relationships. Through their practices, they called not for incremental change, but for, “a total shift of posture, perceptions, beliefs, and thought processes” (Zander & Zander, 2002, p. 4). Conceptually, the Zander’s approach was not unlike Seligman’s (2002) learned optimism, in that it suggested that developing new habits of mind to replace existing ones is fundamental to increasing leadership capability.

As with Seligman’s (2002) approach, *The Art of Possibility* relied, in part, on the reframing of lived experiences. Zander and Zander’s (2002) prescribed practices were meant to allow the practitioner to “transform your experience of any unwanted condition into one with which you care to live” (p. 146). *The Art of Possibility* practices differed significantly from Seligman however, when it came to their implementation.

Zander and Zander’s (2002) practices instructed the practitioner to change their interpretation of events and circumstances, but did not elaborate as to how one might actually do that. As an example, one of the practices was called “giving way to passion” (p. 114). This practice was based on the Zanders’ belief that internal forces often prevent people from connecting to others, and to positive energy in situations. Their description of this practice follows:

The practice of this chapter, giving way to passion, has two steps:

The first step is to notice where you are holding back, and let go. Release those barriers of self that keep you separate and in control, and let the vital energy of passion surge through you, connecting you to all beyond.

The second step is to participate wholly. Allow yourself to be a channel to shape the stream of passion into a new expression for the world. (Zander & Zander, 2002, p. 114)

While marginally inspirational, this prescription for cultivating positive characteristics or skills leaves something to be desired. Like so much of the current leader development literature, it stops at being prescriptive without explaining how one might operationalize the practice, especially in light of Zander and Zander's (2002) belief that the internal, default instinct in many people is often to do exactly the opposite.

This provides an excellent example of the difficulty with so many systems of practice. Particularly the reframing and relational practices, which appear to have a greater tendency for prescribing change without providing practical mechanisms for implementing change at the individual level.

*The Art of Possibility* also provides an important example of the positive aspect of several systems of practice—the focus on changing internally as opposed to attempting to change external circumstances, situations, or most futilely, other people. While not perfect, in *The Art of Possibility*, Zander and Zander (2002) reminded practitioners that applying alternative interpretive frameworks to lived experiences can be an effective way of cultivating important leadership skills and abilities, and strengthening leadership relationships.

***Shamatha.*** Meditative practices have been cited as effective in developing leadership capability by a number of scholar-practitioners. Alan Wallace, a Buddhist scholar and practitioner has studied and practiced Buddhist meditation for more than 30 years, and focused on the intersection of Buddhist practice and western life (personal and professional).

In his book, *The Attention Revolution*, Wallace (2006) described the effect of, and process for reaching shamatha—a state which, translated literally, means “quiescence, serenity, and tranquility” (p. 77). In this state, Wallace said “the hindrances of excitation and laxity [of the mind] have been thoroughly calmed” (p. 3).

Shamatha is a 10-stage path to attention development. Through practice, the practitioners refine and enhance their attention capability. While Wallace (2006) did not identify shamatha as a practice intended to develop leadership specifically, he saw attention as being fundamental to positive interactions with others. Wallace saw attention capability not as being directly fundamental to leadership, but as being a facilitator and enabler of the development of other skills that are fundamental to leadership. “One of the greatest benefits of a powerful faculty of attention is that it gives us the ability to successfully cultivate other positive qualities” (Wallace, 2006, p. 8).

The 10 stages of shamatha practice are intended to progressively build upon one another, allowing the practitioner to develop and refine their attention capability. The stages are: (a) directed attention, (b) continuous attention, (c) resurgent attention, (d) close attention, (e) tamed attention, (f) pacified attention, (g) fully pacified attention, (h) single-pointed attention, (i) attentional balance, and (j) shamatha. Each stage has specific practices (that are largely breathing and sitting meditation). The stages include some moving meditation practices, in keeping with traditional Indo-Buddhist practice, and as well as some elements of Zen practice. In describing the practices associated with each stage and the target outcome of each stage, Wallace (2006) described the way the practitioner should be able to focus the

attention and maintain the focus of their attention in terms of both quality and duration, each of which should improve with each stage of development.

Both duration and quality of attention are important throughout practice, but in achieving shamatha, the highest stage of attention development, Wallace (2006) saw the quality of attention as being prime. He used the characteristics of vividness and stability to describe attention quality. This distinction becomes very important in the practices, as each practice has an object of attention that may be physical (such as the breath), or at the more advanced stages, mental (such as a specific thought), or the awareness of the content of conscious thought. Each stage and its corresponding practice are shown in Table 2.2.

Table 2.2

*Shamatha Practices*

Stage of Attentional Development	Practice
Directed attention	Mindfulness of breathing with relaxation
Continuous attention	Mindfulness of breathing with stability
Resurgent attention	Mindfulness of breathing with vividness
Close attention	Mindfulness of breathing with the acquired sign
Tamed attention	Settling the mind in its natural state
Pacified attention	Settling the mind in its natural state— plumbing the depths
Fully pacified attention	Settling the mind in its natural state— observing the movement of the mind
Single-pointed attention	Awareness of awareness
Attentional balance	Awareness without an object
Shamatha	Resting in luminous vacuity

Reframing practices offer powerful possibilities for transforming experiences and relationships. The quality of interaction with others may be directly affected through reframing—particularly if the reframing is accompanied by an authentic and explicit commitment to the mutual development and success of all involved.

**Blended practices.** Blended practices span two or more of the first three categories. They incorporate elements of somatic, relational, and reframing practices to develop or cultivate the target characteristics, skills, and capabilities.



***Attacktics.*** In *aikido in Everyday Life: Giving in to Get Your Way*, Dobson and Miller (1993) presented a set of practices for dealing with conflict in professional and social situations, including leadership relationships. Their attack-tics model examined a variety of conflict strategies or options including (a) fight back, (b) withdraw, (c) parley, (d) do nothing, (e) deceive the attacker, and (f) blending.

For Dobson and Miller (1993), each of the options had their appropriate time and place. However, the blending option was identified as being the most efficient and effective, particularly where an ongoing relationship between the persons was the desired outcome. This emphasis derives from the Japanese concept of *aiki*, meaning harmony or confluence.

Interestingly, the six conflict options presented by Dobson and Miller (1993) were very similar to Pruitt and Carnevale's (1993) four negotiation strategies of problem solving, contending, yielding, and inaction, from their dual-concern conflict model. Table 2.3 shows the way in which Pruitt and Carnevale's conflict strategies compare to those presented by Dobson and Miller using their aikido-based conflict system.

Table 2.3

*Conflict Strategies*

Conflict Options	Negotiation Strategies
Blending	
Parley	Problem solving
Deceive the attacker	
Fight back	Contending
Withdraw	Yielding
Do Nothing	Inaction

*Note.* Adapted from Dobson and Miller (1993) and Pruitt (1993).

Each of these mutually reinforcing approaches are applicable to the leadership relationship, where an ongoing relationship between the parties (in this case, the leader(s) and the follower(s)) is desired. Both Dobson and Miller (1993), and Pruitt and Carnevale (1993) presented conflict and conflict options as deliberate activities; option sets from which an individual (a leader) can make a conscious choice as to how to engage in conflict, and how to create positive outcomes. They share an important fundamental principle—that engaging in conflict strategically, and at the same time, with maximum regard for the well-being of the other is critically important. For Dobson and Miller, this commitment to not hurting others, even in conflict situations, flowed directly from their aikido training and practice.

While these two approaches to reacting to conflict are similar, they differ in the way they treat the inevitability of conflict. Leadership scholars, including those discussed above,

tend to be relatively clear in their feeling that conflict happens. Leadership with regard to conflict becomes the process of making conscious choices about how to react to it, and about how to use conflict as a tool for shaping and clarifying values, achieving shared objectives, and bringing people and organizations together (Couto & Eken, 2002). Dobson and Miller (1993), on the other hand, tended to look at conflict (not limited to physical conflict) as something that is not necessarily inevitable.

***The leadership dojo.*** Richard Strozzi-Heckler, an accomplished martial artist and leadership development professional, presented his system of practices (the leadership dojo) using a martial arts metaphor. His *leadership dojo* is not a physical location as a martial arts dojo is, rather, it is “a state of commitment in which people engage in a collective practice for learning and transformation” (Strozzi-Heckler, 2007, p. 46).

The leadership dojo practices focus on the “cultivation of the self” (p. 17). Strozzi-Heckler (2007) viewed the self as the “virtues, character, and ethical and moral values that make up the exemplary leader” (p. 17). While he acknowledged the value of intelligence and technical/subject matter expertise and knowledge as also being important in the leadership relationship, it is the self (the character and virtue of the individual) that “ultimately becomes the deciding factor in success as an exemplary leader” (p. 17). Strozzi-Heckler adopted a broad definition of leader, including, “leaders who lead others and those who lead their own lives with meaning and purpose” (p. 17). Cultivation of the self is critical in either case, and the leadership dojo practices are suited for either. Regular practices are fundamental to the leadership dojo approach. Through regular practice, leaders are able to not only change their outward behaviors, but also fundamentally change the people they are.

Strozzi-Heckler (2007) referred to both the internal and the outward manifestations of the self, as “embodied behaviors” (p. 81). These embodied behaviors include reflexes, habits, routines, practices, and generative practices. Reflexes are the automatic, default responses of the central nervous system to stimuli. These are often involuntary, unconscious reactions. Habits, he defined as behaviors that are repetitive and often unconscious. Routines refer to the mechanics of unconscious behaviors. Practices and generative practices (unlike reflexes, habits, and routines) are deliberate. They are chosen actions. The difference between the two is that a practice is a specific behavior applicable to a certain situation, where generative practices are modes of being that have universal applicability, and are not specific to any one situation or set of circumstances (Strozzi-Heckler, 2007). The leadership dojo practices focus on generative practices.

The concept of the *bodyself* is presented in discussing the practices of the leadership dojo. The bodyself is the entire person—the whole self. Strozzi-Heckler (2007) identified the five domains of the bodyself: action, mood, coordination, learning, and dignity. Practices for development in each of these domains were presented. The practices are both somatic and relational, as Strozzi-Heckler treated the bodyself, which includes the mind, the spirit, and the physical body, as one complete thing. Ultimately, the practices of the leadership dojo are intended to cultivate a leadership presence—a way of being in relationship with others and oneself.

The leadership presence has five elements, each of which has associated practices. They are centering, facing, extending, entering, and blending. Each element describes the way the leader is in relation to other people.

Centering is the act of bringing the attention and awareness to the present moment in order to be fully engaged and present for interactions. It is the “process of collecting ourselves” (Strozzi-Heckler, 2007, p. 122), and is done partly through becoming highly attentive to the physical body.

Facing is the term Strozzi-Heckler (2007) used to describe engaging with the world with confidence and authenticity. He described facing as “a commitment to integrity” (p. 139), and said that facing is “a choice to engage and confront what is necessary for an ethical and moral outcome” (p. 139). Facing allows one to engage productively with themselves and with others by allowing them to be present to, and aware of the reality of what is going on around them. The presence and awareness that results from facing is fundamental to leadership. As Strozzi-Heckler stated, “It’s a crucial skill for leaders to face into life with directness, authenticity, and compassion” (p. 140).

Extending refers to sending attention outward to connect to other people. It is the active process of directing the attention outward to engage with others. Extending allows for compassionate interactions and deep levels of empathy and understanding, which Strozzi-Heckler (2007) saw as fundamental to leadership: “The ability to extend is a hallmark of exemplary leaders” (p. 146).

Entering is similar to facing, but applies specifically to engaging in difficult situations, often with other people. These difficult situations often involve conflict or disagreement, and are frequently avoided. Entering is the proactive engagement in these difficult situations, with the intent to seek mutually beneficial solutions. It often begins with the act of placing the physical body in proximity to these situations. As an example, actively

seeking out a colleague with whom there is currently tension or disagreement, with the intent on discussing it and focusing on working through it. While Strozzi-Heckler (2007) acknowledged that avoidance may be a common inclination, he saw entering as “a necessary leadership skill that can be learned” (p. 157).

Blending is the last element of the leadership presence. Blending refers to forming connections, collaborations, and partnerships with others, and merging multiple energies together while directing them toward mutually beneficial objectives and outcomes. Strozzi-Heckler (2007) viewed blending as being extremely important in leadership relationships: “The principle of blending has a powerful application to our way of being as leaders” (p. 166). These five elements are not presented as independent of one another, but as complementary, progressive elements of the development of the self that build on one another, and combine to create the leadership presence at the individual level.

The five elements of Strozzi-Heckler’s (2007) leadership presence and their associated practices have both relational and physical qualities so that the practices can be applied both literally, using the physical body, and metaphorically. This combination, Strozzi-Heckler suggested, provides the most valuable kind of learning experience by allowing the practitioner to identify the felt sense of each practice and relate that sensation to the dynamics of personal interactions.

Blended practices for leadership development appear to provide a more comprehensive approach to cultivating leadership skills and capability because of their more holistic focus. There is a tendency, it appears, among the strictly somatic, the relational, and to some extent, the reframing practices, to attempt to isolate one part of the whole person

from other parts. This has the effect of creating artificial internal separation. Attempts to use the body exclusively as a way to transform habits of mind, or to view an unpleasant interaction through a more optimistic lens, may not lead to lasting transformation or to cultivation of new skills and abilities that are universal, but may simply train the practitioner in ways to respond in isolated instances. Ultimately, leader development must be about cultivation of the whole person, and must focus on the real transformation of not only behaviors, but also of underlying habits of mind.

### **Barriers to Leader Development**

The review of systems of practice to develop leader capability reveals three barriers common to many (but not all) people. These are:

1. Inattentiveness, distractibility, or the tendency for the attention to wander.
2. A sense of separation from others and an inability to connect or relate to others.
3. Tension and stress, which often manifests as overly aggressive behavior toward others.

These are identified repeatedly across the reviewed practices as significant barriers to positive leadership relationships and interactions. Inattentiveness refers both to the inability to generally focus the attention and maintain that focus (Csikszentmihalyi, 1990; Wallace, 2006), as well as the general level of awareness of the self, others, and the dynamics of interactions between the two (Palmer, 1994). Separation refers to the tendency to view others as wholly apart from one's self, and to misunderstand or misinterpret the dynamics of human interactions, and the resulting effects of one's actions on others (Bryner & Markova, 1996; Dobson & Miller, 1993). Tension and stress refers to both physical tension in the body

(Feldenkrais, 1972; Hanna, 1988, 1993; Strozzi-Heckler, 2003), and tension in the mind that often manifests in the form of short-temperedness or frustration directed at others (Arbinger Institute, 2000; Loehr & Schwartz, 2003b; Zander & Zander, 2002).

These three barriers (inattentiveness, separation from others, and tension and stress) are common. They represent potential challenges to developing leaders, and the skills, characteristics, and abilities necessary for leaders to engage productively in leadership relationships.

**Attention.** Several of the reviewed systems of practice focus on the development of attention. Attention is defined in a number of ways, but despite the different terminology used to describe it, the authors who identify it in their practices generally think of attention as mental energy. The general idea about attention development is to increase the individual's ability to direct and focus their mental energy where they want it to go, and to maintain the focus and direction of that energy for the period of time they want. In other words, attention is the ability to stop the mind from wandering and minimize mental distraction.

Attention development can be both internal and external. This is an interesting distinction between the many practices, and is consistent with the Eastern mind-body theory and the Western body-mind theory. The primary difference between internal attention development and external attention development is the object of attention. External attention generally refers to focusing mental energy on people, processes, and stimulus in the surrounding environment. Internal attention generally refers to the processes and activity of the self—the mind, the body, and the spirit. In discussing the ability to sustain the focus of internal attention on the inherent value and enjoyment of an activity, as opposed to focusing



on controlling the activity or on the potential gain or outcome associated with the activity, Csikszentmihalyi (1990) profoundly stated the importance of cultivating attention. “When a person becomes so dependent on the ability to control an enjoyable activity that he cannot pay attention to anything else, then he loses the ultimate control: the freedom to determine the content of consciousness” (Csikszentmihalyi, 1990, p. 62). Csikszentmihalyi saw this inability to keep attention focused on engagement in a given activity as a factor that significantly limits people’s ability to enter the flow state. Wallace’s (1999) shamatha practice and Palmer’s (1994) conscious embodiment practice also provide excellent examples of practices meant to help cultivate internal attention capability. In all three cases, the cultivation of internal attention capability is thought to also enhance external attention.

The somatic and relational practices also consider attention development, sometimes discussing it using the language of awareness. In the relational practices reviewed, the focus of attention is primarily on external things such as the facial and body language expressions of others. Both the leadership and self-deception, and the inquiry leadership systems of practice discuss the development of attentiveness and awareness of others’ unspoken communication, such as body language. The somatic practices reviewed, like the blended practices, tend to focus more on attention to, and awareness of, internal responses.

**Connection to others.** The ability to establish and maintain genuine connections with other people is identified as a critical ability for leaders. Connection can manifest through observable dynamics within organizations, teams, and workgroups including alignment, synchronization, and camaraderie. While connectedness can be descriptive of a

group of people, it is a state that can only be achieved if individuals in the group have the ability to connect to one another—making it an essential ability for leaders.

Being disconnected from other people is a fundamental cause of leadership problems, according to the Arbinger Institute (2000). Their leadership and self-deception practice is predicated on the belief that objectifying other people (i.e., specifically viewing them as obstacles) is the underlying cause of poor interactions and relationships. This objectification of others can only occur when the others are viewed as extrinsic, and when the primary focus is on satisfying individual needs and goals (Arbinger Institute, 2000). They described this objectification, or disconnection from others, as a guilt response in part, initiated by one's failure to act in accord with internal instincts to help or serve others.

The Arbinger Institute (2000) practices situate service to others as part of the leadership role. In the leadership context, service means both supporting the provision of the tangible, emotional, and other needs of people, as well as supporting their ongoing personal and professional development. Similar sentiment regarding service can be seen in many of the reviewed practices. In all cases, being of service to others first requires a genuine connection to them.

Physical connection is addressed in several of the practices. This is particularly prominent in the martial arts-based systems of practice, where the practices tend to focus on exercises where two partners practice moving together, sometimes with one simulating behaviors of an aggressor, and the other practicing receiving the aggressive energy. Palmer (1994), Strozzi-Heckler (2007), Dobson and Miller (1993), and Bryner and Markova (1996) all provide examples of this type of practice. The common theme among them is the

attentiveness and increasing awareness of the automatic, habitual responses that often lead people to disconnect from others. Their practices are essentially focused on developing synchronicity and connection through physical interaction. However, the physical coordination of movement is not the desired end. Rather, these physical practices for connection and synchronization with others are meant to be physical embodiments of and metaphors for connections at other levels—including emotional and energy connections.

Emotional connection can take several forms, including empathy. In Marquardt's (2005) leading with questions practice, he explained that in order to stay on the right side of the thin line between being inquisitive and being condescending, one must inquire empathetically, lest they run the risk of being perceived as patronizing. Seeing things through the lens of others is a fundamental component of his approach. He summarized this point: "Empathy enables the leader to connect with those questioned" (Marquardt, 2005, p. 108).

Connection is not limited to other people. A necessary condition for flow experiences to occur, Csikszentmihalyi (1990) suggested, is a connection to other people or to the experience itself. He described being completely immersed in, and connected to the activity at hand:

When a person invests all her psychic energy into an interaction—whether it is with another person, a boat, a mountain, or a piece of music—she in effect becomes part of a system of action greater than what the individual self had been before. (p. 65)

Connection, in its many forms (physical, emotional, and otherwise), is a common component across many systems of practice.

**Tension and stress.** High degrees of tension and stress have been identified as barriers to leader capability and development. Loehr and Schwartz (2003a) included an assessment of stress tolerance on their Full Engagement Inventory, and defined it as “a tendency to become easily frustrated and harsh with others when under pressure” (p. 68). This description provides a good example of how tension and stress can manifest to undermine leader capability. Loehr and Schwartz also pointed out that tension and stress on the part of a person in a leadership role can ripple through an organization because “leaders have a disproportionate impact on the energy of others” (p. 23). This influential effect of tension and stress makes it important for those in leadership positions to take steps to reduce their tension and stress levels, and to decrease or eliminate behaviors such as frustration and aggression directed toward others (Goleman, Boyatzis, & McKee, 2002).

Behaviors are the external manifestation of habits of mind. In the case of tension and stress, connection to others, and attention, it is these habits of mind that are important to focus on to increase individual leader capability.

Each of these three abilities (focusing and sustaining attention, connecting with others, and minimizing tension and stress) allow an individual to engage in effective leadership relationships. Behaviors that create difficulties in these three areas may be the result of habituated tendencies or responses, and not of innate inclinations or conscious intent. Examining these habitual behaviors and replacing them with constructive habits of attention, connection, and relaxation may allow individuals to increase their overall leader capability.

**Habit.** Habit plays a significant role in the development of the characteristics, skills, and abilities that contribute to leader capability. In the reviewed literature, habit is discussed using a variety of terminology, and the various authors view the role of habit, and the development of habit in differing, and in some cases, contradictory ways. Habits can be viewed as positive forces in the lives of leaders, creating consistency and power (Gardner, 2004; Goleman et al., 2002; Hofmann & Jones, 2005; Lipman-Blumen, 2005). Habits may also function as potential obstacles to development (Heider, 1985), serving to limit perspective and to reinforce established ways of interacting (Pater, 1999) that are not productive, or even counter-productive, for leadership .

Loehr and Schwartz (2003b) used the construct of *ritual* to talk about the habituation of new behaviors. They defined rituals as “precise, consciously acquired behaviors that become *automatic* in our lives, fueled by a deep sense of purpose” (p. 166). Rituals have both an internal function (to support the effective management of energy by reducing the load on the conscious will) and an external function (to embody and communicate deeply held values and priorities) (Loehr & Schwartz, 2003b). Strozzi-Heckler (2007) specifically avoided the use of the term habit to describe desired embodied behaviors, as he felt there is a negative connotation to the word that trivializes the significance of embodied behavior. Instead, the leadership dojo practices focus on generative practices which, like Loehr and Schwartz, are conscious behaviors, chosen by the practitioner.

The Feldenkrais method is based on the principle of making unconscious habits of movement conscious so that they can be replaced with different habits that lead to relaxation. Feldenkrais (1972) viewed the physical manifestation of involuntary, unconscious movement

and muscular tension as indicators of the internal habits and state of the individual. Hanna (1993) said “these habitual patterns of acting are the somatic structure of what we call personality and character” (p. 185). In each of these examples, habits manifest through physical actions and behaviors. Habit, however, is not limited to the physical body.

Habits of the mind are also addressed through some of the relational and reframing systems of practice. Seligman (2006) for instance, refers to “habits of thinking” (p. 5), which are pliable. Referring to the ability to alter the chemistry and electronic communication pathways of the brain, known as neuroplasticity (Ebner, 2005; Møller, 2006; Shaw & McEachern, 2001), Seligman wrote “habits of thinking need not be forever. One of the most significant findings in psychology in the last 20 years is that individuals can choose the way they think” (p. 8). This notion of being able to alter habits of thought and behavior is a common theme across many of the systems of practice reviewed and should clearly be a part of practices intended to cultivate leadership characteristics, skills, and abilities.

To be effective, leader development practices should directly address habitual tendencies of the body and the mind relating to attention, connection, and tension/stress. Few systems of practice do this. However, one approach, not intended for leader development per se, focuses specifically on attention, increased relaxation (stress reduction), and being more coordinated with (connected to) others to improve one’s life in general.

Master Koichi Tohei, a long time student of aikido’s founder, Morehi Ueshiba (1883–1969) developed a system of practice intended to allow an individual to access ki (pronounced key) energy and apply it to improve the overall quality of their life. Tohei’s specific approach for practicing and applying ki principles in daily life will be discussed in

detail. First, a brief discussion, and a review of some of the research conducted on ki energy is presented to establish a context for the application and study of Tohei's system of practices on leader capability.

**Ki energy.** Ki is the Japanese word for the universal energy that flows in all directions, at all times, between all living things. It is sometimes translated into English as life-force or universal energy. There is not a word or a phrase in English that fully captures and conveys the real meaning of ki energy. One example of a definition of ki energy from the literature comes from Professor Yuasa Yasuo, a prominent scholar and researcher, and the Director of International Studies at Obirin University in Japan. Yasuo et al. (1993) described ki energy by saying:

The substance of the unknown energy, ki, is not yet known. It is the flow of a certain energy circulating in the living body, unique to the living organism. The flow of ki, when it is seen psychologically, is perceived . . . as a self-apprehending sensation of one's own body under special circumstances. When it is viewed physiologically, it is detected on the skin. . . . Therefore, the ki-energy is both psychological and physiological. . . . its substance lies in the region of the psychologically unconscious and the physiologically invisible. (p. xxiv)

As Yasuo et al. (1993) said, and as a review of the research shows, ki is an energy that can be perceived and experienced at many levels—physical, psychological, emotional, and spiritual. Ki energy is something experienced deeply by people who have trained and developed an ability to access it, and is often experienced as strange physical and emotional sensations by those who have not.

For centuries, ki had been shrouded in mysticism, particularly among westerners. But over the last 20 years, ki energy has become more understood and is being demystified and made accessible (conceptually and practically) to more and more people each year, in a

variety of forms. While the specific mechanism of ki energy transfer had been largely unclear for a long time, it is now thought that ki is a combination of photonic and magnetic energy—it is light energy (Reed, 1992)—operating on several different spectrums (Chang, Popp, & Yu, 1995; Schwartz, De Mattei, Brame, & Spottiswoode, 1990), and magnetic field energy (Gleason, 1994), which is sent and received between people.

Ki is referred to in a number of ways. It is often talked about as intention—one can send ki, to communicate one's intention or the direction one wants to go. In some forms of ki training, partners practice sending ki and also sensing the ki of the other (Fromm, 1998). This means being connected enough to the other to detect their intention (to move) before they act. The ability to connect to another is dependent on the ability to be present. Presence is simply thought of as a state where one's mind and body are in the same place at the same time—where the mind and the body are unified.

Unifying, or coordinating, the mind and the body is simple in concept, but often very difficult in practice. It requires a deep inner calmness that is very natural, but that has, for many people, eroded over time and been overcome by the events of one's life experiences. From a self-cultivation perspective, ki training and the use of ki energy in daily life is a process of learning to relax deeply, especially when things in the outside environment begin to escalate and become more tense or excited.

Ki is not possessed by anyone. No one has more ki than anyone else, but people can learn to use ki energy more effectively through training and practice (Fromm, 1998). ki development practice generally includes breathing, seated meditation, and meditation in



motion (Gleason, 1994; Palmer, 1994). The latter often takes the form of martial arts such as tai chi (Chinese) or aikido (Japanese) (Tokitsu, 2003; Ueshiba & Stevens, 1993).

Ki can be described as a flow of energy between people. The flow of ki is natural and automatic, requiring no action on the part of the practitioner. But, in an action-oriented environment and culture, taking no action (or doing nothing) requires practice. Physically, to do nothing means to introduce no tension into the body—to allow the body to move in the most natural way possible without engaging extra muscle or extra movement. This is also essentially natural, but counterintuitive for many. Interestingly, ki seems to stop flowing when tension is introduced, similar to the way in which the flow of electricity is impeded or prevented when resistance is introduced into a circuit.

The behavior of ki energy and its similarities to other forms of energy has allowed researchers to expand the approaches used to study the phenomenon of ki. A variety of research methods are employed to address a variety of specific research questions relating to ki energy. Current research approaches and specific studies are presented and discussed below. Additionally, a schema for organizing the research on ki energy is presented and used as a framework for review and analysis of ki energy research and methods. This organizational schema developed organically through the search and review process. The organizational framework is presented along with the research review below.

***Ki literature search.*** Because ki energy is uniquely Japanese, the search for scholarly research was broadened to include the Chinese qi (pronounced chee), which is an essentially similar energy with a similar set of philosophies of practice, and a similar set of research approaches associated with the phenomenon (Zhang & Rose, 2001). This was

operationalized in the literature search phase simply by using the search terms, *ki*, *ki-energy*, *qi*, and *qi energy*. The search for scholarly articles on ki energy was initiated by doing an all inclusive key word database search using the search term *ki*. This search yielded both articles and dissertations, some of which are included in this review. In addition to expanding the search to include both the Japanese and Chinese concepts of universal life energy, some of the terms associated with the physical practices of *ki* or *qi* energy transfer or application were included in expanded literature searches. In these cases the set of search terms was expanded to include *ki therapy*, *qi gong*, and *aikido*. The term *tai chi* was intentionally omitted from the search because, as a matter of practice, *tai chi* in Western society is largely viewed as individual exercise for strength and flexibility and (unlike *ki therapy*, *qi gong*, and *aikido*) does not tend to involve a transfer of energy between people. The search for literature and research on *ki* energy intentionally excluded the concepts of *prana* (from the Indian tradition) and *nefesh* or *ruach* (from the Hebrew tradition). While these are, in some ways, conceptually similar to *ki* and *qi*, they are inextricably linked (in practice) to specific religious traditions and, as a result, bring with them a host of issues that extend well beyond the scope of analysis presented here.

In total, more than three dozen articles and dissertations, and almost 20 books were identified that address aspects of the phenomenon of *ki* energy. These were reviewed and, from the review, a categorization schema emerged. The research papers and books were then distributed into their respective categories and, in the process, the total body of research literature to be included in the current analysis was reduced to a manageable number of examples in each of the three categories. This was done in a way to ensure each of the three

categories was represented in the analysis and discussion, as they all have merit in their own right, and they each contribute to the overall body of knowledge on ki energy.

***Culture of inquiry.*** The phenomenon of ki energy has been studied using a number of different research paradigms, and accompanying methods. Before getting to that discussion it will be helpful to consider two distinct epistemologies and their relative and combined impact on the methods that have been applied to inquiry on ki energy. As ki is a phenomenon of energy and information exchange between people, these epistemologies are framed and discussed in terms of body-mind theories.

The first epistemology is referred to as Western body-mind theory. The second is referred to as Eastern mind-body theory. These are used as general terms to refer to a set of beliefs about the nature of the relationship between the physical body and the mind, or, as it is often referred, the relationship between mind and matter. The term *Western* is meant to suggest that this set of beliefs has its roots in Greek and European thought, and the term *Eastern* is meant to indicate that these beliefs derive mainly from ancient Asian philosophy (Yasuo et al., 1993).

Western body-mind theory is based on Cartesian dualism—the idea that the body and the mind are two distinct things, that they emanate from wholly different sources, and that they can each function independently of the other, with minimal interaction or relationship with one another. While Rene Descartes memorialized this notion in the 17th century, its roots trace back to ancient Greek philosophy. With the advent of monotheism and the subsequent spread of Christianity across Europe and the Americas, dualism became more embedded, to the point where current Western science and medicine are predicated on the

idea that the body and the mind are separate from one another. Dualism has branched out though. Several different varieties of dualism have emerged in modern thought, each with a slightly different perspective on the reasons or the qualities of the distinctions between mind and matter. What they all share is the central belief that mind and body are two different things. In the Christian tradition, this dichotomy of body and mind is evident in the focus on spirit and flesh; the former being associated with the divine, and the latter being associated with sin. Descartes' development of the concept of dualism was probably intended, in part, to mediate the growing tension of that era between religion (whose popularity was on the decline) and science, which was developing at a tremendous pace. Ultimately, Cartesian dualism became the foundation for Western science and medicine and remains the dominant mainstream paradigm today, as evidenced by the preponderance of the scientific method of research, where measurement and detection instrumentation and equipment are used to study physical phenomena.

Eastern mind-body theory takes a markedly different view. Based on ancient Hindu traditions and beliefs (predating Christianity by several thousand years), Eastern mind-body theory does not see a separation between the mind and the body. Rather, in the Eastern tradition, the mind (being incorporeal) is thought to be observed, studied, and understood, in part, through the physical body, which is not a separate component, but a physical manifestation of the mind. It is important to note that this concept of mind is distinct from the physical brain, studied through the field of neuroscience.

These two unique epistemologies inform and direct much of the inquiry into ki energy that occurs (and does not occur) today. Much of the research, not surprisingly, is conducted in Asia.

One of the most significant differences between the Western body-mind theory and the Eastern mind-body theory can be seen in the way they guide and impact research activities. The Western body-mind theory, based in dualism, primarily uses the traditional scientific method and its main goal is to discover evidence of a phenomenon, or explain a phenomenon. Another version of the Western tradition employs qualitative research methods that are not scientific per se, but still seek to discover or explain phenomena, often from the perspective of the people experiencing them. These approaches often include grounded theory methods, phenomenology, and ethnography (Bentz & Shapiro, 1998), among others, and seek to understand and convey the meaning that participants make and attach to events in their lives (Punch, 1998). As Punch described it, “ethnography means describing a culture and understanding a way of life from the point of view of its participants” (p. 157). In either case, the objective of both scientific, quantitative research methods and qualitative research methods (in the context of human subjects) is to know about, describe, understand, or communicate someone else’s experience in the lived world. A possible exception to this is autoethnographic research methods, where the target of inquiry is the researcher. However, even in these cases, the purpose of the research is often to describe, understand, or communicate lived experience.

By contrast, the Eastern mind-body theory, which holds that the mind and the body are one, is primarily focused on self-development or self-cultivation (shugyo, in Japanese)

(Yasuo et al., 1993) as opposed to describing phenomena. As a result of the significant influence the mind-body theory has in Eastern culture, inquiry and research in East Asia, is often not designed to describe, understand, or communicate experience; but simply to experience—primarily for the purpose of developing or improving oneself. Table 2.4 shows the fundamental differences between the two traditions. This focus is a critical distinction that follows from the underlying beliefs of the Western and Eastern theories, and has significant impact on the research methods applied to the inquiry on ki energy in those two traditions.

Table 2.4

*Eastern and Western Theories of Mind-Body Relationship*

	Foundation	Resulting Mainstream Research Tradition	Primary Focus/ Purpose of Inquiry
Western	Body-mind dualism	Scientific, positivistic	Understand, describe, communicate lived experiences of a person or culture
Eastern	Mind-body oneness	Self experience	Self-cultivation, self-development

Here, it is important to note that neither the Eastern nor the Western tradition, nor culture of inquiry, are the exclusive domain of researchers from those two geographic regions. The reference to Eastern and Western theory and research approaches is not meant to attach to people from the East or the West, but is intended to describe the prevailing

culture of inquiry associated with a respective underlying worldview relative to the relationship between the mind and body, and the study of phenomena and lived experience. In other words, Asian researchers can, and do, conduct traditional scientific research using the common methodologies of Western medicine and science. Likewise, there are researchers from Europe and the Americas who engage in research using Eastern-based methods of inquiry, as described above. Interestingly, as a review of some of the salient research on ki energy shows, inquiry predicated on the Eastern mind-body theory is increasing in popularity and, arguably, in prominence in the West, while, at the same time, Western scientific methods are being employed more and more by Asian researchers. In a sense, inquiry into ki energy is acting as a bridge between these two epistemological camps, creating more understanding of the phenomenon of ki energy and an increased appreciation for the value and contribution of a variety of research approaches.

***Researching ki energy: Methodological approaches.*** A considerable amount of research has been conducted on ki energy. The following analysis presents and discusses a selected sample of this research. The selected sample includes research conducted in both the Eastern and the Western tradition, as discussed earlier. There are a number of different categorization schemas that could be applied to the aggregate body of research on ki energy, any of which may be appropriate. For the purposes of preserving the distinction made thus far between Eastern and Western epistemologies and focus of inquiry, the selected literature on ki energy has been organized into three categories: psychological, medical/physiological, and self-cultivation/development. Examples of research conducted on ki energy in each of these three categories is presented and discussed in the current review. Particular attention is

given to the nature of the questions being asked through research and the methods employed in answering the research questions.

***Research on the psychological function and effect of ki energy: How does ki energy affect the mind?*** A subset of the selected literature concerns itself with the way that ki energy functions at the psychological level. Here, one of the primary questions being addressed is: How can ki energy be activated as a therapeutic intervention and what is its effect?

The research on ki energy in the psychological realm tends to look at the effect of ki training at the unconscious level. It is important to clarify an important and ongoing discussion in the psychological community relating to the unconscious mind, which is also evident in the research on ki energy emanating from the psychological community.

There are two general schools of thought on the nature of the unconscious mind. The first can be referred to as Freudian and generally holds that the unconscious mind is the repository of all personal experiences from birth (Freud et al., 1953; Gelfand & Kerr, 1992). Freud's concept of the unconscious mind stores every lived experience and activates them in the course of daily life to drive actions, reactions, and interactions, based on what has happened in the past (Freud et al., 1953). The mechanism of Freud's unconscious mind operates, in a sense, independently of the external world.

The second school of thought on the unconscious mind is based on the work of Jung, a contemporary, and former colleague of Freud's. Jung's idea of the unconscious mind is markedly different than Freud's. Jung's collective unconscious extends beyond the internal confines of the individual as Freud described, and really creates a connection between people



(Jung & Information Planning Associates, 1976) at an often undetectable level—the unconscious level. For Jung, the unconscious mind was able to not only store and retrieve past experience, but could also connect and relate to other people and events, through a mechanism which he called *synchronicity*, but never really defined or explained in any detail. Jung’s synchronicity extended beyond the confines of the individual mind, and was not bound by time or distance. It advanced the idea of teleology, which differs from the cause-effect approach of Freud and the scientific method.

The distinction between Freudian notions of the unconscious mind, and those of Jung are significant here because they map (loosely) to the Western and Eastern epistemologies discussed above, and therefore, impact the research conducted on ki energy in the psychological community.

Freud’s unconscious mind is most closely related to the Western scientific, cause-effect, research paradigm and Jung’s collective unconscious and theory of synchronicity is more closely related to Eastern approaches to the study of ki energy. However, attempting to apply the scientific or non-scientific distinctions to Freud and Jung is a bit unnatural. It is more accurate to say that, like Western science, Freud’s notion of the unconscious mind is the science of the historical and largely isolated world, where Jung’s unconscious mind, like Eastern science, spans time and space, and is connected to the macroscopic world, which includes all other living things. More simply put, Freud’s unconscious mind represents the duality of mind and matter, and Jung’s theories represent something closer to mind and body oneness, in the Eastern tradition.

An example of the question of the effect of ki energy being addressed in the psychological literature can be seen in Saposnek's (1980) comparison of aikido training (one of the more popular forms of ki energy training) with specific therapeutic interventions. Saposnek began with an analysis of the fundamental tenants and principles of using ki energy. Not being a ki practitioner, Saposnek shadowed and interacted with an aikido practitioner and, through a combination of observation and interview, developed some understanding of how ki energy is used in the physical practice of aikido. Additionally, Saposnek got some initial first hand experience with aikido to get the flavor for the physical component of the practice. Saposnek then described the tenants of ki energy in aikido practice, using both physical and mental manifestations as examples. This was followed by a comparison with the practices of brief strategic therapy—a specific type of therapeutic intervention characterized by a consciously short duration for a rather specific purpose. Saposnek concluded with a case study of brief strategic therapy with a real client, and explained the similarities in the approach with the fundamental tenants of using ki energy in aikido practice.

Saposnek's (1980) article did not ask a specific question. Its general intent seemed to be to demonstrate similarities between aikido and brief strategic therapy. While there was no explicit question, as a therapist, Saposnek may have been implicitly asking: What framework could be used to provide brief strategic therapy to clients?

Saposnek concluded that many of the fundamentals of ki energy applied in aikido practice have clear and beneficial parallels with the delivery of effective brief strategic therapy. What Saposnek did very nicely, perhaps without being conscious of it, was to

conduct research in the psychological realm with a focus on not only the outcome of the intervention (which would often be coupled with declaratory cause-effect claims), but with a specific focus (through the case study) on the nature of the interaction, or connection, between the therapist and the client.

This approach to inquiry into the ki phenomenon is, in some ways, consistent with the Eastern approach in that it looks at the relationship between multiple people as the functioning of a system (or part of a system) to some extent. Ultimately, though, Saposnek's research maintained the duality common to the general Western scientific approach by maintaining separation between (a) the mind and the body of the ki practitioner in his observation and explanation, and (b) the client and the therapist. This is not a criticism of the research, but simply an observation about the method and underlying objective of the study—that being to describe interaction between a therapist and a client. The same research could have been conducted, using identical methods, but with the intent to explore the way that the therapist interacted and related with the client in the relationship, as a means to allow the therapist to become more aware of their own tendencies and habits in relationship. This shift in intent would mark some of the fundamental differences between the Western and Eastern approaches to inquiry.

Another interesting research study of the psychological effect of ki energy can be seen in the doctoral dissertation of Mike Spector (2000) at the Fielding Institute. Spector examined how a group of police officers reacted to and experienced stressful, life-threatening situations. His premise was that an *awakened* state (a state of increased consciousness) could be achieved through the activation of li energy, in the form of mind-body awareness, and that

this awakened state leads to increased survivability rates for people in situations of impending and immanent danger. Spector, a ki energy practitioner himself, conducted a phenomenological study of eight police officers, and combined it with an autoethnographic approach for describing the condition of achieving and maintaining an awakened state. Spector's study also examined the value of ki energy in terms of survivability of critical incidents. His research question was: What is the mind-body experience in the face of impending danger?

Methodologically, Spector's (2000) work was an exceptional example of the complexities of researching ki energy from the perspective of a practitioner-researcher (Jarvis, 1999). Spector presented a thoughtful and complete discussion about his own bias and the way that he attempted to control for it. He talked about common approaches in phenomenological research including bracketing, but ultimately made a conscious decision to simply be overt about his own position and experiences—weaving them appropriately into his research and analysis. In this way, he honored the Eastern tradition of inquiry into the self and one's own experience simply for the sake of experiencing and learning, and not expressly for the sake of describing the experience of others, or formulating generalizable theory.

Given the objective of his inquiry, Spector's (2000) methods were well chosen. Because the study only included police officers (whose work tends to differ significantly from most other professions), the question of whether the approach would be efficacious with other types of individuals remains to be answered. However, Spector's work provides some compelling insight into the effect of ki energy in instances involving psychological stressors.

Spector's study found that ki energy could be used by these public safety professionals to help them deal effectively with stress. Other studies have also looked at the effect of ki energy on the psychological condition of stress and found it to be helpful.

Ki energy has been identified as an effective means for the reduction and management of both physical and psychological stress by several researchers, including Lee, Ryu, and Chung (2000), who conducted a scientific study of the effect of qi training and practice on stress. In their experiment they sought to “determine whether qi training can be helpful in reducing some negative physiological and psychological stress symptoms” (Lee et al., 2000, p. 161). They used the ChunDoSunBup (CDSB) qi training method—a Korean practice, similar to Chinese qi gong. CDSB includes seated meditation, moving meditation, and a chanting or music component.

The study by Lee et al. (2000) included an experiment group of 180 participants and a control group of 74. The control group members were healthy persons with no qi training background or established practice routine. The 180 experiment participants were recruited from qi training workshops and had varying levels of experience that were measured in number of months practicing. They were divided into three groups: those with 1 to 4 months of qi training experience, 5 to 12 months, and over 13 months. Demographics in the control group matched those of the experimental group along the dimensions of gender, age, and education level. Control group and experimental group members were blinded to the existence of the other group. The primary instrument for measuring stress was the Symptoms of Stress (SoS) Self-Assessment Inventory, adapted from the Cornell Medical Index and modified for use in Korean (Lee et al., 2000). Statistical analyses were conducted

on the data and descriptive statistics were used to convey the findings. The mean SoS score, and the average standard deviation for each group were the primary statistics used to describe the experimental groups. Variance between the groups was used to describe the differences between the control group and the experimental groups.

Lee et al. (2000) found that qi practitioners had significantly lower levels of stress and a greater capacity to reduce stress than the members of the control group who were not qi practitioners. They also found that the longer people practice (in months), the less stress they experience, and the more effectively they are able to alleviate stress that develops. The mean index score in each of the SoS categories was found to be higher among the control group than each of the three experimental groups, indicating higher levels of stress in the control group.

Finally, the study found that stress coping and management ability seemed to improve significantly beyond the five-month training/practice mark, perhaps indicating the average point at which the stress reducing mechanism of qi training may begin to function as the default, habituated response to stress. Based on these findings, Lee et al. (2000) concluded that CDSB training (qi training) can reduce symptoms of stress and increase stress management capability in practitioners.

The studies by Saposnek (1980), Spector (2000), and Lee et al. (2000) each lead to the same conclusion. Ki energy can be used as a means of stress reduction and management.

***Research on the medical and physiological function and effect of ki energy: How does ki energy affect the body?*** Another approach to inquiry on the ki energy phenomenon is based on the traditional scientific paradigm. Here, the primary objective of the research is

to detect and describe the physical presence and effect of ki energy. The majority of this research uses an experimental approach, setting up contrived situations and attempting to control for a variety of variables in order to isolate ki energy as the lone factor in a linear cause and effect relationship.

Using these methods, researchers seek to determine what effect ki energy has (on living organisms) when transmitted from a person to the given object of study which, in some cases, is another person, but can also be the person transmitting ki energy. Some of these research studies observe and measure both the sender and the receiver of ki energy. In almost all cases, scientific criteria are applied to the observation and measurement of the ki energy itself, or the effect on either or both the sender and recipient of ki energy—at a physiological, chemical, or mechanical level.

There are many interesting examples of this type of experimental research including studies conducted in Asia, the Americas, and Europe. A recent scientific study of the effect of ki energy was conducted at the Philadelphia Biomedical Research Institute and the findings were published in Oxford Journal's Evidence-based Complementary and Alternative Medicine Journal (Ohnishi, Ohnishi, & Nishino, 2006). In the study, Ohnishi et al. (2006) subjected mitochondria (the energy producing cellular structure in living organisms) from the livers of rats to heat, which caused a reduction in the cellular respiration process, and ultimately resulted in decreased energy production. They used multiple samples and set up control groups—some receiving ki energy from a trained ki practitioner and some only being subjected to the damaging heat without the application of directed ki energy. The Ohnishi et

al. sought to answer two distinct questions: “Whether ki energy has beneficial effects on mitochondria?” (p. 475) and “What is the mechanism of the ki effect?” (p. 476)

Ohnishi et al. (2006) found that the concurrent transmission of ki energy by the trained practitioner resulted in significantly less reduction in cellular respiration and less reduction in energy production by the mitochondria—both of which are damage caused by heat. In short, ki energy appears to have protected the mitochondria from the damaging effect of heat. The excerpt below from their abstract demonstrates the scientific nature of their research approach:

The RC ratio decreased to 1.86–4.36 by the incubation at 39°C for 10 min. However, when ki-energy was applied by a Japanese ki-expert during the heat treatment, the ratio was improved to 2.24–5.23. We used five preparations from five different rats, and the significance of the differences of each experiment was either  $P < 0.05$  or  $P < 0.01$  ( $n = 3-5$ ). (Ohnishi et al., 2006, p. 475)

Ohnishi et al. (2006), through this study, sought to test whether ki energy could affect the biological process of heat-induced damage to living mitochondria and, if so, what mechanism caused the effect. Through the application of scientific method, using measurement instrumentation under controlled experimental conditions, they determined that a ki practitioner was able to direct infrared energy through the fingertips, to the sample cells. Their findings suggested that this infrared (light) energy interfered with the metabolic interplay of calcium and magnesium ions in a way that reduced the damage normally caused to mitochondrial cells when exposed to heat. This is an excellent example of using scientific research methods and measurement techniques to conduct inquiry into the physical phenomenon of ki energy.



Several similar studies have been conducted on ki energy and its effect using traditional scientific methods, applied to human and non-human organisms (Chang et al., 1995; Curtis & Hurtak, 2004; Popp, Chang, & Gu, 1994; Popp & Li, 1993). In each of the studies, scientific measurement of specific biological phenomena were taken and reported against a control group to say something about the way that ki energy interacts with and affects living organisms. These studies all shared the common objective of discovering potential interventions or therapies for illness and disease of the body using ki energy. Taken together, these studies indicate that ki energy can be transmitted from, and received by living organisms, and that it may be applied as a form of protective or restorative therapeutic intervention.

Another inquiry path focuses on the essential physical properties of ki energy. Here researchers' efforts seek to show, scientifically, the form that ki energy takes—using known concepts of energy as their base. An excellent example of this can be seen in studies that use electroencephalogram (EEG) technology to study the electrical activity in the brain of practitioners and recipients of ki energy. The general approach employed in these studies involves monitoring ki practitioners and recipients with EEG sensors and looking for changes in electrical brain activity at the same time that ki energy is transmitted. Some EEG studies showed changes that researchers attribute to ki energy (Fujiki & Macer, 1992) and some found no evidence of electrical activity changes attributable to the transmission of ki energy. One such study that used EEG monitoring and analysis, and found no evidence of changes in activity provides an interesting example of the underlying epistemology, and perspective of some researchers engaging in this kind of inquiry into ki energy.

Koizumi and Reeves (1999) conducted an EEG study of ki using an experienced ki practitioner and three participants as ki recipients. The ki practitioner was a 54-year-old Japanese man with more than 20 years of experience in ki therapy and martial arts practice. The participants were all female, ages 43, 51, and 62. None of the three participants had any prior experience with ki therapy. The researchers conducted a series of sessions during which ki was transmitted to the participants (one participant per session) in three-minute increments. Both the ki practitioner and the participants were monitored by EEG. The EEG tracings were reviewed by an expert neurologist who was unaware of (blind to) the conditions of the study. The expert reviewer found no remarkable changes (beyond the normal fluctuations in cerebral electrical activity) in the EEG tracings from either the practitioner or any of the participants. In other words, the EEG tracing morphology changed, but showed no evidence that ki energy was influencing or acting on electrical activity in the brain(s).

A finding of nothing is not particularly interesting in and of itself. What is interesting is the conclusion that Koizumi and Reeves (1999) arrived at in the report of their research, which was subsequently published in the *Journal of Alternative and Complimentary Medicine*:

EEG may not be an appropriate instrument to measure ki activities, at least for moving ki as used in this study. Further studies are needed to gain a better understanding of the nature of ki by exploring other measures of ki activity.

(p. 349)

What is interesting about their conclusions is that they did not conclude that ki does not exist, but, rather, that ki does not manifest as electrical activity in the brain. This demonstrates the markedly different nature of the underlying question that drives the inquiry—that being: What is the essence of ki? What kind of energy is it? This is a much different type of question than one might expect from research that uses traditional scientific method in the positivist tradition.

A positivistic inquiry into ki is likely to ask: Does ki energy exist? Under that research paradigm and the accompanying epistemology, a finding like the one above may lead the positivistic researcher to a completely different conclusion using the same research design and findings—that the EEG study provided no evidence of the existence of ki energy, or, in the more extreme case, that the current study shows that ki energy does not exist. Instead, Koizumi and Reeves (1999) suggested in their conclusion that ki energy is probably some other kind of energy that is not detected by EEG.

Koizumi and Reeves' (1999) study left some things to be desired. There appears to be a fundamental mismatch between the real question they seemed to be asking and the methods they chose to answer that question. Their objective as stated was “to measure changes in electroencephalogram (EEG) of a ki master and ki recipients during ki emission” (p. 349). The statement of objective suggests an assumption that there will be changes in electrical brain activity as a result of ki transmission. They seemed to report with a bit of surprise that no changes were observed. A more interesting place to look in terms of finding the contribution of this study to the existing literature and research on ki energy may be not

in the lack of observed changes in EEG activity, but in the EEG analysis that they did not conduct.

Several theories of ki energy propose that ki functions not by altering brain activity, but by synchronizing the frequency and timing of alpha and beta brain waves in specific parts of the brains of the sender and receiver (Curtis & Hurtak, 2004; McTaggart, 2007; Popp et al., 1994). Collectively, these studies suggest that ki energy can be used to create connections between people. It is the synchronization function and the location of cerebral activity that many researchers identify as the mechanism of action of ki energy.

Despite having the time stamped EEG tracings, Koizumi and Reeves (1999) did not include brain wave synchronization analysis in the research design. This omission may be due, in part, to the nature of their underlying question, which focused, perhaps too specifically, on measuring changes in EEG activity. A question more consistent with what they really seemed to be trying to get at might have been: What is the synchronizing effect of ki energy on the brains of senders and recipients of ki? This type of question might have naturally led them to a different, more comprehensive analysis of the data they collected as part of their study. It may be that they would have been able to use a similar or identical study design, but would have arrived at a more robust and meaningful conclusion about the essence of ki energy. Their study may have missed an important opportunity to learn more about the ways in which ki energy can connect people.

Research on ki energy as a mechanism for self-cultivation and self-development. Another approach to researching ki energy involves practitioner-researchers asking: How could one transform and develop as an individual through the application of ki principles in

daily life? This research approach comes directly from the Eastern epistemology discussed earlier, where one's direct personal experience creates the basis for inquiry. The primary purpose of this inquiry is not to create theory, generalize to a population, or describe the lived experiences of (or to) others, but simply to experience. For the most part, these research endeavors manifest in books or papers that are autobiographical in nature.

An excellent example can be seen in Leonard's (1999) discussion of his personal transformative experience throughout a more than 20-year period of practicing ki principles through aikido practice. Leonard described in some detail the way in which his interpersonal interactions fundamentally changed and improved through his practice. He focused particularly on the ability to perceive the intent of others through increased presence, and his increased ability to effectively communicate with others on a number of levels. He attributed improvements in his life to increased ability to send and receive ki energy, which he sometimes described as intent. Leonard discussed some of the experiments that have been conducted in the study of this perception and communication based on ki:

This area of inquiry comes up naturally in aikido, an art in which considerable sensitivity is required to perceive the intentions of an attacker and therefore blend with, "become one with," his or her movements. In drawing life lessons from this art, I come back again and again to the question of undeveloped human capacities and the possibility that developing such capacities could increase our empathy with and understanding of others and perhaps mark the beginning of a new step in human evolution. (p. 66)

Another excellent example of a practitioner-researcher exploring the question of the nature of transformation through ki energy is meditation and the martial arts, where Raposa (2003) discussed aikido meditation as a martial activity whose original intent was not to train one to do physical battle with outside enemies, but to combat the internal foe—the

aggressive, animalistic instincts that exist inside. Raposa explained the development of modern aikido breathing and meditation training practices, tracing them back to early Shinto, Buddhist, and Zen approaches to this internal spiritual combat, where the objective was, and is, increased awareness of one's own motives, actions, reactions (physical and otherwise) and an awareness of others.

Specifically, aikido practice using ki energy, is based on the ability to respond not to the physical movements of the attacker or training partner, but to their ki—the energy that is their intent. As Raposa (2003) explained, and as many aikido practitioners report, the movement of ki energy (the intent to move or attack) happens in advance of the movement of the physical body. Sensitivity to the movement of the ki of another depends on crisp awareness. This level of awareness requires calmness and relaxation. In these moments of calmness, relaxation, and awareness, aikido practitioners often experience a level of deep communication with others that allow them to instinctively move out of the way of attacks or other danger, despite the lack of physical indications or cues. Leonard's (1999) and Raposa's (2003) work highlighted the way ki energy can be used to increase connectedness and also to respond more effectively to aggression and violence.

Practitioner-researchers also consider how ki energy can be used to reduce internal stress, aggressive thinking, and violent tendencies. In her doctoral dissertation, McLean (1989) explored internal predisposition toward violence and presented a model for achieving what she called sacred warriorship—a state of agency and empowerment through nonviolence. McLean saw the predilection toward violence as stemming from early childhood experiences. The tendency toward violence, while deeply embedded in the

unconscious mind, was not innate in McLean's view, but resulted from trauma, primarily in early childhood—the severity of which could exist anywhere on a continuum from very minor psychological to serious physical, sexual, or other violent trauma. McLean saw achieving sacred warriorship as being a process of retraining the unconscious mind. As a result, McLean based her model on the work of Freud and Miller, and their respective approaches to psychoanalysis. McLean then introduced the ki energy component by likening aikido practice to the psychoanalytic approach:

The nonviolent aim of aikido and the overall goals of psychotherapy bear a close kinship in their common work in addressing the subconscious roots of violence in the individual. Both arts attempt to heal the results of early childhood trauma that may be carried over into the adult world through conditioned mind and somatic tensions.  
(p. 4)

McLean (1989) went on to say that both aikido and psychotherapy share the “common goal of freeing the individual from the compulsive patterns of violence. Both arts hold out the possibility of a life free of violence, healed of emotional trauma, and alive to the creative emergence of the present moment” (p. 5).

McLean's (1989) autoethnographic research was based on a combination of her own deep training, through which she experienced marked changes in her own level of inclination toward violent reactions, and on a case study of Badsha Kahn, a prominent member of Ghandi's core group in the nonviolent protest of the British occupation of India. In a sense, her own transformation was presented as a case study—an autoethnography of sorts. But, again, where ethnographic (including autoethnographic) study usually seeks to expand understanding of a culture, a phenomenon, or lived experience, McLean's autoethnographic research was endeavored primarily as part of her own self-cultivation work—a subtle but

important distinction. In one of the most powerful parts of her research into self she described, in beautiful prose, the way she perceived ki energy:

I could feel it from my teachers in their touch, often as an unusual sensation of softness and light that seemed to conduct their will in a way that I had never experienced before. The touch was compelling, because it conveyed a will whose essence was love. I felt it through my whole being. (p. 10)

McLean's (1989) research methods were both well-suited for the multiple questions she was addressing and superbly executed. Hers was a complex undertaking, that sought to blend elements of self-cultivation (in the Eastern tradition) along with developing and presenting a model (in the Western tradition) for reducing internal habituated tendencies toward stress, aggression, and violence. Ultimately, she was able to strike that balance in a graceful way, employing and blending research methods representative of both the Eastern and Western epistemologies.

Researching ki energy, in light of the mind-body oneness concept embedded in Eastern thought and the inherent body-mind dualism embedded in Western culture is challenging, but allows for the appropriateness of a variety of methods in addressing a variety of research questions. A consideration of the reviewed literature in total demonstrates that ki energy is a phenomenon that occurs and can be researched as a psychological phenomenon, a physical phenomenon, and a spiritual phenomenon. A plethora of quality research literature demonstrates that phenomena that are primarily connected to Eastern epistemology can be researched using methods and approaches traditionally considered Western (i.e., scientific). The important issue appears to be, not the matching of an epistemology or a phenomenon to a particular method, or set of methods of inquiry; but the



development of an appropriate research question matched with the right set of methods (techniques, approaches) to answer that question in the best way possible.

From the reviewed body of research on the psychological function and effect of ki energy it is clear that ki energy is a phenomenon of the mind. Ki energy, it appears, can be used, and researched as a type of therapeutic intervention for a variety of psychological conditions including stress and posttraumatic stress disorder. This body of research includes a mixed set of methods of inquiry including constructivist and positivistic approaches. From this research it appears that ki energy can be activated, through training, as a mechanism for coping in difficult life situations, and that ki energy can be used to increase attentiveness and engagement, create and sustain connections with others, and reduce levels of psychological stress and aggressive tendencies and behaviors.

The second body of reviewed literature approaches research on ki energy as a physical phenomenon. It focuses on the medical and physiological manifestation, function, and effect of ki energy on living organisms, using positivist methods as the primary culture of inquiry. Researchers in this area have not reached total agreement on a single mechanism of ki energy's effect; however, there is some agreement on the idea that ki energy may be a form of light energy or magnetic energy, or perhaps some combination of the two.

Finally, a body of research addresses ki energy as a spiritual phenomenon. This research focuses on the way in which ki energy can be applied as a mechanism for self-cultivation and self-development. While clearly distinct from the primary focus of ki energy as a physical phenomenon (where the body or physical world is the focus), the research on ki as a spiritual phenomenon is closer, both conceptually and methodologically, to the research

on ki as a phenomenon of the mind. Indeed, there is some overlap which can be seen in the research methods applied to ki as a psychological phenomenon and ki as a spiritual phenomenon, which are primarily constructivist and qualitative. In contrast, the majority of the research on ki energy as a physical phenomenon is done in the scientific, positivist tradition.

Despite the similarity of methodological approaches to researching ki energy as a psychological phenomenon and ki energy as a spiritual phenomenon, there remains a significant differentiating factor. As previously discussed, the research on ki as a spiritual development mechanism is fundamentally rooted in the eastern concept of mind-body oneness. Researchers such as Raposa (2003), Leonard (1999), and McLean (1989) conducted their research and inquiry with the primary objective of self-cultivation, exploration, and awareness development. They tended to use research methods (e.g., autoethnographies) that wove their own lived experiences in with those of others. These research approaches effectively blur the line between researcher and subject. The result is research that differs from that conducted under the common western epistemology in a way similar to that in which Japanese theatre differs from American theatre. In Japanese theatre, the audience is essentially irrelevant—the performance is the experience of the performer and their ability to be completely present and fully engaged in the performance.

The reviewed examples of the use of ki energy as a means of self-cultivation suggests that ki principles can potentially be used as a mechanism for developing in an individual, specific skills, characteristics, and abilities. The development of these skills, characteristics and abilities, using ki energy as a facilitator, may contribute to leader effectiveness.

***Implications for future research and practice.*** Taken together as a body of research on ki energy, the reviewed literature shows that there is much more to be understood about ki energy. Areas to be addressed include: what ki is, how it works, its beneficial applications, and how ki energy affects people's lives.

The way in which ki energy affects the leadership relationship or individual leader capability does not appear to have been researched in detail, although some anecdotal work suggests that ki energy can be used metaphorically to convey fundamental leadership principles (Clawson & Doner, 1996). This represents a promising inquiry path (at both the macro and the micro leadership levels) about how ki energy may contribute to the leadership relationship between groups of people in organizations, and how ki energy may allow an individual to improve their leader capability. The reviewed research shows that ki energy can function to connect and synchronize people, and to reduce stress, both of which could be of obvious benefit to those in leadership relationships. There are also indications that ki energy is related to the attention (Koizumi & Reeves, 1999), and as an individual practices working with ki energy, their ability to focus and sustain their attention can improve (Fromm, 1998). Future research on how leaders can apply ki energy to improve leadership relationships could add an important element currently missing from the literature on individual leader development by providing very tangible ways of cultivating individual leader skills and capability. Tohei's (1978) practices to apply ki principles in daily life provide a platform that can be used to study the effects of ki energy on individual leader capability.

***Ki principles.*** Master Koichi Tohei, a long time student of aikido's founder, Morihei Ueshiba (1883–1969) has developed a system of practice intended to allow an individual to access ki energy and apply it to improve the overall quality of their life. Tohei built on Ueshiba's aikido training approach, accentuating the explicit focus on mind and body unification and coordination through five distinct but connected practices, based on four foundational principles. Tohei's practices are intended for, *shinshin toitsu no yondai gensoku*, meaning to realize the unity of mind and body (Tohei, 1978). This is also referred to as shinshin toitsudo or the way of living with mind and body unified (Tohei, 1978). The five practices of Tohei's (1978) shinshin toitsudo are: breathing (ki no kokyu ho), sitting meditation (ki no seiza ho), a therapeutic healing touch practice (kiatsu ryoho), bell-ringing meditation (sokushin no gyo, or misogi), and aikido technique practice (aikido waza). Through these five practices, Tohei expanded considerably on the original aikido teachings of Ueshiba, minimizing the prime focus on aikido as a martial art or self-defense, and increasing the focus on personal development and improving one's life.

Tohei's (1978) five practices are meant to help the individual enjoy life and live harmoniously with others through unification of mind and body (Tohei, 2003). Tohei's practices are based on four principles to unify mind and body. A detailed discussion of these four principles follows.

***Four principles to unify mind and body.*** Tohei (2002) taught that the unification of mind and body is the key to a healthy, productive, and enjoyable life. He offered four principles for unifying mind and body, which include (a) keep one point, (b) relax completely, (c) keep weight underside, and (d) extend ki.

The four principles are experienced through each of the five practices of shinshin toitsudo—breathing, sitting meditation, ki healing therapy, bell-ringing meditation, and aikido with mind and body unified. The first and fourth principles refer primarily to the mind, and the second and third principles are primarily principles of the body. Certain limitations inherent in the English language, and inconsistencies between English and Japanese make direct translation of the four principles challenging. The translations provided above are Tohei's (1978) shortened form. Each of the four principles is explained more comprehensively below, and additional translation detail is provided for clarity of meaning.

The first principle is that to unify mind and body, keep one point. To keep one point means to bring the attention to the physical center of the body and to make this point the impetus for movement. Tohei (2002) identified the *one point* as a spot roughly two to three inches below the navel. It is the point in the lower abdomen that cannot be tensed when engaging the abdominal muscles. The original Japanese—seika no iten ni kokoro o shizumei toitsu suru—translates more directly to mean “calmly realize the mind at the one point in the lower abdomen.” The distinction between the meaning of keep one point and calmly realize the mind at the one point in the lower abdomen is a highly significant one that lies at the heart of Tohei's teachings. The use of the English word *keep* suggests that some action is necessary on the part of the practitioner. However, central to Tohei's teaching is the idea that it is the natural state for the focus to settle at the one point, and that people tend to habituate themselves to live with their attention diverted to other places. To *calmly realize* however,

suggests that one does not need to do anything, but to become aware of the natural inherent state. This theme is repeated in each of the principles.

Tohei's (1978) second principle to unify mind and body is relax completely. This is a reference to the body, but because the body and the mind are one, the manifestation of relaxation of the physical body is thought to be representative of the extent to which the mind is calm and relaxed. In other words, Tohei's practices conform to the philosophy that the state of the body indicates the state of the mind. Hence, the body is used as a barometer, indicating to the practitioner, and to those around them, the state of the mind. What Tohei presented in English as relax completely originally came from the Japanese—*zenshin no chikara o kanzen ni nuku*—translates literally to “completely release all tension from the entire body/mind and emotion,” illustrating the oneness of the mind and body.

An important component of Tohei's (1978) training method includes physical tests of stability called *ki tests*. These tests gauge the degree of physical stability and give the practitioner physical feedback as to the state of their mind, and where their attention is focused. The tests consist of a practice partner lightly, but firmly, pushing along various planes and vectors of the body. The direction of the force depends on the test, and on the position of the practitioner. Ki tests can be done in nearly any position including sitting, standing, walking, and kneeling. The practitioner who is able to maintain awareness of the one point during the test is invariably more stable than the practitioner whose mind wanders or is distracted by the test or other stimuli. Ultimately, the purpose of the test is not to exert enough force to push the other person over, but to give them feedback as to the state of their

mind, and to help them experience the feeling of having mind and body unified, and the feeling of not having mind and body unified. As Tohei explained,

Having no color, no odor, and no shape, the mind is not something that can be grasped by the senses. However, based on the principle that the mind and body are actually one, we can know the state of this ungraspable mind by testing the body, which is available to our senses. Ki tests are not founded on the idea of testing for strength or weakness. The most important factor in ki testing is to accurately inform the person of the state of his or her mind. Thus, the person performing ki tests must truly understand and exhibit Oneness of mind and body from the outset and then perform the tests correctly. (p. 22)

Tension in the body during ki testing becomes evident quickly through physical instability. This feeling of physical instability generally indicates an unsettled, tense, or distracted mind. The practitioner uses the physical feedback to make adjustments and relax more deeply. The test is then repeated. To relax in this context means to let the mind naturally settle at the one point in the lower abdomen. More advanced ki tests can be applied where the partner giving the test does not actually touch the practitioner receiving the test, but makes a non-physical connection by extending their intention and awareness to the partner. In these cases, the state of the practitioner's mind becomes evident with no physical contact between the two.

Tohei's (1978) third principle to unify mind and body, keep weight underside, is a nuanced continuation of the second principle—relax completely. To keep weight underside is the physical manifestation of relaxation. As Tohei pointed out, the weight of all things naturally goes to the bottom. This means the natural force of gravity wants to bring all mass, including the physical body, to its lowest possible point. Tohei presented this in Japanese—*karada no subete no bubun no omome o sono saikabu ni oku*—meaning “let the weight of every part of the body settle at its lowest point.” From a physiological, body mechanics

perspective, this means to allow the skeletal system of the body to naturally hold itself and the rest of the body up, as opposed to using the musculature to do so.

Tohei (2003) pointed out that it is common for people to engage muscles unnecessarily, introducing physical tension and stress in the course of everyday activities such as sitting, walking, driving, standing, and even laying down. Engaging extra muscles is not only inefficient, but indicates tension in the mind. It leads to physical fatigue—often of the lower back, shoulders, and neck. However, like Feldenkrais (1972), Tohei said that introducing this additional stress into the body is often not intentional or conscious, but is habituated over time, often unknowingly, in reaction to the experiences of daily living:

In a natural state, the weight of objects is always underside. Therefore, the physical expression of living calmness is that the weight of every part of our body is also underside. Like the calm, still surface of the water that reflects the moon and a flying bird, true living calmness is the condition of our mind that reflects all things clearly. This is our original and natural state. By understanding these principles, we can acquire true living calmness. (p. 7)

Tohei (1978) taught that people can become better equipped to function effectively in their daily lives by releasing tension and returning to their natural state of relaxation (of body and mind), and that the feeling of a calm mind can be experienced through the physical body by allowing the weight of the body to settle naturally to its lowest point.

Tohei's (1978) fourth and final principle was to extend ki. The real essence of this principle is a casualty of translation. In Japanese, it is said, *ki o dasu*, meaning ki is extending. The practitioner is to become aware of the infinite and constant flow of ki energy, and that the flow of ki energy emanates from the one-point in the lower abdomen. To extend ki is to become aware of the natural ki extension well beyond the physical body, and to send the awareness and intention out in all directions.



Each of the four principles are actually the same.

Each of the four basic principles of mind and body coordination describe the same thing in different words. It is impossible to separate them. If you properly maintain one of the principles, you automatically have the other three. Similarly, if you lose any one of them, you lose them all. (Reed, 1992, p. 173)

Through his four principles to unify mind and body, Tohei greatly expanded the accessibility of Ueshiba's original training and development paradigm. He did this primarily by reducing as much of the esoteric language and practice as he was able.

The daily practices for leader development used in the current study have been developed to expand the accessibility of Tohei's four principles to unify mind and body further still by continuing to reduce the esoteric elements of Tohei's practices. Further, the current study worked to distill those practices down to their essence, while delivering them in a form that is contextually appropriate in a western professional setting.

The result is a set of daily practices that can be done in the course of regular activities in the daily life of an average working person. The practices have been incorporated into daily activities such as driving a car, walking down a hallway, sitting at a desk, drinking a cup of coffee, and standing in a line. The practices are described in detail in chapter 3.

Tohei's pedagogical framework reduced much of the esoteric content and structure from Ueshiba's original teachings, making the principles of bodymind training more accessible to a wider range of people—particularly Westerners. In the definitive biographical account of Tohei's life and teaching, Reed (1992) detailed Tohei's lifelong study of Zen, Shinto, Buddhism, aikido, breathing and meditative practice, beginning when he was a sickly young man. Reed explained that the brilliance of Tohei's teachings is the simplicity with which he has been able to explain the essence of these practices and

knowledge that he spent his lifetime learning. “Tohei spent his life paring what he learned from experience down to the essence and attempting to organize it into a teachable way that works for anyone, in any culture and at any time” (p. 63).

The current study is intended to build on Tohei’s work, which spans some seven decades, through the development, and the empirical study, of a set of practices for leader development. These practices are based on Tohei’s teachings, and specifically on his four principles to unify mind and body, which were discussed above. Just as Tohei continued and expanded Ueshiba’s teachings, making them increasingly legible to a wider audience, the current study seeks to apply Tohei’s principles for coordinating mind and body and expand them for the purposes of increasing individual leader capability.

Tohei’s approach is not explicitly focused on increasing leader capability, but rather on creating increases to overall quality of life in areas including health, personal accomplishment, and interpersonal relationships. All of which, Tohei suggested, improve when the mind and body are unified.

Tohei’s approach for individuals to unify their minds and bodies is based on the ability to become aware of and access ki (pronounced key), the Japanese concept of universal energy. The daily practices for leader development applied and tested in the current study are a modified form of Tohei’s ki training practices.

### **Summary of Leader Development Literature and Research**

Individual leader development is a process whereby an individual identifies the characteristics, skills, and abilities they wish to develop to increase their overall leadership

capability. The person then takes some actions intended to improve themselves in those areas.

The leadership literature identifies some of these skills, characteristics, and abilities but, generally, does not explain how an individual would go about cultivating them. However, a growing subset of the leadership literature identifies leader development approaches that take the form of specific practices—things an individual could do to enhance their overall leadership capability. These systems of practice often focus primarily on behaviors, and not on the underlying drivers of those behaviors. An important feature of practices for the cultivation of characteristics, skills, and abilities is the formation of positive habits (of behavior and of mind) along with the replacement of habits that are not helpful.

It appears that, while leadership is generally valued, certain societal norms may actually undermine the individual development of the very characteristics, skills, and abilities that make the best leadership possible. The reviewed practices collectively suggest that some common tendencies, norms, and cultural mores may function to prevent individuals from cultivating certain leadership skills and abilities. These include inattentiveness (sometimes due to many multiple stimuli), a sense of separation from others, and high levels of stress and tension (which manifest through anger and frustration). These common tendencies become habituated in individuals and look to present potential barriers to leader development in many instances. However, these tendencies are not fixed—they can be changed. As a result, comprehensive systems of practice for individual leader development should directly address habituated, counterproductive tendencies, and should seek to cultivate in an individual:

1. Increased attention capability.
2. The ability to establish and maintain genuine connections to others.
3. Reductions in tension and stress, and the aggressive outward behaviors that can accompany them.

Based on its potential to affect attention, connection to others, and levels of tension and stress, ki energy may provide an effective foundation upon which leader capability can be cultivated, through a system of practice. Because leader development practices that seek to directly address attention, connection, and stress using ki energy have not been readily available to practitioners, the effect of such an approach is not yet known.

## **Chapter III: Methodology**

### **Introduction**

This multiple single subject study examines the individual-level effect of engaging in a set of daily practices for leader development. The daily practices have been designed to address three very specific leader abilities at the individual level. These are the abilities of the individual leader to:

1. Focus, and sustain the focus of attention.
2. Establish and maintain genuine connections to other people.
3. Reduce and minimize tension and stress.

The current study tests if and how the leader capacity of each of the participants—senior leaders in organizations—is affected by the daily practices for leader development.

### **Research Question**

What is the effect of the daily practices for leader development on individual leader capability?

### **Assumptions**

Four basic assumptions underlie the study. They are:

1. Three individual-level abilities facilitate leader capability. The ability to: (a) purposefully direct attention, and sustain the focus of attention; (b) establish and maintain genuine connections to others; and (c) minimize tension and stress. (These three abilities can be cultivated through the daily practices for leader development, which have been designed for this study.)

2. Cultivating these abilities will facilitate development/changes/improvements in characteristics, skills, and behaviors associated with good leadership.
3. Improvements in leadership capability can be detected through the perceptions of both the individual and the people around them.

A detailed explanation of the daily practices for leader development and their underlying foundation and philosophy follows.

### **The Daily Practices for Leader Development**

The daily practices for leader development are designed to allow practitioners to apply Tohei's ki principles to address the three identified barriers to leader development (inattentiveness, separation from others, and tension and stress) and to result in specific, detectable changes in practitioners. These changes are:

1. Increased ability to purposefully direct attention, and sustain the focus of attention.
2. Improved capacity for establishing and maintaining genuine connection to others.
3. Decreased tension and stress.

Changes in one or more of these three areas at the individual level results in increased overall leader capability. The changes may be detectable through 360-degree leader assessment instruments that provide insight into how the leader is perceived and experienced by peers, direct reports, colleagues, and others, and through the leader's self-assessment during the study period.

The daily practices for leader development used in the study are described in detail below. There are seven distinct practices (techniques), each of which have been designed to

address at least one of the three leader abilities: attention, connection, and tension/stress.

Table 3.1 lists the practices and shows the relationship between each practice and the three targeted leader abilities. A detailed description of each practice follows.

Table 3.1

*Leader Abilities Addressed by Daily Practices*

Practice	Attention	Connection	Tension/Stress
Sitting posture	X		X
Standing posture	X		X
Standing up and sitting down	X		
Walking	X		
Drinking	X		
Driving practice 1: Merging with traffic	X	X	
Driving practice 2: Following another car	X	X	

The ability to direct and sustain the focus of attention is addressed by all seven of the daily practices. The abilities to establish and sustain connections to others, and to reduce stress and tension are addressed by the practices as indicated in Table 3.1. The practices are based on the fundamental premise that, because they are one, the state of the body outwardly represents the state of the mind. Applying the practices daily and making the underlying principles of attention, connection, and relaxation habitual changes not only the behaviors of the individual, but the fundamental way in which they interpret and experience people, circumstances, and events. These changes in behaviors in turn, lead to different perceptions by those surrounding the individual. The practices are described in detail below.

**Sitting posture practice.** The sitting posture practice is intended to habituate the practitioner to be both relaxed and stable at the same time, while seated. A common mental model for achieving stability includes tension and rigidity in the body—specifically in the musculature of the body. In a sitting position, this muscular tension and rigidity often results in fatigue and soreness in the lower back and the neck. Tension in the shoulders is also common when sitting, especially when working at a computer or driving a car. In many cases, this type of muscular flexion and engagement is not deliberate, but occurs unconsciously as the result of habits formed over years.

Through the sitting posture practice, the practitioner develops a new habit of sitting that does not involve the engagement of superfluous muscles to hold them in the seated position. Proper sitting posture is efficient and economical, and allows one to remain in a comfortable seated position for long periods without fatigue or soreness.

Introduction to the sitting posture practice begins by having the practitioner sit normally and conduct a self-survey of the entire body, identifying areas where there is muscular tension. Awareness of involuntary muscle engagement is critical. The practitioner senses which muscles they are engaging to hold themselves up in a seated position. They identify any spots where there is tension, soreness, or fatigue. It is very common for people to become closed and compressed when in a seated position, with the shoulders rounded in and down. The optimal sitting posture is relaxed with a lengthened spine and open torso, without engaging unnecessary muscles or introducing tension to the body.

The sitting posture practice helps to habituate the practitioner to allow the natural force of gravity to support them in a stable and relaxed seated position as opposed to



effectively fighting gravity by engaging unnecessary muscles to hold the body up. This practice is intended to create more regular awareness of (and attention to) the state of the body and is based on Tohei's (1978) principles to unify mind and body—relax completely and keep weight underside. The specific steps and instruction for the sitting practice can be seen in the daily practices for leader development practitioner's guide (see Appendix B).

**Standing posture practice.** Like the sitting practice, the standing posture practice is intended to allow the practitioner to feel simultaneously relaxed and stable. As with sitting, standing is often accomplished by engaging and tensing many unnecessary muscles, effectively fighting gravity. This can result in pain and fatigue in the back, legs, knees, neck, and abdominals. It is possible to stand in a relaxed way, that is very stable, and that is efficient and economical, minimizing the use of extra musculature. The standing practice is similar in intent to the sitting practice, in that it targets tension reduction and awareness/focusing of the attention on the act of standing.

**Standing up and sitting down.** Both the sitting and standing posture practices provide a foundational experience of what it feels like to be stationary with the mind and body unified—to have the mind and the body together in the same place, at the same time, doing the same thing. Much of everyday life happens in motion. The standing up and sitting down practice provides an opportunity to experience mind-body unification in motion. This practice targets maintaining the attention throughout the entire process of going from a standing position to a sitting position, and vice versa. It can be practiced every time the practitioner stands or sits, and is completely undetectable.

The sitting to standing practice provides a brief experience of the feeling of moving with mind and body unified. The entire process of transitioning from sitting to standing, or standing to sitting is generally one to two seconds. The practitioner should begin to feel the difference between moving in a unified way, and not. Once the feeling of the difference between those two states is understood the practitioner can begin to practice maintaining the unified state for longer periods of time. The walking practice is an opportunity to do that.

**Walking practice.** The basic act of walking can be an incredibly graceful and enjoyable one. An ideal walk is economical, activating only the muscles necessary to move the body through space. As a matter of habit, people often walk with a significant amount of extra movement and tension added that is not natural. As an example, it is common for people to exaggerate or limit the swing of the arms when walking. In both cases, muscles must be engaged to extend or limit the natural swing of the arm caused by the natural forces of gravity, momentum, and inertia. These extra movements can take the natural fluidity of motion away and make walking laborious and not very enjoyable. Through the walking practice, practitioners experience the feeling of walking with their mind and body unified, and have an opportunity to practice maintaining this state as they walk.

Through the walking practice, the underlying principle of training the attention becomes more evident because given more idle time, the mind tends to wander. It is not uncommon for practitioners to report having walked for several minutes and suddenly realize they have no recollection of getting to where they are. Their minds have not been engaged in the present act of walking, but have been elsewhere. The walking practice provides an

opportunity to increase the ability to keep the attention (the mind) in the present for longer periods of time and with more clarity.

Through the walking practice, practitioners are instructed to maintain the proper standing posture and to monitor the activity of the mind throughout the process of walking. The idea is to keep the mind attentive to the act of walking, and to know where the mind is as much of the time as possible. As with several Eastern meditative practices, practitioners are encouraged to be aware of the activity of the mind while walking without making judgments about that activity (Nguyen & Nhât, 2006). In other words, the exercise is to become increasingly more aware of the tendencies of the mind to wander away from where the body is and what it is doing presently, and to go to either the future or the past.

While doing the walking practice, practitioners are likely to discover that they are able to maintain their attention on walking for only a short period of time before the mind has wandered. This is neither good nor bad. Practitioners are encouraged to continue practicing and monitoring the mind while walking. Over time, with regular practice, their ability to maintain attention on walking for longer periods is likely to increase. In the initial period of practice, it is the awareness of where the mind is that is most important. Practitioners may find that, while their mind continues to wander, they become aware more quickly when it does so they may see the amount of lost or unaccounted for time begin to diminish.

**Drinking practice.** The drinking practice can be done each time the practitioner takes a drink of water, coffee, or any beverage. It is similar to the standing up and sitting down practice in that it is an opportunity to practice quickly unifying the mind and the body, and focusing the attention for a very short duration.

The drinking practice involves making the process of taking a drink a very deliberate one. The practice instructions are presented in detail in the practitioner's guide, as follows:

Begin by being aware that you are about to reach for your cup. In your mind tell yourself, "I am going to take a drink now." Move your eyes to the cup first, then, watch your hand as it moves to the cup. If the cup is off to the side, turn your entire body so that your head and your torso move together, keeping your hand at or very near the vertical centerline of your body. If the cup is far enough away in front of you that you need to stretch for it, move your entire upper body, starting from the hips, as opposed to reaching from the shoulder or twisting your torso.

As your hand moves to the cup, be aware of the feeling of air moving across the back of your hand. Feel which muscles in your neck, shoulder, back, arm, and hand are engaging in the motion of reaching for your cup. Have the feeling of your entire arm and hand floating through space, the way your arm might float on the surface of water in a swimming pool as you turn and move.

When your hand comes in contact with the cup, feel the temperature and texture of it. Keep your eyes on the cup as you bring it to you and drink. Even if you are in a conversation with someone, reading, or looking at your computer screen, as you are reaching and drinking keep your eyes on your hand and cup.

As you drink, feel the way the weight of the cup shifts in your hand, and how the temperature changes as the liquid inside is redistributed. Notice the way you are gripping the cup and try to use the fewest muscles and the least amount of force possible throughout the movement.

As you drink, sense the feeling of the liquid entering your mouth. Be very conscious of the taste, temperature, and sensation. As you swallow, feel the temperature of the drink run down your body. Be very aware of where you can feel the warmth or cold throughout your body.

Now, return the cup to its starting place, being attentive to your own movements and all the sensations of moving the cup through space. Follow it with your eyes and set it down, making as little sound as possible as you place it back onto a flat surface. Follow your hand with your eyes as it moves away from the cup. Follow your hand with your eyes as it comes back into the midline of the body. As the hand comes back to the midline, shift your eyes to whatever you were doing before you drank and in your mind tell yourself, "I am finished drinking now." (excerpt from Appendix B)

Driving a car can be an invaluable activity from a practice perspective for a number of reasons. Driving often spawns a variety of thoughts, feelings, attitudes, and behaviors (Yagil, 2001). Research on cognitive function while driving (mostly in simulated driving experiments) has shown that driving is an activity during which the mind is likely to wander.

**Driving practice 1: Merging with traffic.** Merging into or out of the flow of traffic provides a good simulation of instances where collaboration and coordination are necessary to achieve a mutually desirable outcome—in the literal sense, this means no contact between cars. Metaphorically, merging can represent the degree to which one person is synchronized with, aware of, and connected to others. Because merging involves use of the physical body, the act itself provides detectable somatic indicators that can be used to increase awareness of habitual patterns and tendencies when interacting with others. The following excerpt from the daily practices for leader development practitioner’s guide explains the merging practice:

The objective of this practice is to do a “perfect merge.” A perfect merge is one where none of the drivers have to abruptly alter their speed as they merge together. Examples of both correct and incorrect merges are demonstrated on the accompanying DVD.

The perfect merge is fluid and graceful, like watching two expert figure skaters move together. There is no jerking or bumping, no abrupt braking or acceleration, no conflict between the drivers. It is as smooth as two streams coming together at a confluence.

To do the merging practice each time you encounter a merging situation, think to yourself, “We are going to do a perfect merge.” *We* refers, of course, to you and the drivers of the other cars that are part of the merge. They may or may not know that they are participants in this perfect merge, so you may have to do a little extra to make it work.

Start by checking your seated posture. In the car, you should be able to sit in a posture that is very similar to the sitting posture practice described above, and demonstrated on the accompanying DVD. Ensure that:

Your pelvis is rolled slightly down and forward.

Your shoulders are down and back, and relaxed.

Your head is up and back, aligned with your spine.

You are leaning slightly forward, keeping the proper spinal alignment.

Survey your body. Is there tension in your legs, back, neck, shoulders? As you discover tension, try to relax one tense muscle at a time.

Pay particular attention to the hands. They should be relaxed and resting on the steering wheel with the fingers in their natural anatomical bend. It is not necessary to tightly grasp the wheel. Rather than tightly grasping the wheel, allow your arms to fall down from the elbows. Gravity will naturally pull your hands into the steering wheel, making your connection to it strong and sure. If you relax the

arms completely, your hands will feel very heavy on the wheel, but you should still be able to move your relaxed shoulders.

Keep this solid and relaxed posture as you approach the merge area.

As you get closer to the merge, be aware of what you are thinking about. Merges happen in just a few seconds so if you are thinking about the meeting you just had, or the place you are going next it will be very difficult to do a perfect merge right now. This is what makes the merging practice so challenging.

Immediately after the merge assess it. Were you able to merge with the other cars without having to either stomp on the accelerator or slam on the brakes? Keep in mind that the quality of the merge is on a continuum from very bad to perfect. Was this the “perfect merge?”

Immediately check your body after the merge. Do a quick survey: legs, back, neck, shoulders, hands. Are you tense? Where is the tension? How is your posture?

Aside from the physical, how did the merge *feel*? What is your opinion of the other drivers? How did they participate in the merge?

When you arrive at your destination take a minute and enter the merging practice opportunities you just had in your daily practice journal. (excerpt from Appendix B)

The merging practice primarily targets the ability to establish and maintain connection to others, but also requires attentiveness and the minimization of tension. It is a particularly effective practice because (a) in a single outing or trip, there are often several opportunities to merge with traffic, (b) practitioners can become aware of differences associated with where they are coming from or going to, and (c) the quality of the outcome of each merge is non-ambiguous, and not subject to much subjective interpretation—either all drivers were able to merge without abruptly changing speed, or they were not.

**Driving practice 2: Following another car.** The second driving practice asks the practitioner to try to maintain a constant following distance behind the car in front of them. Like the merging practice, the following practice is intended to develop the ability to establish and maintain connections to others, which also requires attention and relaxation. Unlike merging, which is generally over in a matter of just a few seconds, following in behind another car tends to be perpetual in most parts of the U.S. Even if the car in front

changes, there is almost always a car in front. As a result, the following practice helps develop the ability to sustain connections and keep the attention focused for longer periods of time. It offers an excellent opportunity to become aware of the tendency of the mind to wander, to practice monitoring where the mind is, and bringing it back to the present. The following practice is described in the excerpt from the daily practices for leader development practitioner's guide, below:

The speed of cars in front of you is always changing. They slow down and speed up. They stop to turn, and for stop signs and traffic lights. As you drive, try to establish and maintain a constant, safe, and comfortable space between you and the car in front of you.

Rather than continually moving closer then farther away as the car you are following speeds up and slows down, maintain the same space by *matching* their changes, as opposed to *reacting* to their changes. Think about the two cars being connected by a steel pole welded to the front of your car and the rear of their car, so that the space between the two cars cannot change.

Do not attempt to follow the same car. If you are practicing with a car and it leaves the lane you want to be in, do not change lanes. Simply connect to another car in the lane you want to be in, establish the following distance with the new car, and then maintain it.

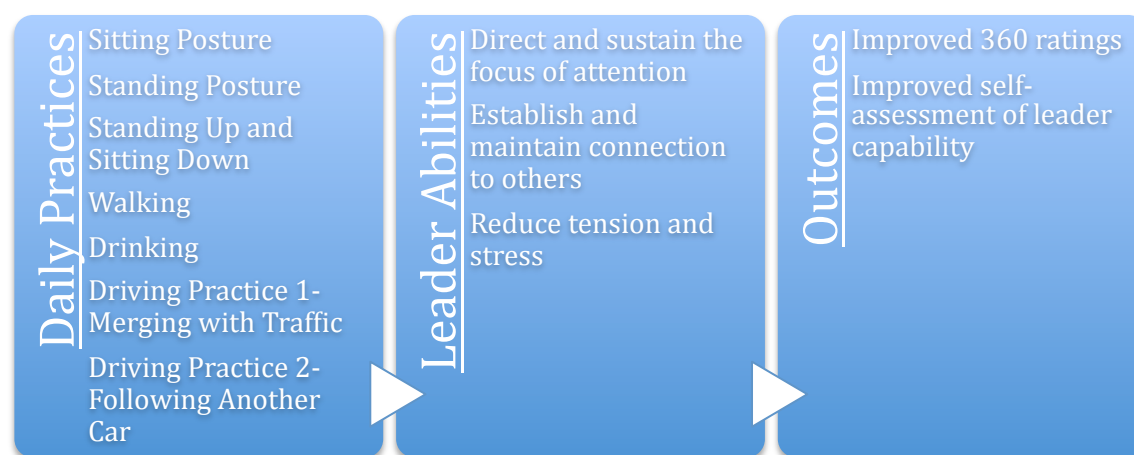
When you come to a traffic light or stop sign, it is ok to let the gap between cars close. Once you are back in motion, reestablish the distance you want and go back to trying to keep it constant.

As you practice, you may feel compelled to take your foot off of the accelerator, or to speed up. Be aware of these instincts and notice if they precede any changes in the car you are following.

Maintain the seated posture from the sitting posture practice, and try to remain aware of any tension throughout the body. As you become aware of tension try to relax those specific muscles. Refer to the merging practice directions for details on the relaxed seated position in the car. (excerpt from Appendix B)

Combined, these practices provide the practitioner with a variety of opportunities to become aware of their established habits of mind and behavior with regard to attentiveness, connection to others, and tension and stress. Awareness of these habits, coupled with regular

opportunities to practice alternative ways of acting and interacting, help to cultivate the three core leader capabilities, resulting in desired leader development outcomes (Figure 3.1).



*Figure 3.1. Daily practices mapped to leader development outcomes.*

### **Research Question**

What is the effect of the daily practices for leader development on individual leader capability?

### **Methodology**

This study was conducted to determine the effect that the daily practices for leader development had on each individual study participant. It is the behavior, and perceptions of behavior, of each individual participant that was ultimately being studied. The practices used in this study can be thought of as a form of training intervention intended to lead to behavioral changes in individual leaders. The multiple single subject research method has shown to be an effective way to identify and understand changes resulting from interventions in clinical (Harris & Riffle, 1986), educational (Barger-Anderson, Domaracki, Kearney-Vakulick, & Kubina, 2004), and therapeutic (Michael, Deacon, & Steven, 2007) settings, and



can be effectively employed in studying changes in individual social and interpersonal behavior (Trudi & Leasha, 2008). In the educational context, Barger-Anderson et al. (2004) pointed out that “single-case research designs help teachers and researchers examine variables that effect student learning” (p. 218). Likewise, the single subject design can be applied to the question of the effect of variables that may affect leader capability, including attention, connection, and tension/stress.

The single subject research method is appropriate and applicable when the research objective is to gauge the efficacy of intervention or treatment (Kazdin, 1982; Leary, 2008). Several variations of the single subject study (Franklin, Allison, & Gorman, 1997) have been developed and used in a number of different environments, to explore a variety of phenomena. These include (a) the withdrawal design, where interventions are applied and then removed (Rusch & Kazdin, 1981); (b) the multi-element or alternating treatment design (Barlow & Hayes, 1979), which involves the application of more than one type of treatment or intervention to a subject, alternating between them and measuring results; and (c) the multiple baseline design, in which each phenomenon (dependent variable) to be studied is considered to be a baseline which is measured over time and compared to a pre-intervention measurement.

Withdrawal designs and multi-element designs have been used extensively, and with excellent results in clinical, therapeutic, and educational settings. The objective of these studies is often to identify causal relationships between stimuli, behavior, and outcomes, for the purpose of generalizing, and ultimately prescribing, clinical, therapeutic, pharmacological, or educational treatments and interventions.

Of these types of single subject research designs, the multiple baseline design is best suited for this study of the effect of an intervention (the daily practices for leader development) on individual leader capability. The single subject multiple baseline design has been used to collect time-phased data sets in order to track changes in individual behavior, resulting from deliberate interventions over time. An important distinguishing characteristic of the multiple baseline design, as compared to withdrawal and multi-element designs, is that the treatment or intervention applied is not removed or discontinued during the study as it is with withdrawal designs—nor is the treatment or intervention alternated or modified as it sometimes is in multi-element designs or alternating treatment designs.

Application in the current study of the single subject multiple baseline design allowed for initial, pre-intervention readings to be taken on the primary phenomena of leader capability. It was then possible to take subsequent readings after training the study participants in the daily practices (the intervention), and to make comparisons to the baseline readings to determine what effect the daily practices for leader development had on leader capability, as measured using the core constructs of attention, connection, and tension/stress. The use of a 360-degree leader capability assessment instrument that included items which can be combined to create indices for the core constructs of attention, connection to others, and tension/stress, provided a means to determine the effect that changes in these three areas had on participant and external observer perceptions of overall leader quality, skill, and ability.

The data collection strategy for the study included two distinct data collection techniques. The first was a 360-degree assessment of overall leader capability, which was

conducted two times and provided pre- and post-intervention data points. The initial 360-degree assessment was conducted in the beginning of the study, prior to the participants learning the practices, and served as the baseline for both overall leader capability, and for the three constructs central to the study: attention, connection to others, and tension/stress. The 360-degree assessment included items that measured these constructs, which were combined to form construct indices. The second 360-degree assessment, at the conclusion of the 12-week study period, provided the post-intervention perspective. In addition to the pre- and post-intervention 360-degree data, time series data were collected each week through the hour-long one-on-one discussions between the principle investigator and each participant. Time series data were comprised of a subset of the items from the 360-assessment instrument, as well as a set of self-assessment questions relating to attention, connection, tension/stress, and overall leader ability rating. These time series data were collected from participants each week through a short written questionnaire. They provided insight into incremental changes occurring between the first and second 360-degree assessment of overall leader capability. Time series data also provided information on frequency and quality of experience of practice implementation, allowing for analysis of relationships between practice frequency and both overall, and incremental changes detected.

Both qualitative and quantitative data analysis techniques were applied. Quantitative data analysis included analysis of changes in construct index scores between the pre-training 360-degree assessment (T1) and the post-training and practice 360-degree assessment (T2). Quantitative changes in time series self-assessment data were also analyzed and are presented in chapter 4.

The pre- and post-360-degree assessment data provided the external perspective and helped to describe the changes in leader ability that occurred throughout the 12-week study, and the time series self-assessment data represented the participant's perceptions of the changes they experienced. Additionally, time series self-assessment data added richness and depth through insight into the factors that contributed to detected changes. The data collection and analysis process is shown in Figure 3.2.

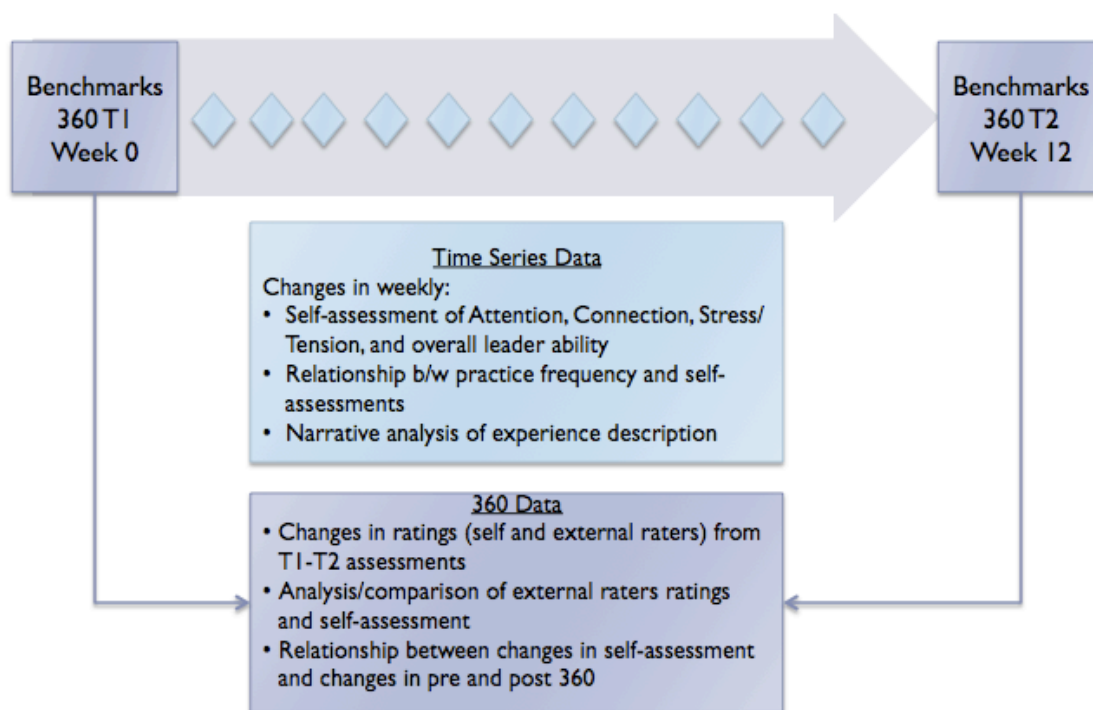


Figure 3.2. Data collection and analysis process.

## Study Design

The objective of this study was to determine the effect that the daily practices for leader development had on individuals. It is the behavior and perceptions of behavior that were ultimately being studied. The practices used in this study can be thought of as a form of intervention. Multiple single subject approaches have shown to be an effective way to

understand behavioral changes resulting from interventions in the clinical and therapeutic environments, and can be effectively employed in studying interpersonal behavior as well.

The daily practices for leader development were conveyed to the study participants in a 90-minute initial training session with the principal investigator. For ongoing reference throughout the study period, the participants were provided with (a) a practitioners guide to the daily practices for leader development (see Appendix B), and (b) a link to a website demonstrating each of the seven practices. These materials were provided at the end of the initial training session.

The participants were asked to implement the practices as often as possible during the 12-week study period. The researcher met weekly with each participant for one hour to discuss the participant's experiences with the practices and to collect time series self-assessment data, which was used to analyze, understand, and describe the effect of the practices. Both qualitative and quantitative data were collected to determine if changes in perceived leader capability and quality occurred, and if so, the extent to which they occurred, as determined by both the study participants themselves, and by those around them.

**The role of the researcher.** The primary researcher conducting this study is a practitioner of shinshin toitsu do and the developer of the daily practices for leader development. In this role as researcher/practitioner, interactions with the study participants included both data gathering activities and teaching/instruction in the daily practices.

The weekly sessions with the researcher were a critical component of the study and contributed significantly to the results. In these hour-long sessions, participants had opportunities to practice the standing, sitting, walking, and drinking techniques, and to

discuss the driving techniques. In addition to reviewing and discussing the practices, participants were guided through exercises intended to help participants increase their awareness of the state of their mind.

These awareness exercises are modeled after what Tohei (2002) called ki tests, or ki experiences. Through ki testing, one person informs the other as to the state of their mind. This information is conveyed through physical feedback in the bodies of both the person being tested and the person giving the test. Ki tests are performed by one person applying light pushing or static resistance to another, on any one of a number of planes or vectors.

All exercises are done in pairs where one partner is the study participant (person being tested) and the other partner is the researcher (delivering the test). The purpose of the tests is for the tester to provide an experience that allows the person tested to have increased understanding of the current state of their mind along the dimensions of attention, connection, and tension/stress. The awareness exercises used with study participants are described below. Descriptions here focus mainly on the mechanics of conducting the exercises. More detailed discussion of the purpose and function of these exercises is presented in chapter 5.

### **Weekly awareness exercises.**

***Standing with stability.*** The participant is asked to stand in the proper standing posture as described above, and demonstrated in the example video. The testee stands at nine o'clock facing three o'clock, the tester stands at six o'clock, facing twelve o'clock. In this position, the tester is oriented to the testee at 90 degrees, and stands 10 to 12 inches away. The tester then waits for the testee to appear settled and gently places the lightly cupped

hand, palm down, on the upper center of the testee's chest, letting the weight of the hand and arm settle, and keeping the arm, shoulder, hand, and fingers relaxed. After a slight pause, the tester applies gentle steady pressure on the 180-degree horizontal plane. If the testee is standing in the proper relaxed standing posture they feel stable and are not easily pushed over/backwards. If the testee has, or introduces tension into their body, by engaging musculature, they feel very rigid to the tester, and are easily moved. Tension in the physical body is indicative of tension in the mind, and a relaxed physical state indicates a calm mind.

The exercise can be repeated with modifications, including the tester giving direction to the testee as to where to focus their attention or to deliberately engage specific muscles ranging from the large muscles of the lower back, to the small muscles of the eye. This is done to help the testee experience the difference between various levels of relative tension and relaxation.

***Walking forward.*** This is done in the same positioning as the standing with stability test, but instead of applying light pushing pressure on the horizontal plane, the tester simply leaves their relaxed hand in place on the testee's chest and asks the testee to walk forward when they are ready. If the tester feels as though they are being pushed or dragged forward, the tester stops the forward motion.

The walking forward exercise can be modified so that the tester moves around another 90 degrees so that rather than facing the side of the testee, they are face to face, applying light pressure or static resistance with similar hand placement, then asking the testee to walk forward.

***Arm bend.*** The testee and tester stand in the same 90-degree orientation described in the standing with stability exercise. The tester asks the testee to extend the arm closest to the tester, at shoulder height. The tester then instructs the testee to not allow the tester to bend the outstretched arm. The tester places one hand on the underside of the forearm, and the other hand on the upper side on the bicep, then attempts to bend the arm in the natural direction of the bend of the elbow, being careful not to bend the elbow too quickly, or put too much pressure on the elbow joint. The tester attempts to bend the arm and the testee attempts to prevent the arm from being bent until either the arm bends or someone gives up. This is repeated multiple times with the tester giving various instructions to the testee as to physical adjustments, or other small changes so they can experience the amount of resistance or force necessary to prevent the arm from bending.

The decision as to which awareness exercises were most needed or applicable was made on a case-by-case basis each week by the researcher. They were generally not selected in advance, though in some cases, field notes and observations from the prior session were considered in preparation for weekly participant sessions. For the most part, determinations about what exercises would be most beneficial were made based on the observations the researcher made upon greeting the participant each week. The extent to which the researcher was able to make good determinations about what the participant needed each week was directly related to the degree of calmness of the researcher's mind at the time of the meetings.

The overall phases and steps of the current study are included in Table 3.2.



Table 3.2

*Steps in the Current Study Process*

Phase	Steps
Planning and preparation	Identify and recruit study participants.
Data collection	<p>Conduct baseline 360-degree assessment (T1) (week 0).</p> <p>Convey practices to participants through an initial one-hour training session (week 0).</p> <p>Begin weekly one-hour review sessions with participants to review practice implementation and collect time series self-assessment data. Collect weekly data, including frequency and narrative of experiences (weeks 1 through 12).</p> <p>Conduct second 360-degree assessment (T2) (week 12).</p>
Data analysis	Analyze results of both 360 assessments, including change from T1 to T2, time series self-assessment data, and responses to open-ended questions on weekly questionnaires.
Reporting	<p>Prepare and present participants with summary of pre- and post-360-degree assessments.</p> <p>Report of findings of study.</p>

**Data Collection and Analysis**

The effect of the daily practices for leader development on the study participants was measured using both qualitative and quantitative data. The procedures are detailed below.

**Qualitative data collection.** Throughout the study period, participants met with the researcher for one hour each week. These weekly discussions were used to address any questions the participants had about the practices, collect time series self-assessment data, and to gather data relating to participants' experience implementing the practices. Because of the somatic nature of some of the practices, the weekly sessions with participants also provided an opportunity for the researcher to observe any noticeable changes in participants' physical presence. Notes were generally not taken in weekly sessions with participants. Immediately following each participant session, the researcher took field notes for later review. Excerpts from researcher field notes are used to help describe the findings in chapter 4, and in the discussion in chapter 5.

**Qualitative data analysis.** Participant experience data was collected and analyzed on an intra-subject basis, to provide rich description of the participant's individual experiences with the practices. These data proved to be useful in comparing the relationship between practice frequency and changes in the pre- and post-360 assessments, within and between individual study participants.

**Quantitative data collection.** Multi-rater feedback approaches have been shown to be useful in assessing and improving individual leader capability (Edwards & Ewen, 1996; Fleenor & Prince, 1997; Kaplan & Palus, 1994; Maxwell, 2005; Venkateswara Rao & Rao, 2005). These multi-rater approaches, often referred to as *360-degree assessments* or *360s*, commonly use survey instruments to gather opinion and perception data about an individual, from a set of people who have regular contact with that individual, in a particular context.

The selection of the raters is typically made with the intent of gathering a variety of perspectives on the target individual.

A 360-degree assessment was conducted two times during the study period to provide insight into each participant's leader capability, as perceived by his or her superiors, peers, and direct reports. Readings using the 360-degree instrument were taken at week 0 (as a baseline), and again three to four months after the participant had been trained and had begun doing the daily practices.

In addition to pre- and post-intervention 360-degree assessment data, weekly time series data were collected using a subset of the items on the 360. Several 360-degree leader assessment instruments are available and were reviewed and considered for use in the study. The Center for Creative Leadership's (CCL) Benchmarks 360-Degree Leader Assessment Inventory was selected as the most suitable based on construct, reliability, and usability.

The Benchmarks 360-Degree Assessment Instrument was selected after a review of established, and frequently used, multi-rater leader assessment instruments. These included Benchmarks, Campbell Leadership Index, COMPASS, Executive Success Profile, Leader Behavior Analysis II, Acumen Leadership Skills, Leadership Practices Inventory, Leadership Effectiveness Analysis, Multifactor Leadership Questionnaire, PROFILOR, Survey of Leadership Practices, and Voices. A face validity review was conducted for each of the instruments to make an initial determination of their apparent ability to measure the key constructs of this study.

The Benchmarks 360-Degree Assessment was ultimately selected for its ability to measure attention, connection to others, and tension and stress, through items on the

Benchmarks assessment that measure similar constructs. The Benchmarks items selected provide information on behaviors on the part of the leader. These behaviors are the observable indicators of the leaders' ability in the areas of attention, connection, and tension/stress. Construct validity was established through a coding process in which subject matter experts with experience administering, interpreting, and providing feedback on the results of the Benchmarks Instrument were asked to indicate which, if any, items on Benchmarks related directly to the three core constructs of attention, connection to others, and tension/stress. Benchmarks subject matter experts participating in the coding process were individuals who had been trained and certified by the Center for Creative Leadership in interpreting and providing feedback on the Benchmarks Instrument, and who had a minimum of five years experience doing so. The subject matter experts were not provided with operational definitions of the construct terms, and were free to apply whatever meaning they chose to each term. The primary researcher conducted a similar coding procedure of which the subject matter experts were not involved or aware. The results of the independent item coding procedures were compared with considerable agreement on Benchmarks items relating to the three constructs. Table 3.3 shows the subset of the Benchmarks items that were included in the indices used to measure the three constructs of attention, connection, and tension/stress.

The Benchmarks survey provides an overall assessment of individual leader skill and ability from the perspective of the individual themselves, and those around them. The CCL Benchmarks Instrument has the advantages of established validity and a significant base of historical respondent data upon which to conduct comparative analysis.

The Benchmarks Instrument includes 155 items divided into two sections. The first section, comprised of 115 items, elicits from the respondent-observer, impressions of the skills and characteristics of the target manager or executive. The second section contains 40 items that ask about individual characteristics that have been shown to be detrimental to professional careers and can result in demotion, termination, and career stall. In both sections, one and two items are worded, “This person . . . ” followed by a description of a behavior, skill, characteristic, or attitude. Respondents are asked to rate the extent to which the target displays the described behaviors and characteristics using a five-point scale. In section one, the scale responses are 1 (not at all), 2 (to a little extent), 3 (to some extent), 4 (to a great extent), and 5 (to a very great extent). For the most part, because of the wording of the statements, the higher the rating on section one items, the more positive the rater’s assessment.

In section two, respondents are again asked to rate the target on 40 items that can potentially derail one’s career. For all 40 items in section two, a higher rating indicates a more negative perception about the target, on the part of the rater, for the given behavior described in each item. The scale for section two includes the following response options: 5 (strongly agree), 4 (tend to agree), 3 (hard to decide), 2 (tend to disagree), and 1 (strongly disagree). The full text of all 155 items is shown in Appendix C. All Benchmarks 360 items (when being responded to by raters other than the participant) begin with the statement, “This person . . .”. Item numbers labeled as 2\_x come from section two of the Benchmarks assessment.

Table 3.3

*360-Degree Assessment Items for Core Constructs*

	Item #	Item Text: "This person . . ."
Attention	35	is sensitive to signs of overwork in others.
	77	can effectively lead an operation from its inception through completion.
	2_2	neglects necessary work to concentrate on high-profile work.
	2_22	is overwhelmed by complex tasks.
	2_4	makes a splash and moves on without really completing a job.
Connection	10	shows interest in the needs, hopes, and dreams of other people.
	32	puts people at ease.
	39	is willing to help an employee with personal problems.
	42	tries to understand what other people think before making judgments about them.
	67	can settle problems with external groups without alienating them.
	79	involves others in the beginning stages of an initiative.
	89	listens to employees both when things are going well and when they are not.
Tension/ Stress	2	can deal effectively with resistant employees.
	14	can handle an unfair attack from peers with poise.
	112	remains calm when crises arise.
	2_12	tends to resist input from other departments.
	2_15	is dictatorial in his/her approach.
	2_17	makes direct reports or peers feel stupid or unintelligent.
	2_24	is emotionally volatile and unpredictable.
	2_27	adopts a bullying style under stress.
	2_29	does not handle pressure well.
	2_39	orders people around rather than working to get them on board.
	104	responds effectively to constructive criticism from others.

**Time series data.** Benchmarks 360-Degree Assessment data gathered pre- and post-training in the daily practices provided an overall assessment of perceptions of leader capability. To add fidelity and context to pre- and post-intervention data points, time series data were collected each week. These time series data included a subset of Benchmarks 360-Degree Assessment items that measure the constructs of attention, connection, and tension/stress. These incremental time series self-assessments collected from each participant allowed for visibility into self-perceived changes throughout the study period.

Time series data collected at weekly intervals also address very specific issues relating to the practices themselves, and their effect. Specifically, time series data provided insight into the following critical questions related to the underlying assumptions of the study:

1. Will participants apply the practices regularly?
2. Do the practices result in the cultivation of the skills related to attention, connection, and stress reduction?
3. Does the cultivation of one or more of these skills result in changes in perceived leader ability or quality?
4. Can changes resulting from the daily practices for leader development be detected with the Benchmarks 360-Degree Assessment Instrument?

These questions corresponded to a series of assumptions underlying the study. The first of those assumptions was that the daily practices for leader development resulted in the cultivation of increased attention, ability to establish and maintain connections to other people, and greater ability to reduce levels of stress and tension. The second assumption was

that the cultivation of these abilities would translate into changes in the way the participants were perceived by those around them.

Each week, in one-hour sessions with the principle researcher, data were collected from participants to address each of these questions and assumptions. Using a written questionnaire, participants were asked to rate their abilities in the areas of attention, connection, and tension/stress on a scale from 0 to 10, with 10 indicating the highest degree of ability and 0 indicating no ability in each respective area. The central research question, which was answered through the associated time series data, was “Do the practices result in the cultivation of the skills related to attention, connection, and stress reduction?” The questions to which participants responded each week were:

1. On a scale of 0 to 10, over the past week how would you assess your ability to stay focused?
2. On a scale of 0 to 10, over the past week how would you rate your ability to connect with other people?
3. On a scale of 0 to 10, over the past week how would you rate your overall stress level?
4. On a scale of 0 to 10 how would you assess your ability to reduce your stress level?

Similar time series data were collected to address the question of whether the cultivation of attention, connection, and tension/stress reduction resulted in changes to perceived leader capability. Each week, the participants responded to these questions about their leader ability:



1. On a scale of 0 to 10, how would you rate yourself as a leader over the past week?
2. What factors influenced the rating you gave yourself on leadership this week?

The final fundamental assumption of the study was that changes that do occur could be detected through the Benchmarks 360-Degree Assessment Instrument (while it is a tool for informing leader development decisions, the Center for Creative Leadership has not used their Benchmarks Instrument for pre- and post-intervention assessment). To test the assumption that the Benchmarks Instrument could detect changes, the results of the pre- and post-360-degree assessments, which included both external rater assessment and self-assessment, were compared to the weekly time series self-assessment data, which was the participants' perception of both their overall leader ability/quality, and their abilities and characteristics in the specific areas of attention, connection, and tension/stress, at weekly intervals over 12 weeks. Changes in time series self-assessments that were similar to changes between pre- and post-360-degree assessments (on the part of outside raters and the participants themselves) may have indicated the extent to which the Benchmarks Instrument was able to detect changes that occur as the result of perceived ability increases in the areas of attention, connection, and tension/stress reduction.

Each week in the session with the principle investigator, each participant responded to a frequency of practice question for each of the seven daily practices. An example of the frequency of practice question using the sitting practice is "Over the past week, how frequently did you apply each of the daily practices?" Potential responses were 1 (not at all), 2 (every few days), 3 (every other day), 4 (every day), 5 (several times a day).

Additional time series data provided incremental (weekly) data points on self-perceptions of ability in the areas of attention, connection, and tension/stress. These time series self-assessment data included a subset of Benchmarks 360 assessment items. The items were reworded into the first person, but the dimensions measured through the items remained the same. This allowed for both graphing of incremental changes over the entire 12-week study period, and comparison and analysis to the pre- and post-ratings on the same Benchmarks items (which also allowed for comparison of perceived changes on the part of the individual and changes in perception of those around the individual).

At each weekly session, participants were asked to provide a response to each of the items shown in Table 3.3, which correspond to attention, connection, and tension/stress, respectively. These items and their corresponding Benchmarks item number are shown in Appendix C and Appendix D shows the competencies and skills measures by Benchmarks. The Benchmarks Instrument uses two different response scales for item ratings. Items in Benchmarks' section one are rated on the scale from "not at all," "to a little extent," "to some extent," "to a great extent," and "to a very great extent." Benchmarks' section two item scale response options are "strongly disagree," "tend to disagree," "hard to decide," "tend to agree," and "strongly agree." Both sections use a 5-point numeric scale to correspond to each text response. These two response scales can be seen in Table 3.3, which includes some items from Benchmarks' first and second sections. For purposes of analysis and comparison, the item's numerical scale value was used. It is important to note that Benchmarks' section one rating scales make a positive response in most (not all) cases. In section two, a Benchmarks rating of 5 (without exception), a negative response.

**Quantitative data analysis.** Benchmarks 360 data were analyzed primarily through statistical analysis at the intra-subject level. Descriptive statistics are used to summarize and present intra-subject data. Because this study does not seek to project the findings onto a larger population, or to culminate in generalizable theory, inferential statistics are not used. Changes in ratings from time one baseline (T1) to time two secondary (T2) 360 assessments for each subject are used to determine the extent to which any change has occurred on any of the items related to the constructs of attention, connection, and tension/stress.

### **Participant Recruitment and Selection**

The recruitment, screening, and selection process specifically sought to identify study participants who had (a) been in their current position for at least one year, so their staffs and superiors were in a position to provide initial feedback through the first 360-degree evaluation, (b) were not scheduled (or planning) to participate in any additional leadership training or development activities during the study period, (c) were located in the Washington, D.C. metropolitan area and, (d) had no pre-existing relationship with the principle researcher. Age and gender were not factors in selecting study participants.

Potential study participants, meeting the criteria above, were identified in two ways. First, an email was sent to members of the researcher's professional network. The email provided a summary description of the study, the participant criteria, and requested that recipients pass the researcher's contact information along to anyone they thought would be interested in participating. Second, the Center for Creative Leadership (CCL) sent an email to approximately 300 individuals in the Washington, D.C. metropolitan area who were past clients of CCL, and who had completed a Benchmarks 360-Degree Assessment in the prior

12 months, but who had not done any other training or development with CCL during that time. Because the CCL Benchmarks Instrument was used as the primary external assessment mechanism for the study, CCL was interested in the research and the results, and supported the study.

Potential participants, whether referred by the CCL or through the researcher's professional network, contacted the researcher directly to express their interest in participation. The researcher then met with each potential participant to explain the study procedure and confirm that, with a detailed understanding of the time commitment and process, they wanted to participate.

Six potential participants contacted the researcher immediately. After the initial meeting to explain the study, one chose not to participate due to planned extended travel during the study period. The remaining five expressing interest were recruited and included in the study. Four of the five participants came through the researcher's network and one came from the CCL database. None of the participants had a prior relationship with the researcher. The participant group was diverse in age—spanning four decades—and included both men and women. Brief biographical descriptions of each participant are included in chapter 4, along with their associated results. Participants were senior executives or senior managers from a government organization, a not-for-profit organization, or a for-profit company. One participant was a senior official in a federal law enforcement agency. Two participants work for mid-sized public technology companies. One participant was the executive director of a large not-for-profit member organization. Another participant was the president of a large regional retail company.

Study participants received and executed an informed consent and agreement to participate in research study form/disclosure (see Appendix E). The informed consent and agreement detailed the steps taken to ensure participants' confidentiality and the time commitment required of participants. Additionally, the informed consent and agreement provided written consent, on the part of each participant, to have their Benchmarks 360-Degree Assessment data shared with the principle investigator. This written consent is required by the Center for Creative Leadership, and by independent coaches who are certified to review and assess Benchmarks data, and provide feedback on Benchmarks' assessments to participants.

Finally, the informed consent and agreement constituted and memorialized the commitment on the part of the participant to conduct the 360-degree assessment, learn the daily practices for leader development, meet weekly with the researcher, implement the daily practices, and allow information to be shared with the researcher. While the participant was always free to terminate their participation, the agreement represented something of a commitment from both the participant and the researcher.

### **Limitations of the Study**

This exploratory study was not intended to culminate in a general theory of leader development, but to report on the training and outcome experience of each individual leader/participant. The findings contained herein are not thought to be projectable to other groups or individuals.

The Center for Creative Leadership's Benchmarks 360-degree Assessment Instrument was used in an attempt to detect perceived changes in study participant behavior by their

bosses, peers, direct reports, and others around them. The average of all rater scores (excluding the participant) for the 23 Benchmarks items are shown in tables in chapter 4 with the pre- and post-scores for each item in separate columns, on the same row. The average item scores improved in some cases from pre- to post-assessment, and in some cases, item ratings became less positive from pre- to post-assessment.

Because the CCL instrument had not been used as a pre- and post-training intervention tool in the past, no relevant research had been conducted, and no guidance existed on how much change from pre- to post-assessment would be either significant or meaningful. In some cases, the pre- to post-item level change was as small as a few hundredths of a point (on a 5-point scale), and in other cases, the change from pre- to post-item was greater than 1 full point. However, at this time, it is not possible or useful to attempt to make assumptions about the extent to which either positive or negative change from pre- to post-rating was significant or meaningful. As a result, the Benchmarks 360-Degree Assessment Instrument may not be an accurate or meaningful way to capture or understand the perspective of outside observers relative to the constructs of attention, connection to others, or tension/stress. Nonetheless, the external rater data from the pre- and post-Benchmarks 360 Assessments collected through the study are presented in chapter 4.

### **Assumptions and Beliefs Underlying the Study**

A primary assumption of the study was that three individual-level abilities facilitate leader capability and improvement. These are the abilities to (a) purposefully direct attention (mental energy) and sustain the focus of attention, (b) establish and maintain genuine

connections to others, and (c) minimize tension and stress levels, and the aggressive outward behaviors that often accompany them.

Secondary assumptions related to changes in study participants and the ability to detect these changes. The assumption was that any changes that occurred through the study could (a) occur in 12 weeks, (b) be detected by the participant and outside observers, and (c) could be measured or detected using the Center for Creative Leadership's Benchmarks 360-Degree Instrument and the self-assessment data collection instruments developed for the study.

### **Ethical Issues**

Individuals who participate in multi-rater assessments typically do so because they are interested in understanding how others perceive them. Also, they are typically interested in how their self-perception comports with, or differs from, the perceptions of those around them along certain dimensions (in this case, leadership ability). Assessments of this type are essentially tools for self-improvement, which can only be accomplished through awareness and reconciliation of the perspectives captured through the 360-degree data gathering process. Typically, the results of 360-degree assessments are shared as immediately as possible with the subject of the assessment. In this case, two assessments were conducted using a 360-degree assessment instrument. Sharing the results of the baseline 360-degree assessment (T1) with the study participants may have caused them to alter behaviors they believed contributed to the ratings they received. To prevent this, the results and analysis of both the initial, and the secondary 360-degree assessment (T2) were shared with the participants only at the conclusion of the study. During the participant screening and

selection phase, full disclosure was made to the study participants to ensure they were aware of the timing of the analysis and review of both 360-degree assessments.

Early knowledge of the results of the initial 360-degree assessment on the part of the researcher may also have had an unwanted effect, through the weekly practice review meetings, causing the researcher to guide the participants toward certain practices or to focus on specific things. This could have resulted in unintended influence of the outcome on the part of the researcher. To avoid this the researcher did not review the raw data or any analyses of the initial 360-degree assessment until all 12 weekly sessions had concluded and the second round of 360-degree assessment data were collected.



## **Chapter IV: Results**

Five participants took part in the 12-week study. In an initial 90-minute one-on-one session, each participant was taught the daily practices for leader development and asked to implement the techniques as often as possible during the study period. The researcher met with each participant weekly for 30 to 60 minutes to review the techniques, address any questions from the participants, collect weekly time series data, and generally discuss the participants' experiences implementing the practices throughout the course of the week. Due to travel and vacation schedules, there were a small number of instances where two weeks elapsed between meetings of a participant and the researcher. In each of the five cases, a total of 12 sessions occurred, sometimes taking more than 12 chronological weeks to complete the 12 sessions.

The results for each individual participant, along with a brief biographical synopsis for each, are presented below. Participant data are presented using a uniform set of figures and tables. Participant A's data include more detailed explanation of the various figures and tables, and are applicable to the figures and tables for the remaining four participants.

### **Participant A**

Participant A is a senior leader in a federal law enforcement agency. He is a male in his early 40s. As a sworn law enforcement officer and administrator, participant A operates in an inherently high-stress environment. He manages a large staff of law enforcement and other professionals with responsibility for the physical security and safety of Presidentially-appointed and Senate-confirmed individuals and members of the general public. Additionally, he and his staff are responsible for the security of several federal installations.

Relative to many of the people who work for him, participant A is a young man, and he identified the age dynamic as one challenge of his job.

In the initial discussion and the 90-minute training session (week 0), participant A identified relaxation and attention as the prime abilities to focus on. He reported a high level of job-related stress and frequent distractibility, and provided an example of the former during the initial training session. The following excerpt describes what occurred:

When we went to watch the practice demonstration videos we discovered that participant A's computer did not have the QuickTime player installed and as a result the videos would not play. Because his is a government-owned computer, he needed to get authorization to download and install the free player software plug in for the web browser. I offered to put the videos on a disk in a different format and bring them to him but he was adamant about calling his network administrator to see if it was ok to download and install QuickTime. He was seated in his chair in a good relaxed posture when he initiated the phone call. We had just been working on the sitting posture so it was fresh in his mind. As soon as he began talking to the system administrator I heard his voice become somewhat stern and there was a feeling of agitation as he asked, and then repeated his question. He then said to the person on the other end of the phone, in an exasperated voice, "Do you have any idea what I am talking about?" He then quickly said to them, "Don't worry about it," and he hung up. He then picked up the phone again and called someone else and got authorization to download and install the QuickTime player. He apologized to me, and then said that he didn't want to discuss internal issues, but that they had problems with their network administration staff. From the time the call started to when it ended I watched his physical body go out of the nice relaxed and upright correct posture he was sitting in, to his original tense and closed seated posture. (Rakoff, field notes, June 3, 2009)

This provided a good view into the level of stress and tension participant A was experiencing, and an example of the kind of trigger that may activate that stress and cause it to manifest externally. Participant A's stress was also apparent in his physical form as described in this field note: "Participant A has obvious signs of stress in his physical body. His shoulders are raised and rounded in, lower back is hyper-extended in the lower lumbar

and sacral area. Participant A has forward head syndrome” (Rakoff, field notes, June 3, 2009).

Six days after the incident described above, the first of the 12 weekly one-on-one sessions took place. The following excerpt provides insight into participant A’s experience:

A striking difference in participant A’s standing posture is apparent upon greeting him. He reports feeling taller.

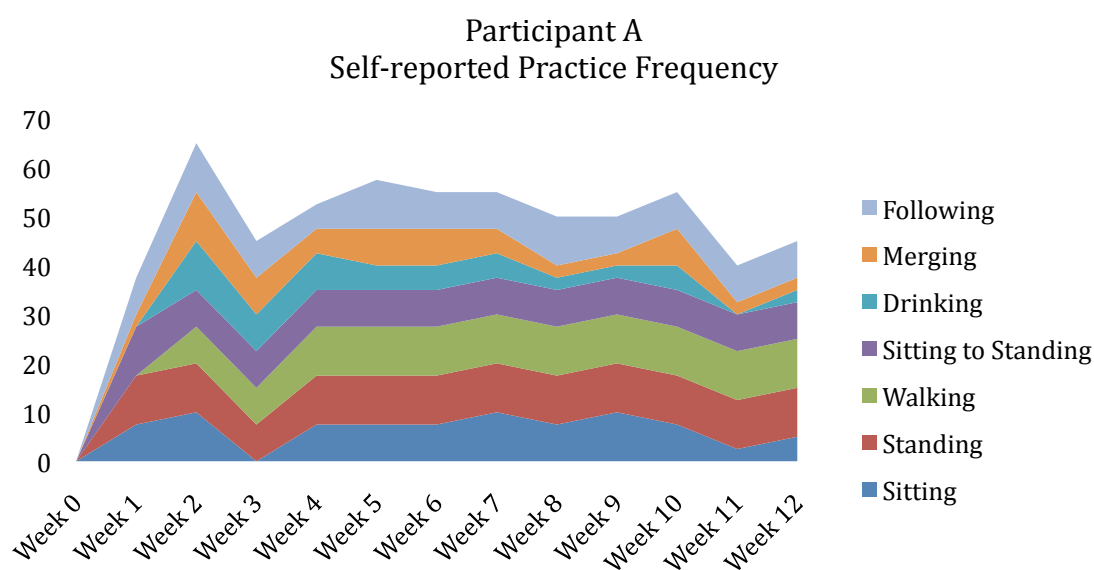
Participant A conveys a story of an event at work this week. From time to time they have “white powder letter incidents,” where a letter is received containing an unidentified white powder. He says these happen regularly enough that there is a protocol for dealing with them, but that it is generally a stressful situation. Typically, his staff contacts him and he stops whatever he is doing to oversee the process of responding to the incident. This time when he got the call from his staff he reports his response was markedly different than in the past. This time, he says he was able to thank his staff for letting him know and directed them to follow the protocol. He reports feeling more relaxed than in the past and more able to trust his staff to take care of the situation. (Rakoff, field notes, June 9, 2009)

In conveying this experience, participant A attributes his ability to be calm and to trust his team to deal appropriately with a potentially dangerous situation, to the awareness that the daily practices develop. Comparison of his self-assessment from week 0 to week 1 shows an increase in his ability to stay focused, and a decrease in his overall stress level. On the weekly time series questionnaire completed at the end of the week 1 session, participant A wrote, “through the exercises, I realized how much my mind wanders and how unfocused I truly am.”

### **Time Series Self-Assessment Data**

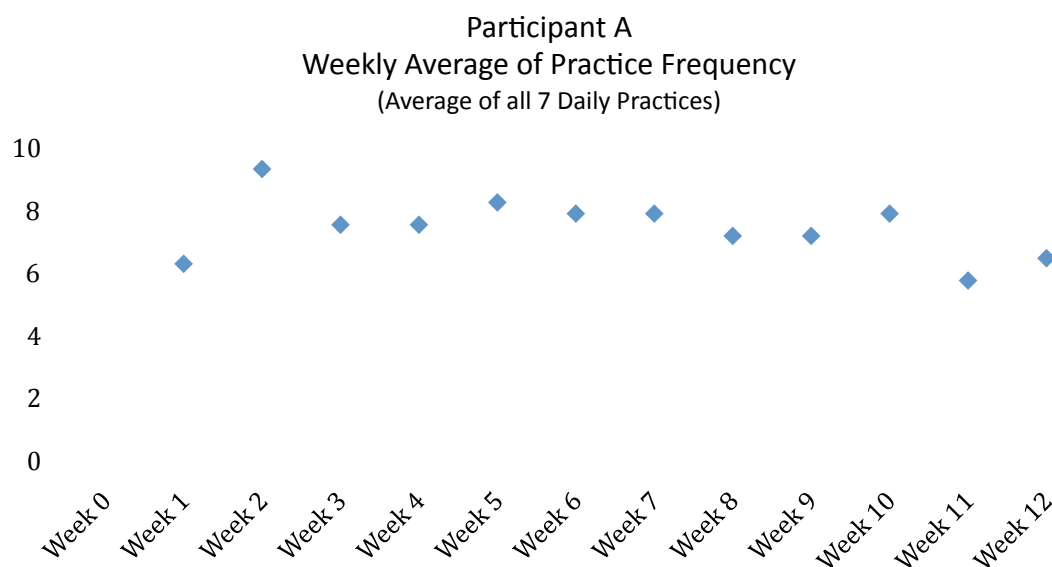
**Practice frequency.** Each week, participants were asked to report on the frequency with which they applied each of the seven daily practices. Practice frequency was collected using a 5-point scale on the weekly questionnaire (see Appendix A), and normalized to a 10-point scale to aid in data analysis and comparison to other time series data. Figure 4.1

graphically depicts each of the seven practices separately. The Y-axis scale ranges from 0 to 70 (with 70 representing the greatest possible additive value of responses on the 10-point response scale, and 0 indicates a practice was applied “not at all” during the week, 2.5 indicates “every few days,” 5 indicates “every other day,” 7.5 indicates “every day,” and a rating of 10 indicates the practice was applied “several times a day” during that week). The position of the upper most practice line in relation to the Y-axis represents the total additive value of all practices. The Y-axis scale is not applicable to any individual practice, but indicates the average combined frequency for all seven practices.



*Figure 4.1.* Weekly practice frequency—participant A.

Figure 4.2 shows an equally weighted average of all seven practices, and includes a linear trend line for reference.



*Figure 4.2.* Average weekly practice frequency—participant A.

As figures 4.1 and 4.2 show, participant A immediately began implementing the practices with high frequency and generally maintained the frequency throughout the first 10 weeks, as can be seen in relatively minor deflections from the baseline from weeks 3 through 10. In week 11, practice frequency began to drop off slightly. Then in week 12 overall practice frequency increased again, moving very close to the baseline. Participant A's overall average practice frequency across the 12 weeks was 7.44 on the 10-point scale, indicating he applied the techniques about every day.

Each week, time series self-assessment data were collected using a written questionnaire, which was completed by the participant at the end of the one-on-one session. Participants rated their abilities in the areas of attention, connection, and tension/stress, using a 10-point scale, with 0 being the lowest ability rating and 10 being the highest ability rating. Each weekly time series data collection was done independently of prior weeks so

participants did not see their prior self-reported rating when responding, but were rating themselves on their sense for their ability in each respective area for that week only.

Participant A's self-assessment data for the three core abilities of attention, connection, and tension/stress are charted (blue line) in figures 4.3 through 4.8. The verbatim from the weekly questionnaire appears at the top of each figure, and, for reference, the combined weekly average of self-reported practice frequency data (from Figure 4.2) is charted in red.

**Attention.** Between week 0 (baseline) and week 3, participant A reported a steady increase in his ability to stay focused (Figure 4.3). Increasing from a rating of 3 to a rating of 8 (on a 10-point scale). That increased ability was sustained throughout the remainder of the study period, ultimately increasing to a rating of 9 at the conclusion of the study. Participant A's self-ratings on overall productivity at work showed no change at the conclusion of the study period, as compared to the baseline rating, and varied minimally from the baseline throughout the study period (Figure 4.4).

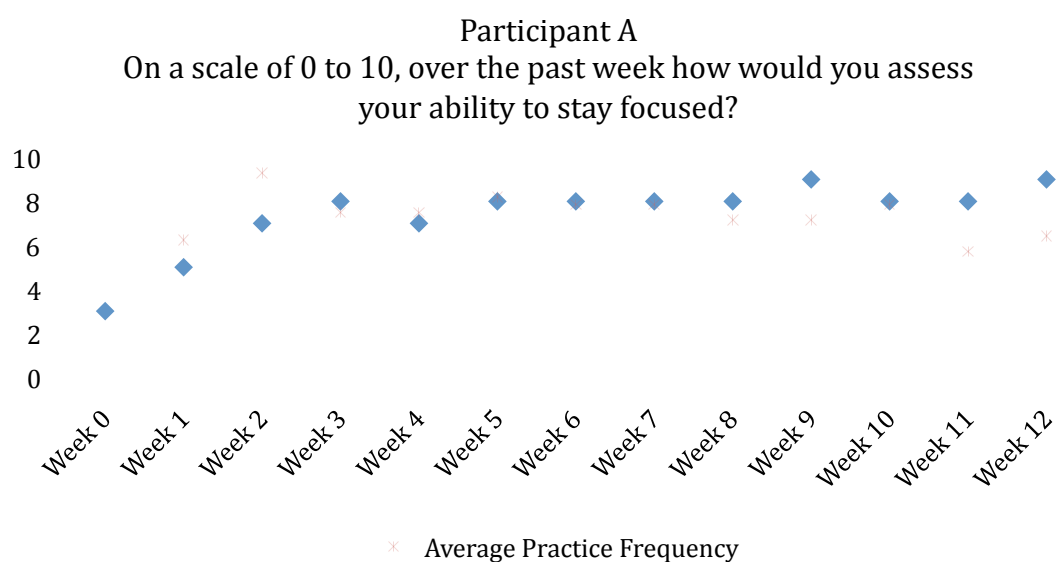
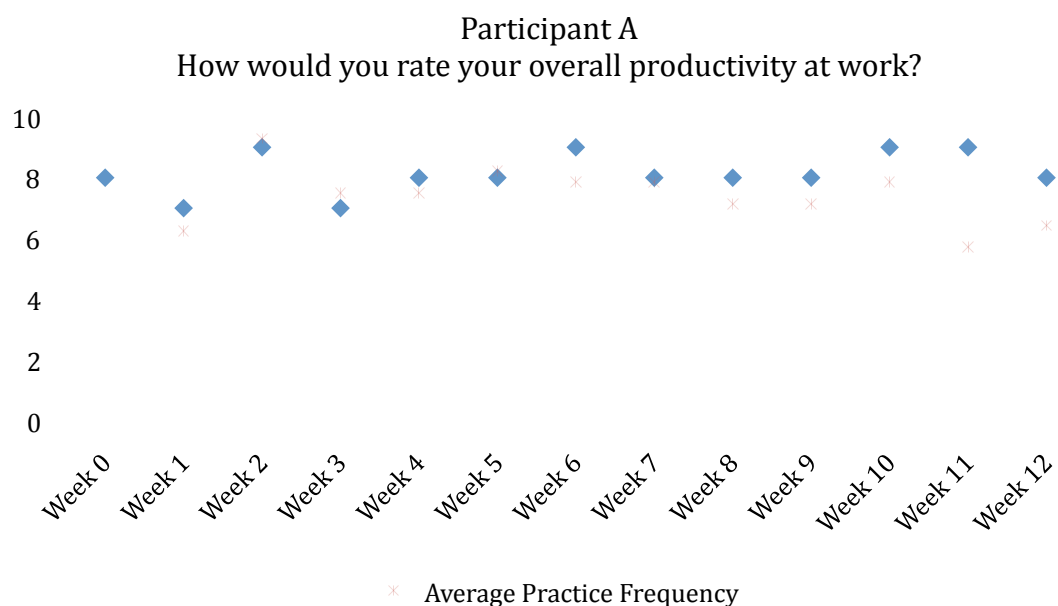


Figure 4.3. Weekly self-assessment of ability to focus—participant A.



*Figure 4.4.* Weekly self-assessment of overall productivity—participant A.

**Connection.** Participant A's self-assessment of his ability to connect with other people increased from a 7 at the beginning of the study to a 9 at the study's conclusion (Figure 4.5). Participant A reached the rating of 9 at week 7, and sustained at that level for the remainder of the study period. As with his ratings for ability to focus, the majority of participant A's reported improvement in the connection to others dimension occurred between weeks 0 and 3.

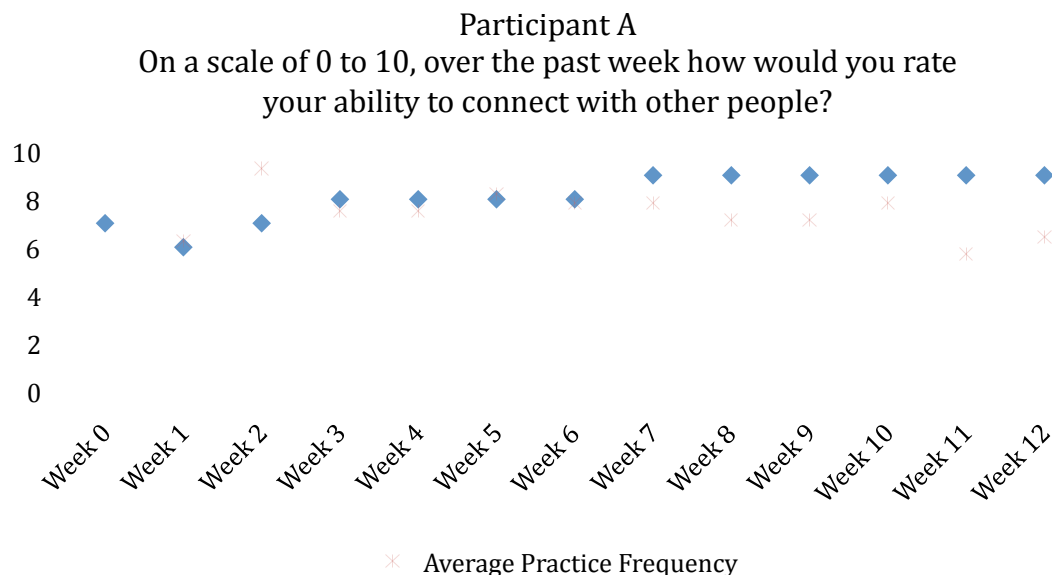


Figure 4.5. Weekly self-assessment of ability to connect with others—participant A.

**Tension and stress.** Participant A's self-assessment of his ability to reduce his stress level is shown in Figure 4.6. He reported improving his stress reduction ability from a 6 at week 0, to a 9 at the conclusion of the study.

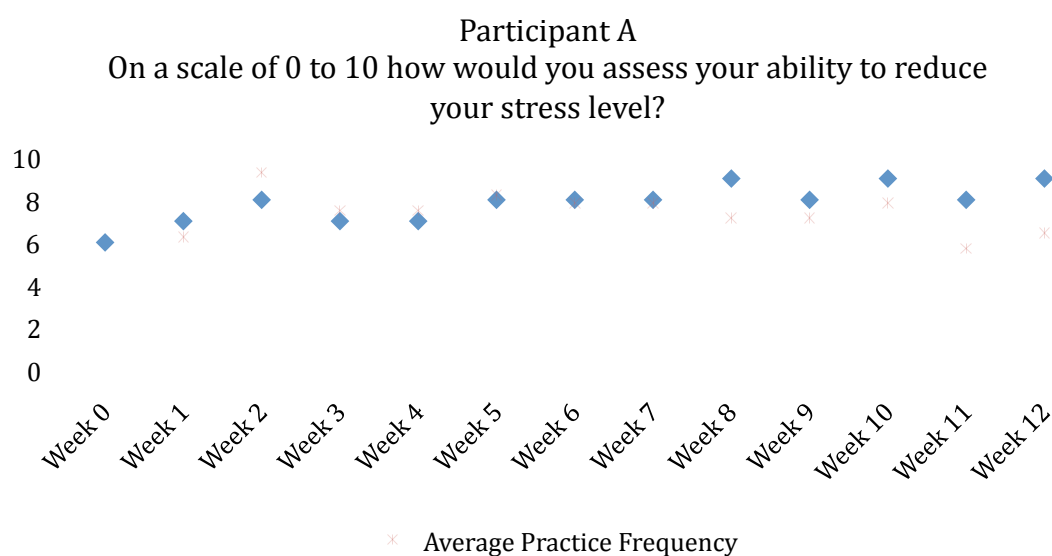


Figure 4.6. Weekly self-assessment of ability to reduce stress—participant A.



In the one-on-one session with the researcher in week 6, participant A conveyed an experience relating to his ability to reduce stress levels. That experience is described in the following excerpt from researcher field notes:

This week, participant A overheard a conversation between two law enforcement officers who work in his organization. One of them was complaining to the other about something he was asked to do for one of their protectees. Participant A viewed the request as being well within the scope of that person's job responsibilities. Participant A reports that at that point he completely abandoned the daily practices and was quite upset. He went to the officer's supervisor and let the supervisor know that he was not pleased to have heard the officer complaining about having to provide service to a customer. Just after the discussion with the supervisor, participant A realized that he was extremely tense. He said he felt a tinge in his lower back tension in his neck. He then decided to physically relax using the standing, walking, and sitting techniques and within a moment or two, he reports, he was feeling calm and relaxed. That afternoon the employee who he had heard complaining earlier in the day came to see him and apologized. Participant A says he was very calm and relaxed for that discussion, and that it was a very pleasant conversation.

Participant A also said today that his perfectionistic tendencies have subsided significantly. He told me that in the past he has created a lot of internal pressure for himself to do things perfectly, and that in the last few weeks he has become much less hard on himself in this way. In our 90-minute training session he asked to review some of the techniques several times because he wanted to make sure that he did them perfectly. (Rakoff, field notes, July 16, 2009)

Participant A's overall stress level was reduced considerably during the study period

(Figure 4.7). To measure stress level, the scale was reversed, with 0 = "no stress" and 10 = "much stress." Going from the baseline assessment of 7 at the beginning of the study, peaking at an 8 at week 2, and then reducing steadily between weeks 4 and 6. After a spike to a 5 in week 10, participant A concluded the study with a self-rating of 3 (on the 10-point scale) on overall stress. Participant A also reported an improvement in quality of sleep throughout the study period (Figure 4.8).

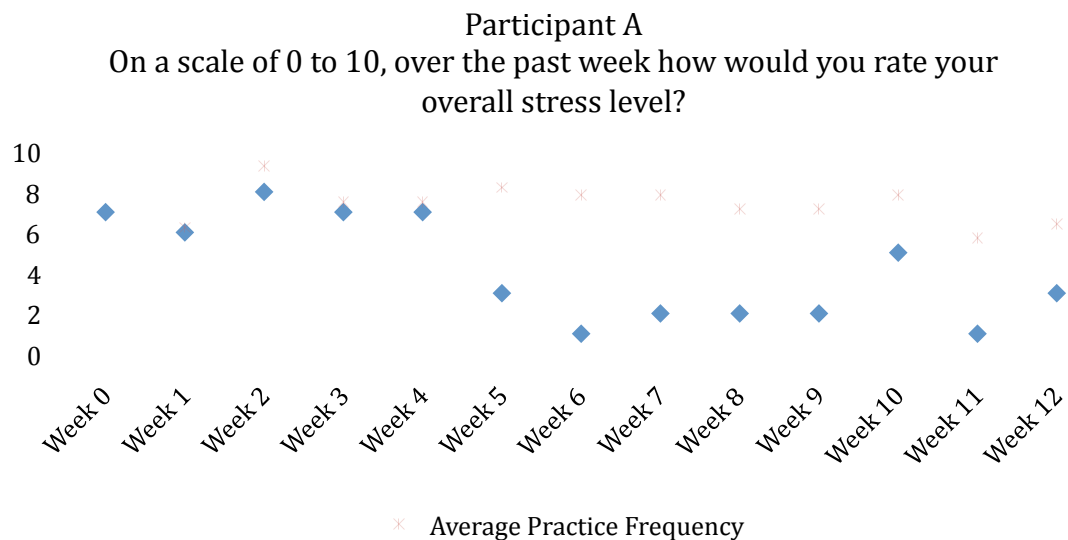


Figure 4.7. Weekly self-assessment of stress level—participant A.

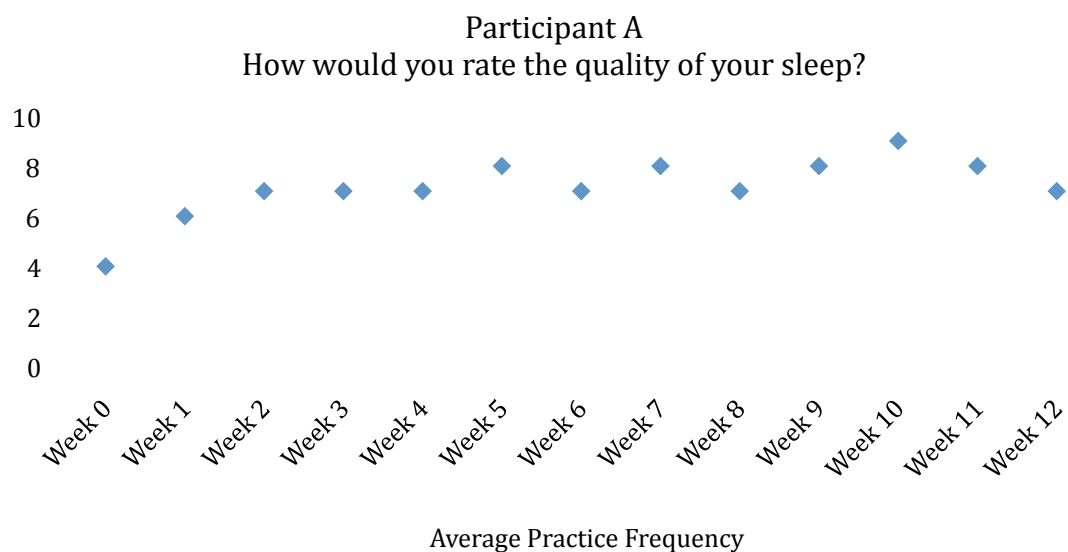
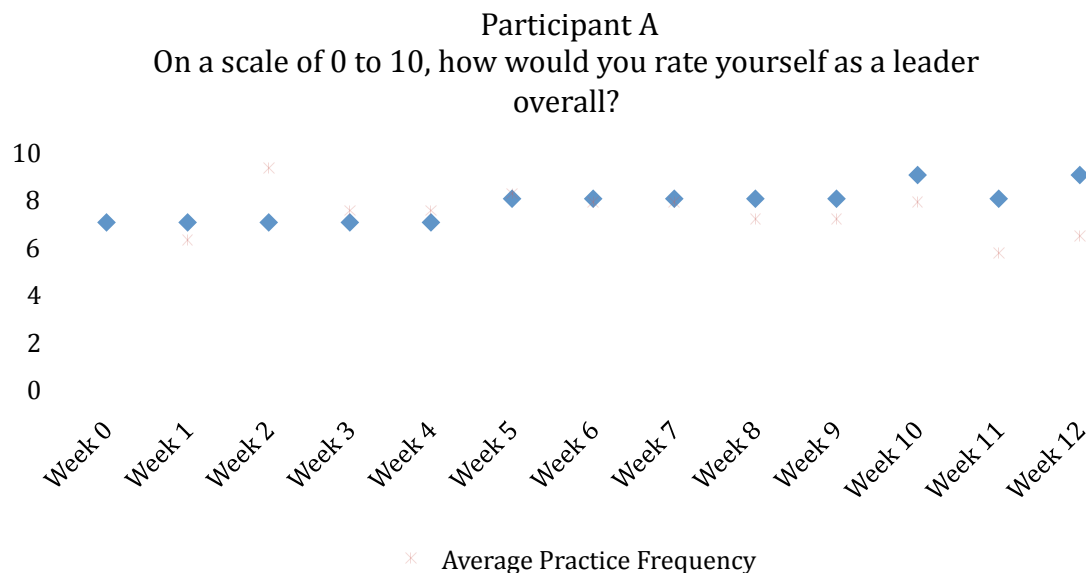


Figure 4.8. Weekly self-assessment of sleep quality—participant A.

**Overall leader ability.** Weekly time series data included a self-assessment of overall leader ability, using the same 10-point scale. Participant A's self-assessment along this dimension increased from a 7 to a 9 during the study period (Figure 4.9).



*Figure 4.9.* Weekly self-assessment of overall leader ability—participant A.

**Weekly Benchmarks self-assessment data.** Each week, time series data were collected from each participant using three sub-sets of items from the Benchmarks 360-Degree Assessment, to measure the core constructs of attention, connection, and tension/stress, based on the three corresponding abilities of the leader to:

1. Purposefully direct attention, and sustain the focus of attention.
2. Establish and maintain genuine connections to others.
3. Minimize tension and stress.

The Benchmark's items, which describe behaviors, were then rolled up into the three construct indices.

Each week, participants rated themselves using a 5-point Likert scale, as is used in the Benchmarks Instrument. As mentioned in chapter 3, the Benchmarks Instrument uses two different response scales for item ratings. Responses in Benchmarks' section one scale are "not at all," "to a little extent," "to some extent," "to a great extent," and "to a very great

extent.” Benchmarks’ section two item scales are “strongly disagree,” “tend to disagree,” “hard to decide,” “tend to agree,” and “strongly agree.” Both sections use a 5-point numeric scale to correspond to each text response. It is important to note that Benchmarks’ section one rating scales make 5 a positive response in most (not all) cases. In section two of Benchmarks, a 5 is (without exception), a negative response, and a rating of 1 on those items is the most positive response. Benchmarks’ section two item scales were reversed for consistency in analysis and reporting. In the data tables that follow, a higher numeric value always indicates a more positive rating.

**External observer perspectives.** A 360-degree assessment, using the Center for Creative Leadership’s Benchmarks Assessment Instrument, was conducted two times during the study period to provide insight into each participant’s leader capability, as perceived by his or her superiors, peers, and direct reports. Readings using the 360-degree instrument were taken at week 0 (T1) and again upon completion of the 12 weekly one-on-one sessions with the researcher (T2). The same raters were invited to complete the pre- and post-Benchmarks 360-degree Assessment. Because rater responses are anonymous, and more raters were invited than completed assessments, it is not possible to know whether the same set of specific individual raters are included in the T1 and the T2 assessments.

Each item was rated using a 5-point Likert scale as discussed in chapter 3. Items from Benchmarks’ section one use a 5-point scale where a 1 is generally a negative rating and a 5 is generally a positive rating. Items in Benchmarks’ section two use a reversed scale where a 1 is the most positive rating and a 5 is a negative rating. Items from Benchmarks’ section two are indicated using an asterisk at the end of the item text. For consistency in

analysis and reporting, scales on Benchmarks' section two items have been reversed so that, in all cases, a higher numerical value indicates a more positive rating.

### **Summary of Participant A's Pre- and Post-Assessments**

Participant A's pre- and post-self-assessment construct index scores showed increases of nearly 2 points (on a 5-point scale) for the attention index and nearly 0.5 point on the tension/stress index. Each of the 360 construct index scores, representing the perspective of outside observers, remained essentially unchanged (Figure 4.10).

		360 T1 Average Week 0	360 T2 Average Week 12	Self-assessment Week 0	Self-Assessment Week 12
<b>Participant A</b>					
<b>Attention</b>	Can effectively lead an operation from its inception through completion.	3.67	3.5	4	5
	Is sensitive to signs of overwork in others.	4.44	4.67	3	5
	Neglects necessary work to concentrate on high-profile work.*	4.56	4.33	3	5
	Makes a splash and moves on without really completing a job.*	4.44	4.67	3	5
	Is overwhelmed by complex tasks.*	4.44	4.5	3	5
<b>Attention Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.31</b>	<b>4.33</b>	<b>3.20</b>	<b>5.00</b>
<b>Connection</b>	Shows interest in the needs, hopes, and dreams of other people.	4.67	4.5	5	5
	Has a warm personality that puts people at ease.	4.33	4.83	5	4
	Is willing to help an employee with personal problems.	4.33	4.4	5	5
	Tries to understand what other people think before making judgments about them.	4.11	4.17	5	5
	Can settle problems with external groups without alienating them.	4.56	4.5	5	4
	Involves others in the beginning stages of an initiative.	4.11	3.83	4	5
	Listens to employees both when things are going well and when they are not.	4.56	4.17	4	5
<b>Connection Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.38</b>	<b>4.34</b>	<b>4.71</b>	<b>4.71</b>
<b>Tension/Stress</b>	Can deal effectively with resistant employees.	4.44	4.17	4	4
	Can handle an unfair attack from peers with poise.	4.11	4.33	4	4
	Responds effectively to constructive criticism from others.	4.5	4.2	4	4
	Remains calm when crises occur.	4.44	4.33	3	4
	Tends to resist input from other departments.*	4.56	4.67	4	5
	Is dictatorial in his/her approach.*	4.56	4.67	4	5
	Makes direct reports or peers feel stupid or unintelligent.*	4.67	4.5	5	5
	Is emotionally volatile and unpredictable.*	4.67	5	4	5
	Adopts a bullying style under stress.*	4.67	4.83	5	5
	Does not handle pressure well.*	4.67	4.83	4	5
	Orders people around rather than working to get them on board.*	4.67	4.83	5	5
<b>Tension/Stress Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.54</b>	<b>4.58</b>	<b>4.18</b>	<b>4.64</b>

Figure 4.10. Summary of pre- and post-assessments—participant A.

At T1, seven external raters completed Benchmarks 360 assessments for participant A, and at T2, six external raters completed the 360. Each of the 360 construct index scores, representing the perspective of outside observers, remained essentially unchanged with fluctuations of 0.04 for connection and tension/stress, and 0.02 for attention.

Participant A's T1 self-assessments were lower than the T1 external rater assessments for both attention (-1.11 points) and tension/stress (-0.36 points), and his T1 self-assessment of connection was higher than the external T1 rating by 0.33 points. At the T2 assessment rating, gaps between the participant and the external observers had closed considerably to 0.67 for attention and 0.006 for tension/stress. The assessment gap for connection was essentially unchanged.

At the conclusion of the study, following the final weekly session, and prior to meeting to review the pre- and post-360 feedback, participants were invited to provide comments or thoughts on their experience over the preceding three months. These comments were sent to the researcher by email. Participant A's comments on his experience as a participant in the study:

In the beginning the techniques were awkward—I had a hard time doing them but as time went on they became “second nature.”

There were three big changes that I noticed during this period:

I was able to focus on the present—as time went on I was able to concentrate on what I was doing instead of jumping all over the place. This was one of the issues I had problems with—I felt like I was sending the wrong message to employees by changing direction all of the time. I am more focused because of the 12 weeks, our discussions and the techniques

I am much more relaxed—I used to stay stressed because of all of the “work” everything that I thought we had to accomplish now. Because I am focusing on what I am doing I am not thinking about tomorrow (at least not like I was) and therefore I am more relaxed. I am hopeful that as time goes on employees will see this.

I am much more confident and I have a sense of clarity regarding my role—I guess I did not have this before. I have always been confident about my abilities but I

was often anxious and worried. Again, because I am relaxed and focused I know that it is going to be alright—that all I have to deal with is the present.

I have to say that participation in the study changed my life—as I discussed above, I am more focused and relaxed. This new “attitude” affects not only my professional life but my personal life as well. I am not only able to focus at work, but I focus on my family at home. I also have a tool or technique to reduce stress or deal with anxiety when needed. (Participant A, feedback email, October 6, 2009)

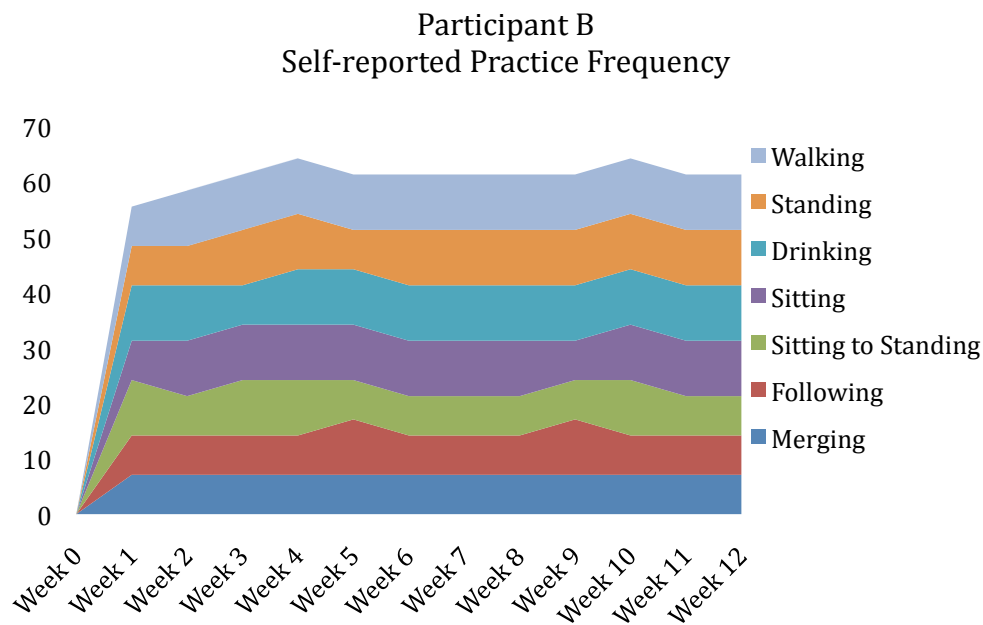
## **Participant B**

Participant B is a man in his early 40s who is a vice president with a public company in the technology sector.

### **Time Series Self-Assessment Data**

**Practice frequency.** Figure 4.11 graphically depicts participant B’s practice frequency for each of the seven daily practices. Participant B applied the daily practices regularly throughout the study period, as can be seen in the position of the upper most line in figure 4.11. He applied many of the practices consistently, indicated by the relatively constant height of each colored area. Participant B’s average weekly practice frequency across the 12 weeks was 8.72 on the 10-point scale, meaning he applied the techniques every day or several times every day.





*Figure 4.11.* Weekly practice frequency—participant B.

Figure 4.12 shows an equally weighted average of all seven practices, and includes a linear trend line for reference. On average, participant B applied the daily practices between “every day” (7.5) to “several times a day” (10) throughout the entire study period.

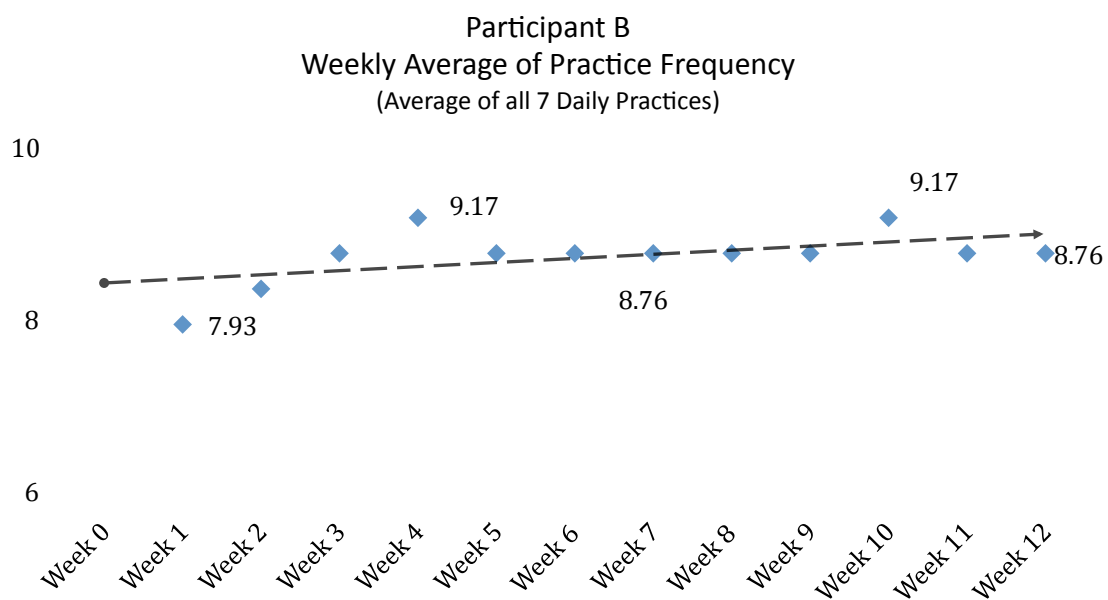


Figure 4.12. Average weekly practice frequency—participant B.

**Attention.** Participant B reported an increase in his ability to stay focused. His self-assessments rose from an 8 to a 10 on a 10-point scale (Figure 4.13).

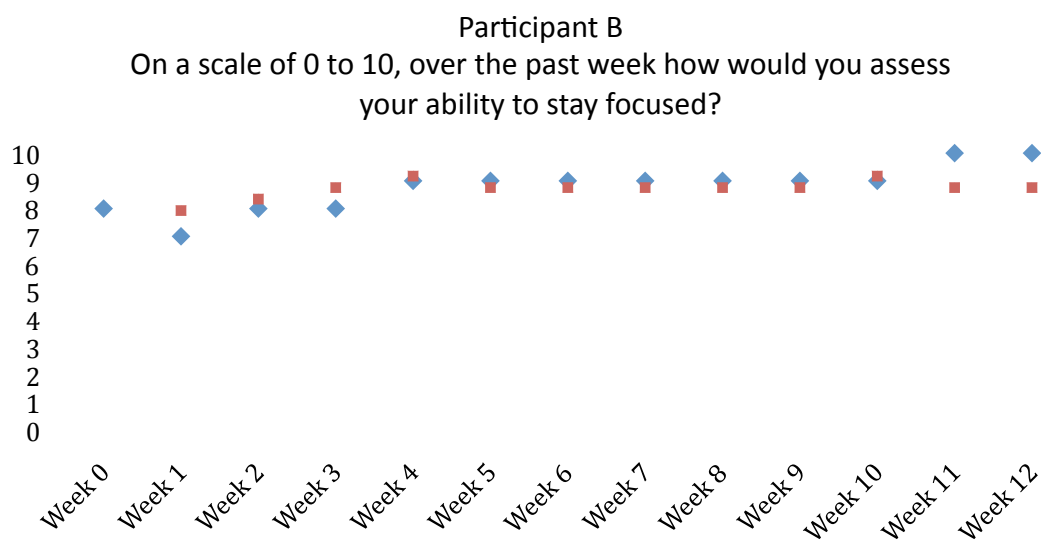
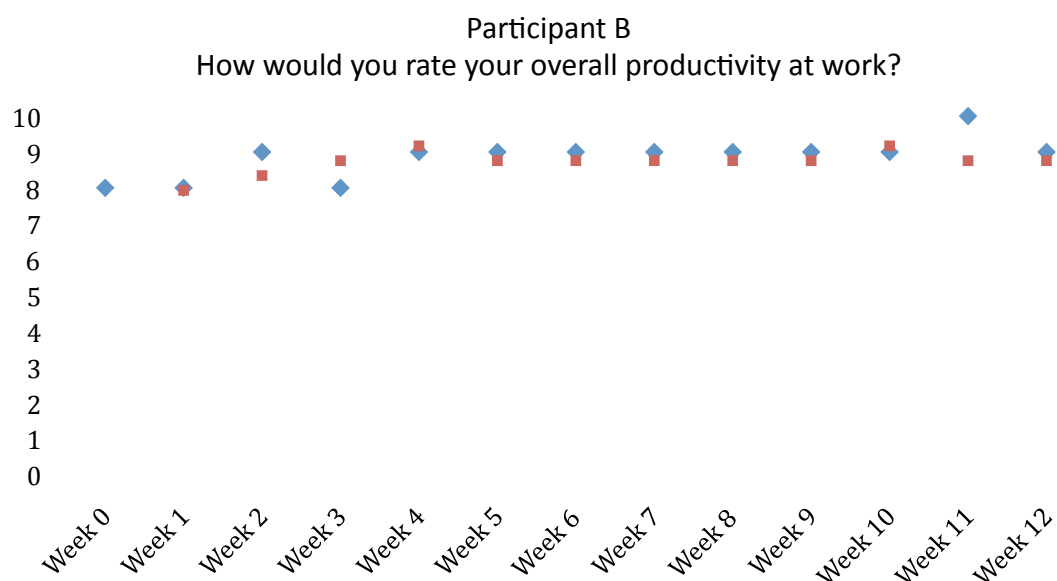


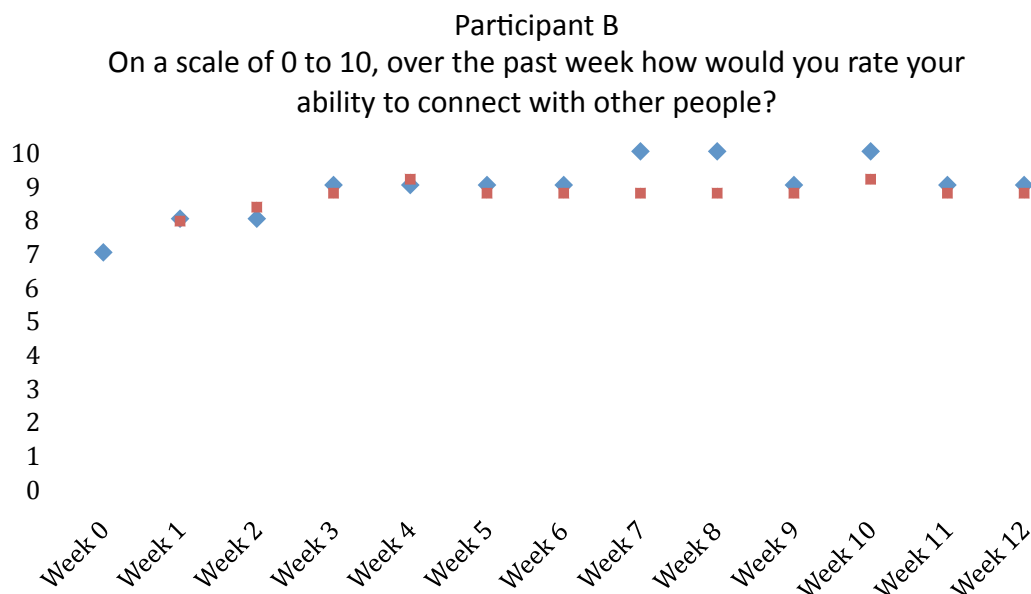
Figure 4.13. Weekly self-assessment of ability to focus—participant B.

Participant B also experienced an increase in his overall productivity. His self-assessments rose from an 8 to a 9, going as high as 10 in week 11 (Figure 4.14).



*Figure 4.14.* Weekly self-assessment of productivity—participant B.

**Connection.** Participant B’s self-assessment of his ability to connect with other people increased from a 7 in week 0, to a 9 in week 3, and remained at the 9 to 10 level throughout the study period, ending in week 12 at a 9 (Figure 4.15).



*Figure 4.15.* Weekly self-assessment of ability to connect with others—participant B.

Participant B's increased self-assessment of ability to establish connections to other people is evident in an experience he conveyed to the researcher, which was captured in the following field note excerpt:

This week B had to fly to Texas to terminate an employee. He does 3 or 4 of these a year and, as a matter of policy, is always joined by someone from HR. B and this particular HR person have done several of these terminations together in the past.

In this case, the company did not have an office in this city. The employee worked from home so the meeting had to take place in the hotel lobby. The employee did not know exactly what the meeting was for, or that the HR person would be there.

B arrived the night before and had a restless night, with little sleep because of anxiety about having to terminate the employee. After the meeting with the employee, the HR person told B that it had gone better than ever before, and that he was more calm and supportive than she had ever seen him in the past.

He said that it was a completely different experience for him as well. He says he felt the regular guilt and anxiety of having to fire the employee, but also felt more empathy, and more calmness than ever before in these situations. He was pleased when he reported that at the end of the meeting everyone was able to stand up, shake hands, and walk away feeling ok about the exchange. (Rakoff, field notes, August 13, 2009)

**Tension and stress.** Participant B improved in all areas relating to tension and stress. His self-assessment of stress level decreased from a 9 to a 6 (Figure 4.16), while his ability to reduce his stress level increased from an initial rating of 4 to a final rating of 9 (Figure 4.17), on the 10-point scale. His self-assessment and reporting of quality of sleep improved from an initial rating of 3 to a final rating of 8 (Figure 4.18).

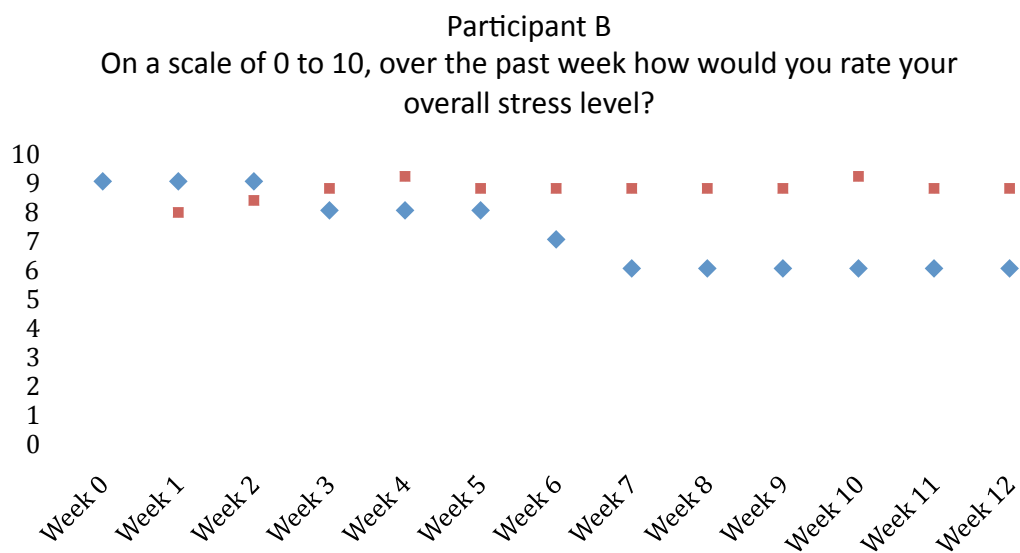


Figure 4.16. Weekly self-assessment stress level—participant B.

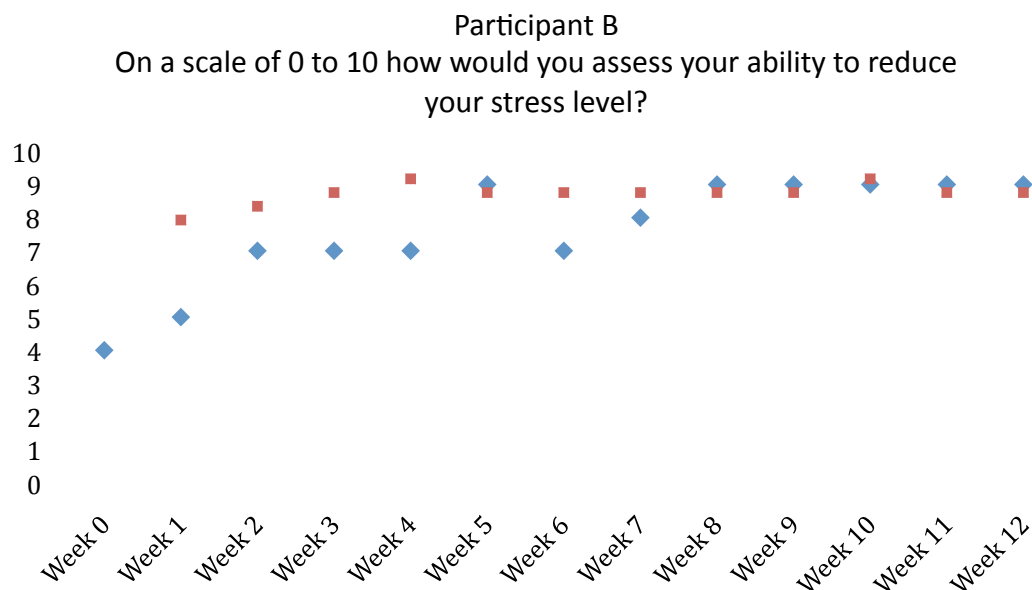


Figure 4.17. Weekly self-assessment ability to reduce stress level—participant B.

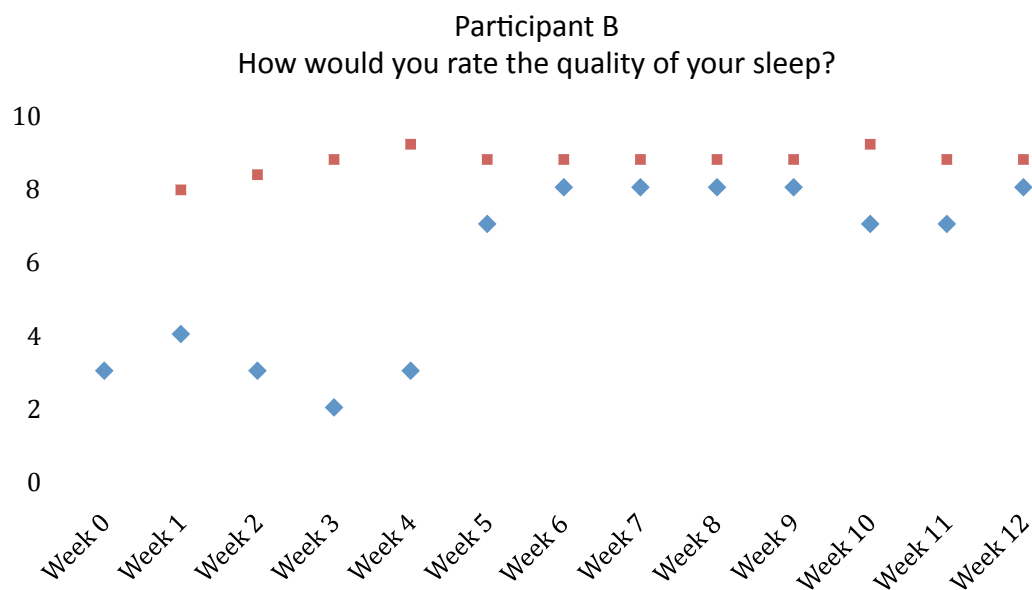


Figure 4.18. Weekly self-assessment quality of sleep—participant B.

Participant B's marked improvement in overall stress level and ability to reduce stress level can also be seen in an experience he conveyed in the week four meeting with the researcher, which is conveyed in the following field note excerpt:

Last week, Participant B made the connection between the merging practice and interacting with his boss—who tends to take an aggressive contrarian stance on most issues. Participant B says this often leads to unproductive and acrimonious conversations where the original issue gets obfuscated. Last week, Participant B said that, rather than engage with his boss when these behaviors surface, he was able to relax more, listen to what his boss was saying and then maintain a calm presence as he discussed the issue with his boss. Participant B reported that he saw a real change in the quality and outcome of discussions.

This week, Participant B reported an incident where his boss caught him in the parking lot and wanted to engage in another aggressive discussion about a work-related issue. Participant B was leaving the building at the end of the day when his boss called on the cell phone and asked Participant B, "Where are you?" Participant B said, "I am walking out of the building." Participant B's boss was also in the parking lot and started walking right toward him with a deliberate demeanor. Rather than walk directly toward his boss and have them come to a complete stop facing each other, once near enough to his boss, Participant B turned in a rounded 90 degree way and found that his boss walked next to him as they moved toward Participant B's car. Participant B felt this was a much smoother way to move and to begin the discussion—he compared it to merging in a car.

Participant B's boss then began to speak in an aggressive and loud tone while waving his hands around. Participant B relaxed more into his standing position and began to engage in a very calm discussion about the issue—choosing not to elevate his own volume and tone, but to calm himself even more. Participant B found that his boss also calmed down and the discussion concluded.

The following day, Participant B's boss came to him and said that he had overreacted in the discussion and he apologized to Participant B for his approach to the discussion. Participant B tells me that this is the first time in his two years with the company that his boss has apologized, but that the behavior for which he was apologizing happens with regularity. (Rakoff, field notes, July 15, 2009)

**Overall leader ability.** Participant B's self-assessment of overall leader ability increased from a 9 to a 10 (Figure 4.19).

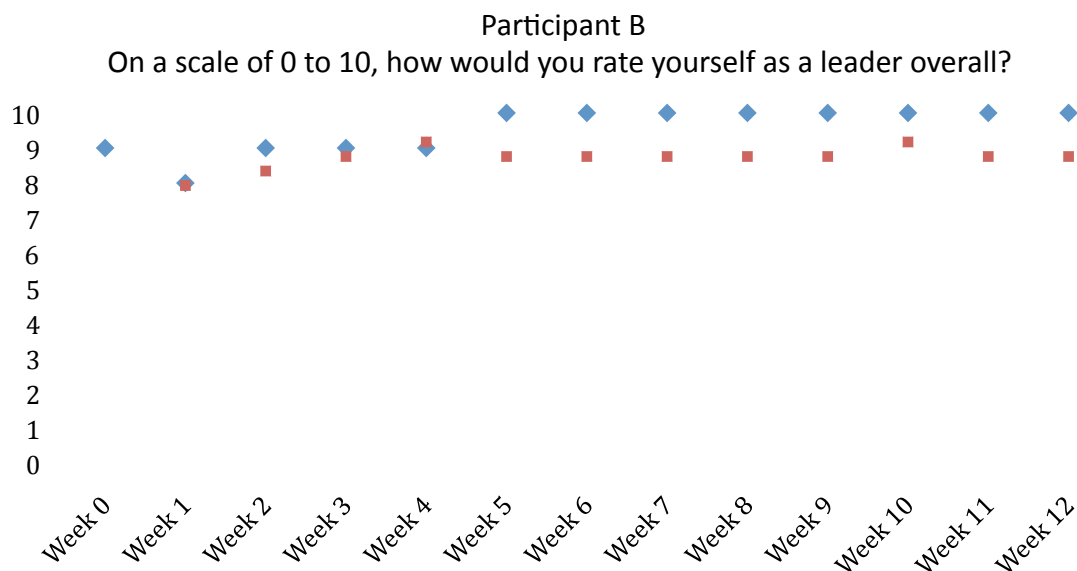


Figure 4.19. Weekly self-assessment overall leader rating—participant B.

### Summary of Participant B's Pre- and Post-Assessments

Participant B experienced improvement in each of the three leader abilities; attention, connection, and tension/stress. His weekly self-assessments in the three areas improved, as did his construct index scores, with the attention index and the connection index increasing by more than 1 point each (Figure 4.20).

At T1, nine raters completed 360 assessments for participant A and at T2, 12 raters completed the assessment. External raters indicated marginally (less than .30 points) lower ratings in the three areas for participant B. However, participant B's initial external ratings were quite high ( $> 4.21$ ), leaving little room for rating improvements between T1 and T2.



		360 T1 Average Week 0	360 T2 Average Week 12	Self-assessment Week 0	Self-Assessment Week 12
<b>Participant B</b>					
<b>Attention</b>	Can effectively lead an operation from its inception through completion.	3.67	3.91	3	5
	Is sensitive to signs of overwork in others.	4.45	4.58	4	5
	Neglects necessary work to concentrate on high-profile work.*	4.09	4	2	4
	Makes a splash and moves on without really completing a job.*	4.64	4.17	4	5
	Is overwhelmed by complex tasks.*	4.64	3.91	4	5
<b>Attention Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.30</b>	<b>4.11</b>	<b>3.40</b>	<b>4.80</b>
<b>Connection</b>	Shows interest in the needs, hopes, and dreams of other people.	4.36	3.82	3	5
	Has a warm personality that puts people at ease.	4.8	4.17	4	5
	Is willing to help an employee with personal problems.	4	4	3	4
	Tries to understand what other people think before making judgments about them.	4	4.18	3	4
	Can settle problems with external groups without alienating them.	4.27	4.27	4	5
	Involves others in the beginning stages of an initiative.	3.91	4	2	4
	Listens to employees both when things are going well and when they are not.	4.27	4.18	4	5
<b>Connection Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.23</b>	<b>4.09</b>	<b>3.29</b>	<b>4.57</b>
<b>Tension/Stress</b>	Can deal effectively with resistant employees.	4	3.58	4	4
	Can handle an unfair attack from peers with poise.	4.3	4.2	3	4
	Responds effectively to constructive criticism from others.	3.73	3.92	2	5
	Remains calm when crises occur.	4.82	4.5	5	5
	Tends to resist input from other departments.*	4.18	4	3	4
	Is dictatorial in his/her approach.*	4.64	3.92	4	5
	Makes direct reports or peers feel stupid or unintelligent.*	4.82	4.42	5	5
	Is emotionally volatile and unpredictable.*	4.73	4.5	5	5
	Adopts a bullying style under stress.*	4.64	4.33	5	5
	Does not handle pressure well.*	4.64	4.33	5	5
	Orders people around rather than working to get them on board.*	4.55	4.33	4	5
<b>Tension/Stress Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.46</b>	<b>4.18</b>	<b>4.09</b>	<b>4.73</b>

Figure 4.20. Summary of pre- and post-assessments—participant B.

At T1, external raters consistently gave higher ratings than participant B gave himself. Gaps between participant B's self-assessments and those of external raters for attention, connection, and tension/stress were 0.9, 0.94, and 0.37 respectively. At T2, the gaps between self-assessment and external rater assessment decreased for attention and connection to 0.69 and 0.48 respectively, and increased slightly (0.18 point increase in gap) for tension/stress going from the initial gap of 0.37, to 0.55 at T2.

At the conclusion of the study, participant B provided a description of the experience:

I participated in the study using the daily practices for leader development and I experienced the following:

- Stronger at certain techniques versus others—merging, driving, drinking, walking versus sitting, standing up
- Increase ability to stay focused on projects, initiatives, meetings, conversations
- A significant reduction in stress over the 12 weeks—tasking that once seemed daunting are very manageable
- Increased interest in understanding employees—both business and personal
- Less tension and less combative meetings—improved relationship with Leadership
- The ability to have a clear view as to how a situation will play out and to remain calm and in control
- More pleasant disposition at both work and home

Basically the ability to reduce tension and stress—regain control of my mind and body, which I believe makes for an effective leader and competitive edge over others. Also the ability to read and know how others are going to respond based on body language and to remain in control over how I respond—very powerful to react with a clear mind versus stress and emotion.

The daily activities help to break old habits and routines and clear the mind to think efficiently and effectively. Our bodies control and channel a great deal of stress and how we sit, stand, walk, drink, etc. either add or subtract while being fueled by the mind.

The ability to control stress, tension and command a clear vision over others is critical skills as a leader. Also impacts how we connect and deal with subordinates, peers or management. The daily practices gave me the skills to manage combative and difficult people which now results in better business decisions. From a leadership standpoint, I feel like I have a significant competitive advantage.

Thank you for the opportunity. (Participant B, feedback email, September 28, 2009)

## Participant C

Participant C is a woman in her late 30s who is a director in a large national training company. She is a self-described type-A person, and attributes much of her career success to the characteristics she associates with the type-A personality.

### Time Series Self-Assessment Data

**Practice frequency.** Participant C implemented the daily practices with varying degrees of frequency and consistency (Figures 4.21 and 4.22) throughout the first 7 weeks of the study. In week 8, frequency increased and consistency leveled out, remaining constant, and higher for the final 3 weeks.

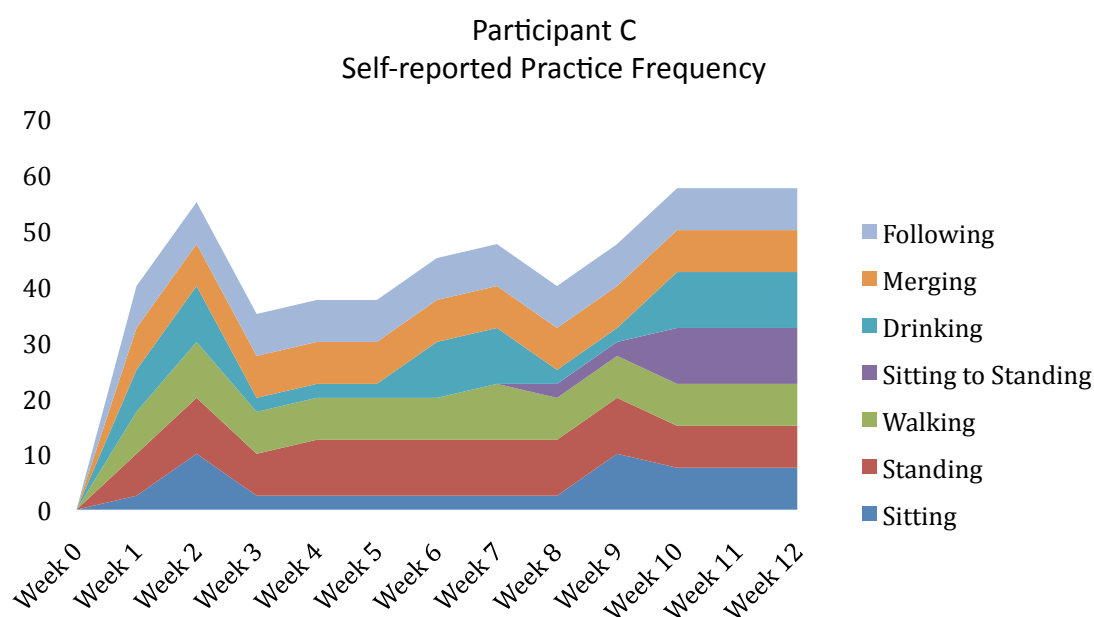
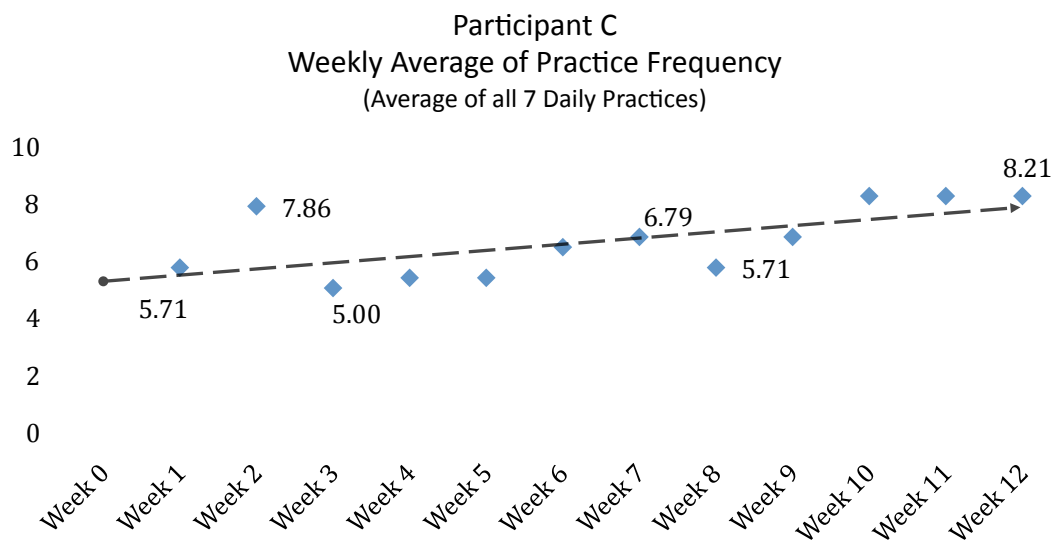


Figure 4.21. Weekly practice frequency—participant C.

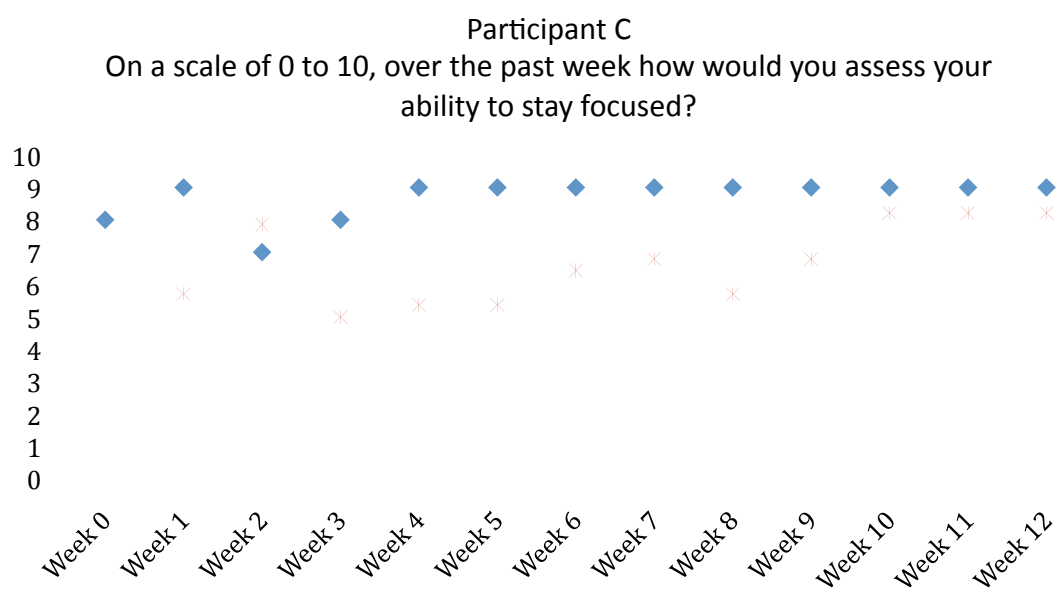


*Figure 4.22.* Average practice frequency—participant C.

Participant C’s practice frequency was averaging in the “every other day” range (5 on 10-point scale) through the first 7 weeks. Beginning in week 8, participant C’s practice frequency increased and remained in the “every day” range for the remaining 5 weeks. Her average practice frequency across the 12 weeks was 6.64 on the 10-point scale (between “every other day” and “every day”). The following field note excerpt from week 7 adds context to the change in practice frequency:

Participant C has been having difficulty getting into a stable and relaxed standing and sitting posture. Today, we reviewed these in great length. Toward the end of the hour, it clicked and she said she could feel the difference and was now able to relax more deeply into the seated position, allowing her lower back muscles to disengage more fully. She was noticeably more relaxed in the seated position, and more stable when tested. With a big smile she said that she finally feels what it is to be relaxed in the seated position. She said she will apply the sitting, standing, and transitioning from sitting to standing techniques more. (Rakoff, field notes, July 29, 2009)

**Attention.** Participant C’s self-assessment of ability to stay focused increased from an 8 to a 9 during the 12-week study period (Figure 4.23). Self-assessment of overall productivity ended at the same level it began (Figure 4.24).



*Figure 4.23.* Ability to stay focused self-assessment—participant C.

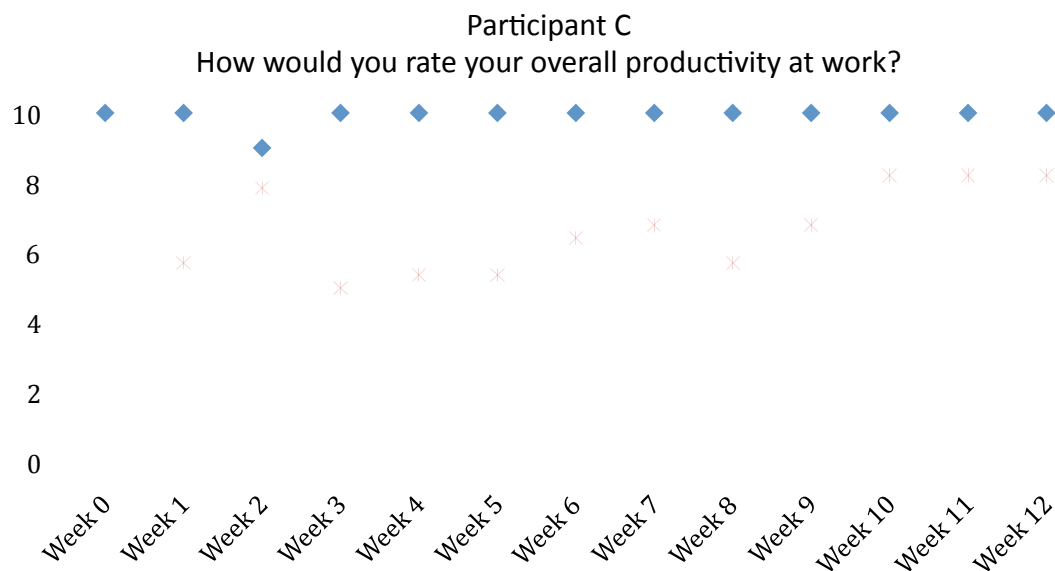


Figure 4.24. Overall productivity self-assessment—participant C.

**Connection.** Participant C's self-assessment of ability to connect with other people increased from a 7 to a 9 (Figure 4.25).

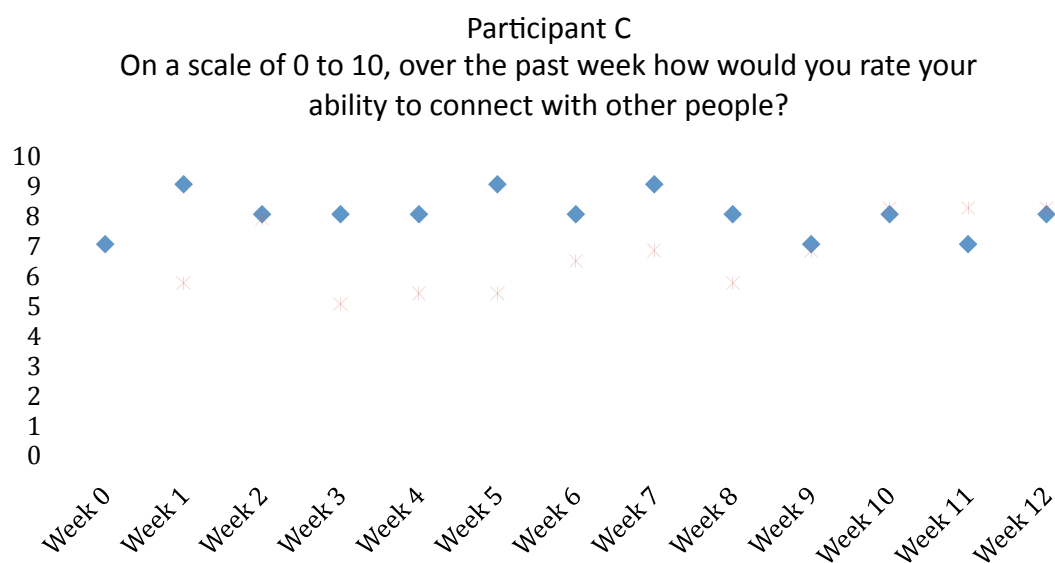


Figure 4.25. Ability to connect with others self-assessment—participant C.

**Tension and stress.** Self-assessments improved in all three tension and stress-related areas for participant C. Overall stress level decreased from 8 to 6 (Figure 4.26), ability to reduce stress improved from a 5 to a 7 (Figure 4.27), and quality of sleep improved from a 7 to an 8 (Figure 4.28).

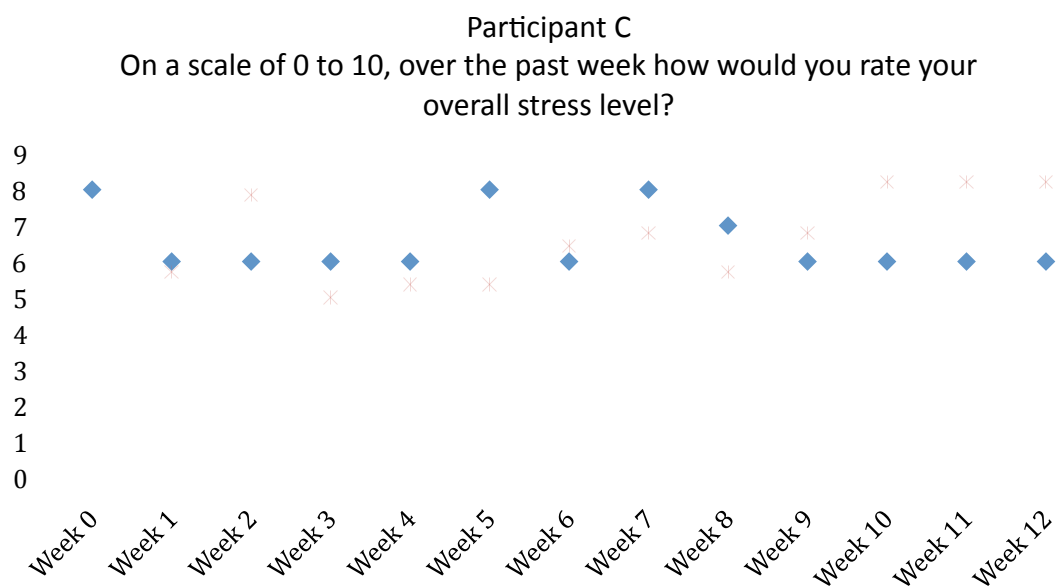


Figure 4.26. Overall stress level—participant C.

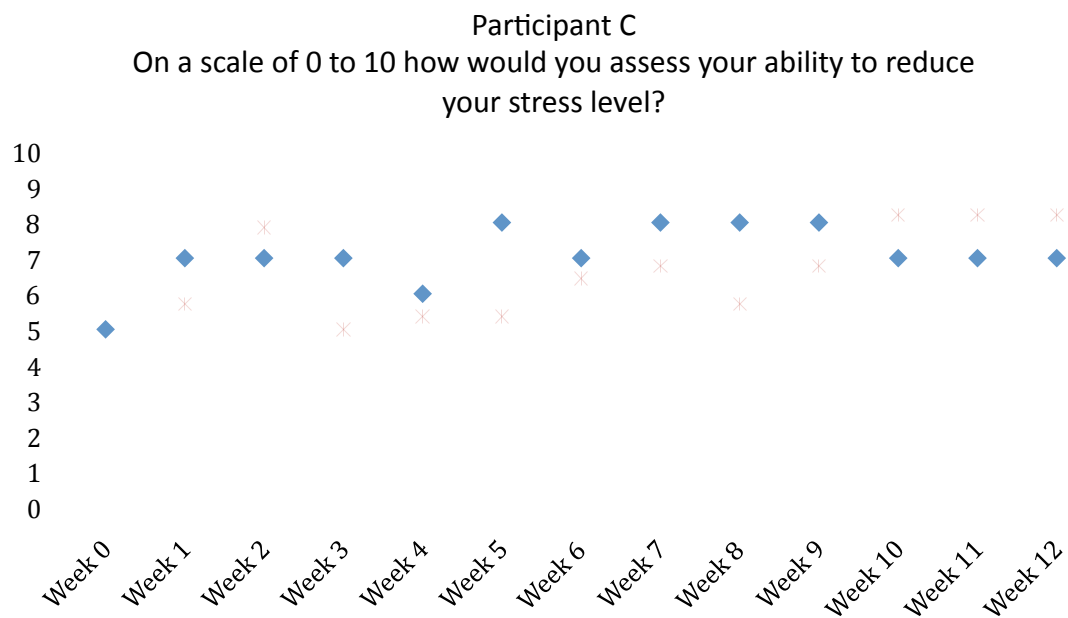


Figure 4.27. Ability to reduce stress level—participant C.

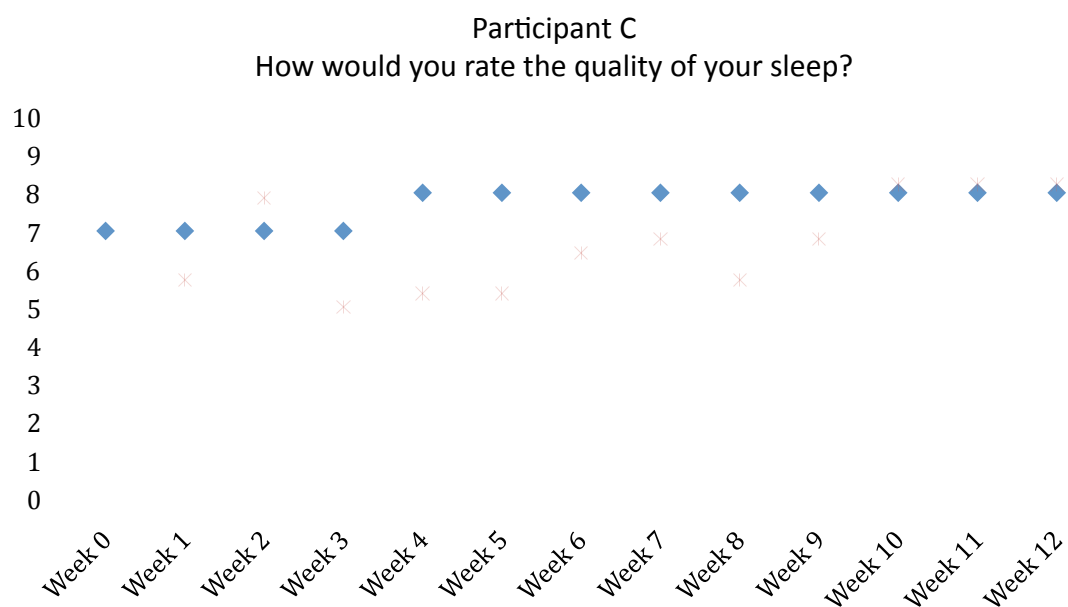
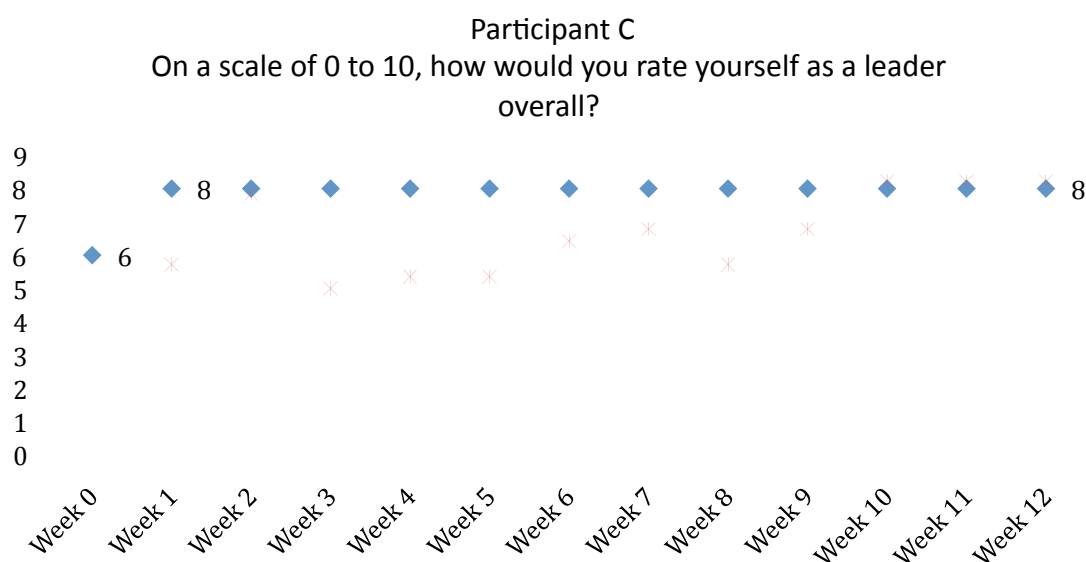


Figure 4.28. Quality of sleep self-assessment—participant C.



**Overall leader ability.** Participant C's assessment of herself overall as a leader improved from a 6 to a final rating of 8 (Figure 4.29).



*Figure 4.29.* Overall leader self-assessment—participant C.

### **Summary of Participant C's Pre- and Post-Assessments**

Participant C's self-assessment of her abilities in the areas of attention, connection, and tension/stress improved. Her 360 self-assessment construct cores increased in all three cases, with the tension/stress index increasing by nearly 0.5 from T1 to T2 (Figure 4.30).

		360 T1 Average Week 0	360 T2 Average Week 12	Self-assessment Week 0	Self-Assessment Week 12
<b>Participant C</b>					
<b>Attention</b>	Can effectively lead an operation from its inception through completion.	3.47	3.45	3	4
	Is sensitive to signs of overwork in others.	4.5	4.36	5	5
	Neglects necessary work to concentrate on high-profile work.*	3.76	3.6	5	5
	Makes a splash and moves on without really completing a job.*	3.88	3.82	5	5
	Is overwhelmed by complex tasks.*	4.59	4.09	5	5
<b>Attention Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.04</b>	<b>3.86</b>	<b>4.60</b>	<b>4.80</b>
<b>Connection</b>	Shows interest in the needs, hopes, and dreams of other people.	4	3.67	4	4
	Has a warm personality that puts people at ease.	3.22	3	3	3
	Is willing to help an employee with personal problems.	3.54	3.75	3	3
	Tries to understand what other people think before making judgments about them.	3.4	3.67	3	4
	Can settle problems with external groups without alienating them.	3.47	3.45	4	4
	Involves others in the beginning stages of an initiative.	3.65	3.45	5	5
	Listens to employees both when things are going well and when they are not.	3.64	3.89	5	5
<b>Connection Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.56</b>	<b>3.55</b>	<b>3.86</b>	<b>4.00</b>
<b>Tension/Stress</b>	Can deal effectively with resistant employees.	3.94	3.45	3	4
	Can handle an unfair attack from peers with poise.	3.77	3.2	3	4
	Responds effectively to constructive criticism from others.	3.58	3.4	3	4
	Remains calm when crises occur.	3.81	3.67	3	4
	Tends to resist input from other departments.*	4	3.73	5	5
	Is dictatorial in his/her approach.*	3.67	3.42	4	5
	Makes direct reports or peers feel stupid or unintelligent.*	3.87	3.45	5	5
	Is emotionally volatile and unpredictable.*	4.56	4.45	5	5
	Adopts a bullying style under stress.*	4	3.55	5	5
	Does not handle pressure well.*	4.29	4.18	5	5
	Orders people around rather than working to get them on board.*	3.94	3.91	5	5
<b>Tension/Stress Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.95</b>	<b>3.67</b>	<b>4.18</b>	<b>4.64</b>

Figure 4.30. Summary of pre- and post-assessments—participant B.

At T1, 17 raters completed Benchmarks 360 assessments for participant A and at T2, 12 raters completed the assessment. External raters indicated marginally (less than .30 points) lower ratings in the three areas for participant C. At both T1 and T2, participant C rated herself higher than the external raters. The gap between her self-assessments and external assessments increased in each of the three construct areas. This resulted through a combination of her self-assessments increasing and external ratings decreasing. In her narrative accounts, participant C focused on the effect the practices had in her personal relationships as opposed to her professional relationships.

Participant C reflected on her experience as a participant in the study and shared the following thoughts:

I'm grateful for the opportunity to participate in the study and am thankful for the experience, value, and benefit that I received having completed the program.

For me, the most significant impact was realizing that I had the ability to actually change things about myself that I was convinced (and I think groomed to believe) were "hardwired" into my personality. I think I mentioned to you that I've always been encouraged to be that "go getter" and with that encouragement, people often reinforce or accept certain behaviors as part of that drive . . . so for me, my habits were very ingrained . . . and to complicate matters even further, my career success thus far has often been attributed to my drive and vigorous personality characteristics—which I think many type As would agree with.

Not taking anything away from anyone else's experience or the challenges they had to overcome during these sessions, I felt as though my challenge to overcome as a Type A, might be categorized as a bit more difficult . . . simply because certain personality traits are more often accepted—hence reinforced—by my personality type. I could be way off, but it just seems to me that people who are wound tighter would find it more difficult to relax and pay attention to their physical state . . . anyway . . . the point is, I proved that mindset to be wrong. I demonstrated to myself that this old dog could learn new tricks . . . and it was one of the most satisfying feelings I've experienced in a long time.

Beyond the realization that I didn't have to succumb to the type A personality myth, I was also greatly impacted by the concept of not allowing anyone or anything to conquer my intent. This was HUGE for me. This concept applied to everything from standing in line for a cup of coffee to controlling my reaction to situations . . . by simply adjusting my physical self . . . by focusing on my intent and allowing my

energy not to be overtaken by the energy of others. Rather than using force—verbal tone, physical posture, word choice, etc., I have begun to take the time I need (i.e., pausing if need be, repositioning my body, breathing properly) to respond so that my intent remains intact and that I don't bastardize what I'm trying to accomplish.

During the course of this study, I had two significant personal challenges to deal with—one with my son and one with my mother. As a result of this program and I can honestly say that I approached each of the issues using the practices, and the results I experienced were much more positive than if I had simply done the same old things my habit mind was used to doing. I felt proud of myself in those moments. I had done something that I never thought I'd be able to do . . . I overcame a significant hurdle with my mother—not allowing her negative, chaotic energy to affect my state of mind. With my son, I was able to calmly express my thoughts, keeping my intended message intact and not swaying from my objective . . . which is often difficult because he is notorious for manipulating situations with emotional outbursts and passive/aggressive behaviors . . . which tended in the past to result in heightened negative energy. These two things may seem small, but they were break-through moments for me because I proved that I could put the practices to use in my most volatile situations that in the past would have resulted in me feeling out of control, angry, and frustrated.

In my professional life, I've found that I'm much more able to address employees who otherwise would cause me frustration and a feeling of dread when I'd see them or have to interface with them I'm able to better focus while I'm with them because I've taken on a new mental position, which has a direct impact on my outward behaviors and actions. (Participant C, feedback letter, September 25, 2009)

## Participant D

Participant D is a man in his early 50s who is the executive director of a large not-for-profit organization.

## Time Series Self-Assessment Data

**Practice frequency.** Participant D applied the daily practices with moderate frequency during the first 4 weeks of the study (Figures 4.31 and 4.32), ranging between an average of “every other day” (5) to “every day” (7.5). Practice frequency increased in weeks 5 through 11, remaining in the “every day” frequency range. In week 12, practice frequency fell off significantly.

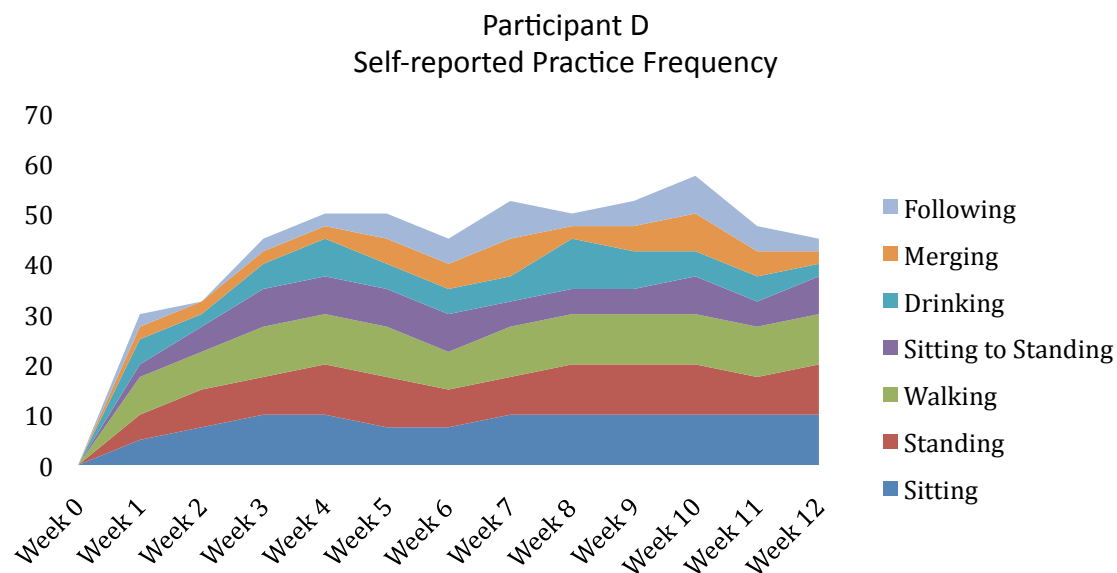


Figure 4.31. Weekly practice frequency—participant D.

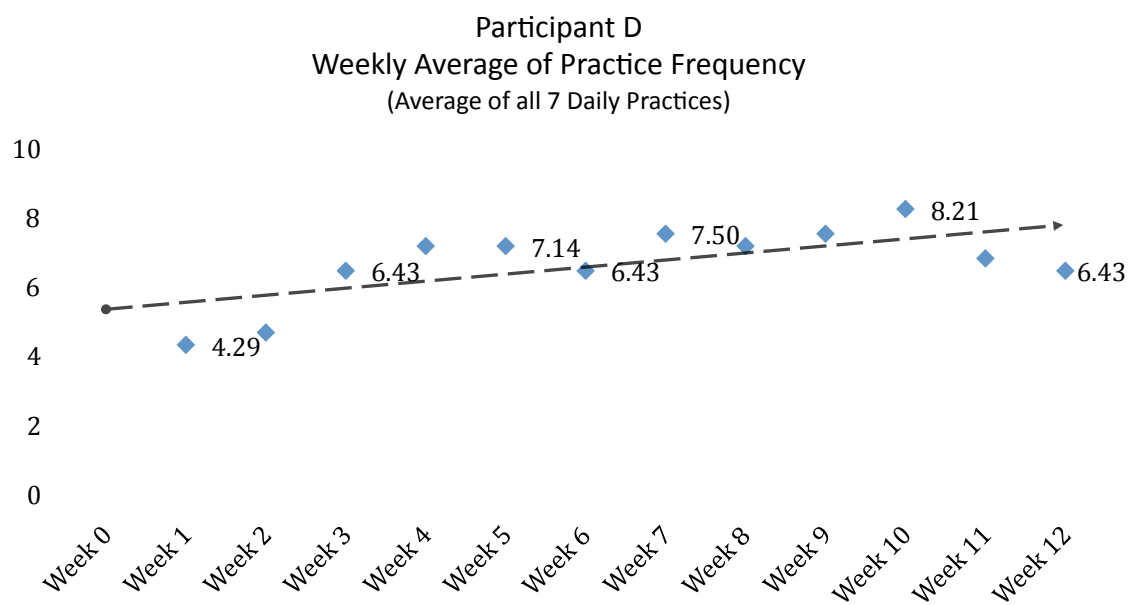


Figure 4.32. Average practice frequency—participant D.

**Attention.** Participant D’s self-assessment ratings of attention increased throughout the study period. Both his ability to stay focused (Figure 4.33) and his overall productivity (Figure 4.34) increased from an initial rating of 6, to a rating of 9 in week 12.

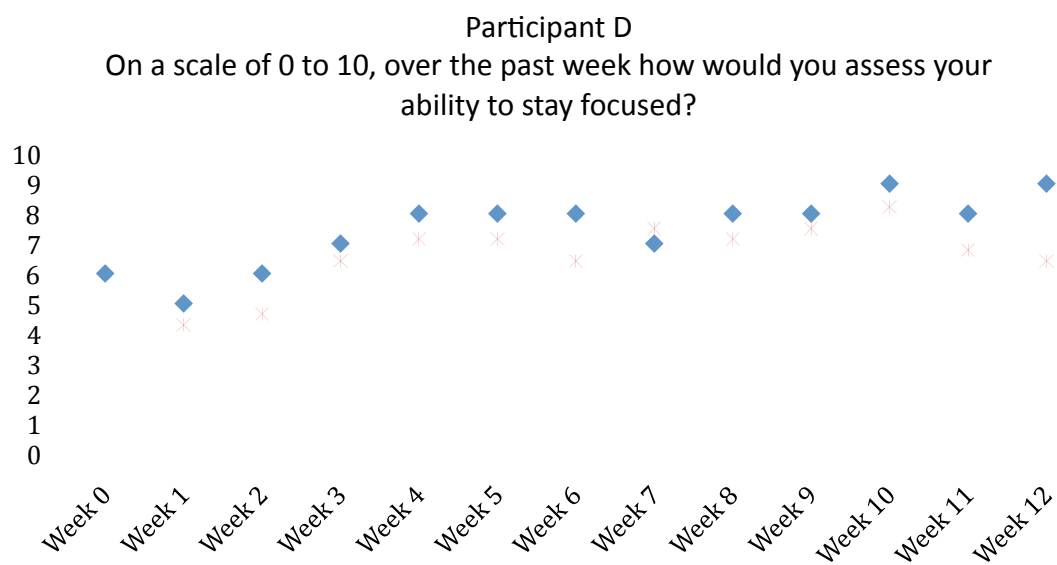


Figure 4.33. Ability to stay focused self-assessment—participant D.

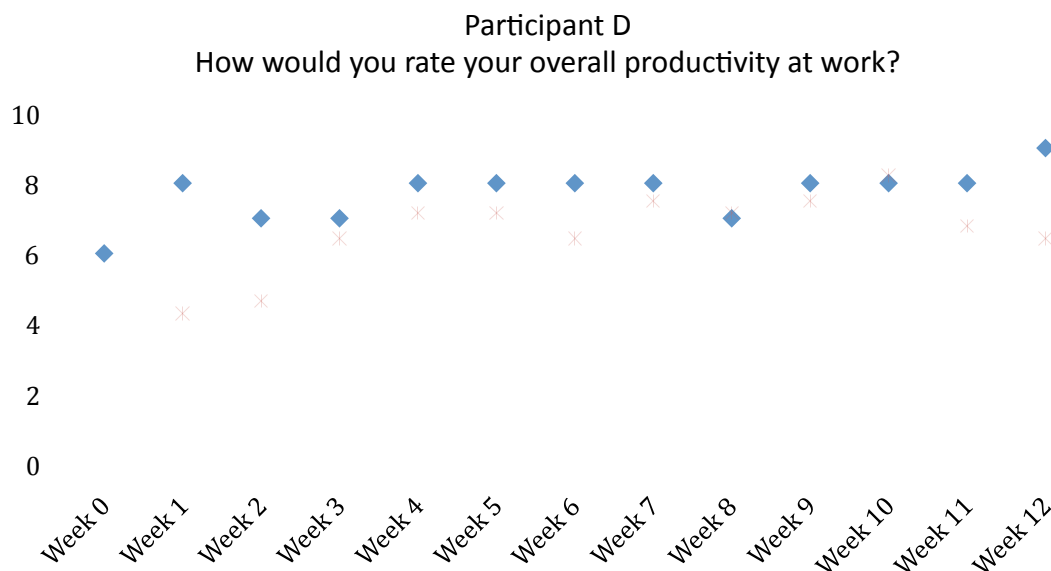


Figure 4.34. Overall productivity self-assessment—participant D.

Participant D was interested in increasing his attention capability from the outset.

The following excerpt describes participant D's baseline starting point at week 0:

Participant D is most interested in attention. He indicated that the other two abilities are areas he feels he is strong in. He said that his mind is “always moving,” so increasing his ability to focus would be very helpful. He reported trouble falling asleep at night because of racing thoughts.

He said he pays close attention to body language and believes others experience him as stoic and “a listener”. He conveyed an example where his wife would be talking to him while he read the newspaper. When she accused him of not paying attention he said he was able to repeat back to her everything she had said, and that she was impressed and surprised by that. (Rakoff, field notes, June 8, 2009)

**Connection.** Participant D's self-assessment ratings of connection to others increased from a 6 to a 9 on the 10-point scale (Figure 4.35).

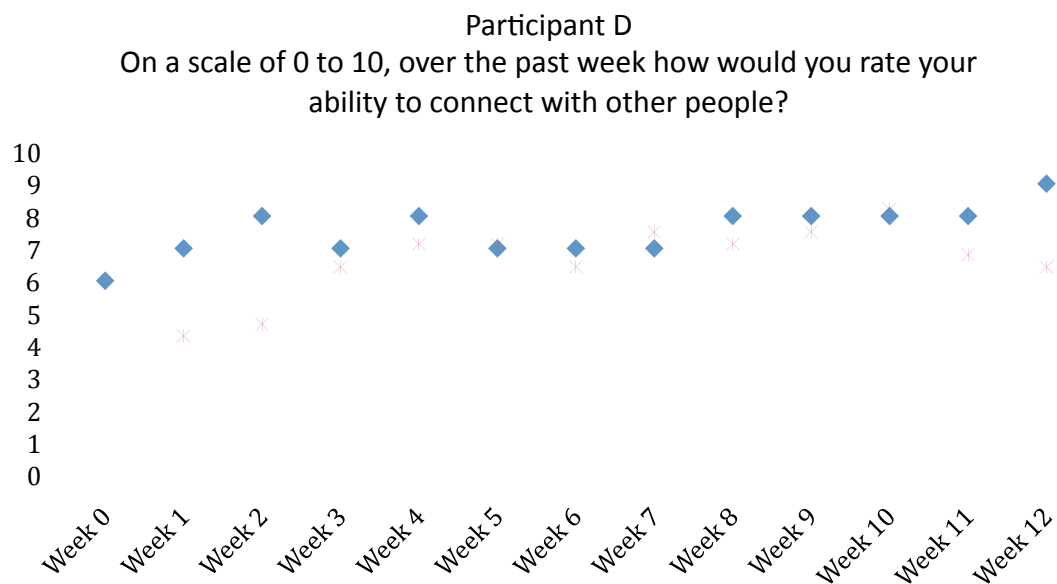


Figure 4.35. Ability to connect with others—participant D.

**Tension and stress.** All three self-assessment questions relating to tension and stress improved for participant D. Overall stress level was reduced from an initial rating of 9 to a final rating of 7 (Figure 4.36). Ability to reduce stress level improved from a 4 to a 6 (Figure 4.37). Quality of sleep increased from a 3 to a 5 (Figure 4.38).



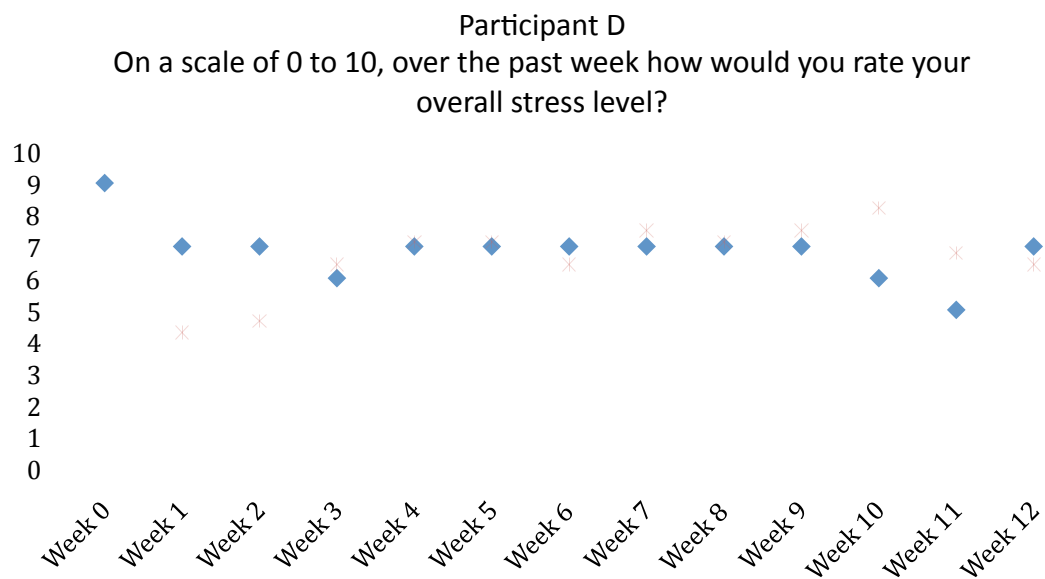


Figure 4.36. Overall stress level—participant D.

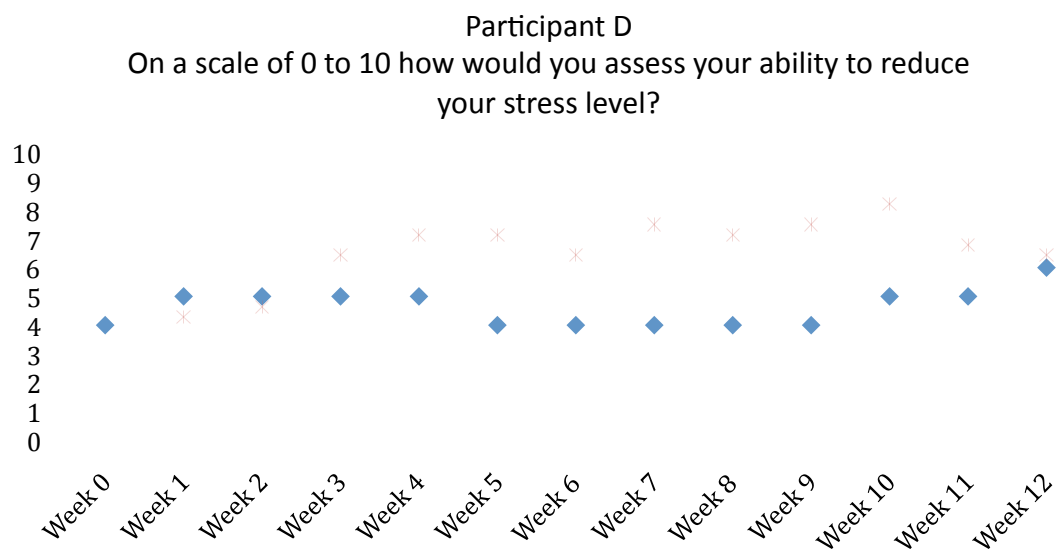


Figure 4.37. Ability to reduce stress level—participant D.

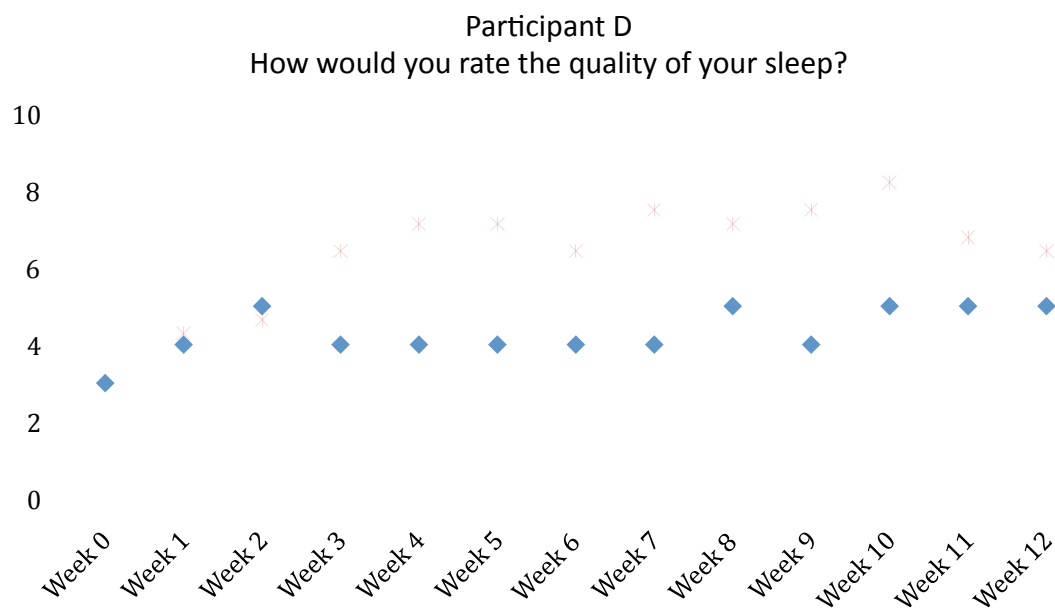


Figure 4.38. Quality of sleep—participant D.

**Overall leader ability.** Participant D's self-assessment of overall leadership improved from the initial rating of 7 to the week 12 rating of 9 (Figure 4.39).

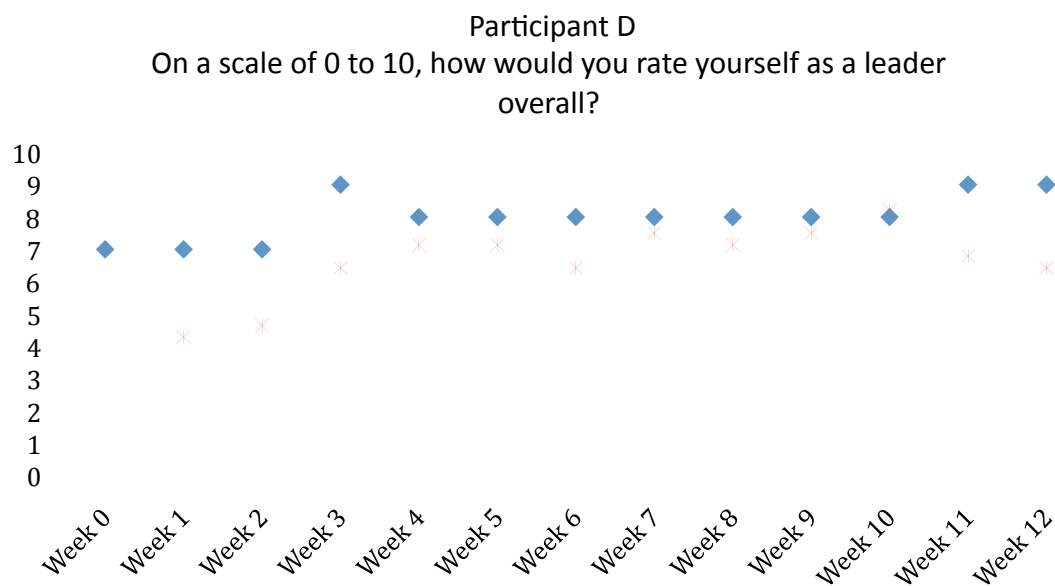


Figure 4.39. Overall leader self-assessment—participant D.

**Summary of Participant D's Pre- and Post-Assessments**

Participant D initially expressed a need for improvement in attention. His self-assessment index score for attention improved by 1 point, while his index scores for connection and tension/stress were unchanged (Figure 4.40).

<b>Participant D</b>		<b>360 T1 Average Week 0</b>	<b>360 T2 Average Week 12</b>	<b>Self-assessment Week 0</b>	<b>Self-Assessment Week 12</b>
<b>Attention</b>	Can effectively lead an operation from its inception through completion.	3.89	4	4	5
	Is sensitive to signs of overwork in others.	4.5	4.11	4	4
	Neglects necessary work to concentrate on high-profile work.*	3.64	4	3	5
	Makes a splash and moves on without really completing a job.*	4.73	4	5	5
	Is overwhelmed by complex tasks.*	4.45	4.33	3	5
<b>Attention Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.24</b>	<b>4.09</b>	<b>3.80</b>	<b>4.80</b>
<b>Connection</b>	Shows interest in the needs, hopes, and dreams of other people.	3.89	3.89	4	4
	Has a warm personality that puts people at ease.	3	3	4	4
	Is willing to help an employee with personal problems.	4	3.38	4	4
	Tries to understand what other people think before making judgments about them.	4.45	3.75	4	4
	Can settle problems with external groups without alienating them.	3.75	3.56	4	4
	Involves others in the beginning stages of an initiative.	3.91	3.67	4	4
	Listens to employees both when things are going well and when they are not.	4.09	3.67	4	4
<b>Connection Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.87</b>	<b>3.56</b>	<b>4.00</b>	<b>4.00</b>
<b>Tension/Stress</b>	Can deal effectively with resistant employees.	3.64	3.22	3	4
	Can handle an unfair attack from peers with poise.	4.25	3.78	4	4
	Responds effectively to constructive criticism from others.	3.92	3.33	4	4
	Remains calm when crises occur.	4.5	4.56	5	4
	Tends to resist input from other departments.*	4.55	4.11	5	5
	Is dictatorial in his/her approach.*	4.45	4.33	5	5
	Makes direct reports or peers feel stupid or unintelligent.*	4.82	4.89	5	5
	Is emotionally volatile and unpredictable.*	5	4.78	5	5
	Adopts a bullying style under stress.*	4.36	4.67	5	5
	Does not handle pressure well.*	4.33	4.22	5	5
	Orders people around rather than working to get them on board.*	4.36	4.56	5	5
<b>Tension/Stress Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>4.38</b>	<b>4.22</b>	<b>4.64</b>	<b>4.64</b>

Figure 4.40. Summary of pre- and post-assessments—participant D.

At T1, 11 raters completed Benchmarks 360 assessments for participant D and at T2, nine raters completed the assessment. External raters indicated marginally (less than .32 points) lower ratings in the three areas for participant D. With T1 ratings between 3.87 and 4.38, there was some room for improvement.

Following the last of the 12 weekly sessions, in describing his overall experience in the study, participant D wrote:

The biggest change I have noticed is a significant improvement in my ability to remain focused, regardless of whether my attention is directed to a speaker, as a participant in a group discussion, or reading a book, newspaper, etc.

Admittedly, at first, I struggled with understanding how the techniques actually contributed to “leader development.” However, with each session I understood more how becoming focused, maintaining it, and, if necessary, regaining it is very important to leader development. As I discovered on several occasions, an individual or a group of individuals do recognize and take note of when your full attention is not with them. As the leader of an organization, I am sending a rather disconcerting message if I cannot remain engaged with an employee during a one-on-one conversation or with numerous employees during a group discussion.

The ability to remain focused for extended periods of time helps me to be even better at connecting with others and has improved my listening skills.

When I incorporate the techniques into my sitting posture during long meetings, I am not as tired and remain focused for longer periods of time.

Practicing the techniques definitely has aided me with controlling my stress and tension in preparing for a meeting and during a meeting. (Participant D, feedback letter, September 29, 2009)

## Participant E

Participant E is a man in his early 60s who is the president of a large regional retail chain.

### Time Series Self-Assessment Data

**Practice frequency.** Participant E's application of the practices was sporadic for the first three weeks and then leveled off. He maintained a high frequency level throughout the remainder of the study period (Figures 4.41 and 4.42).

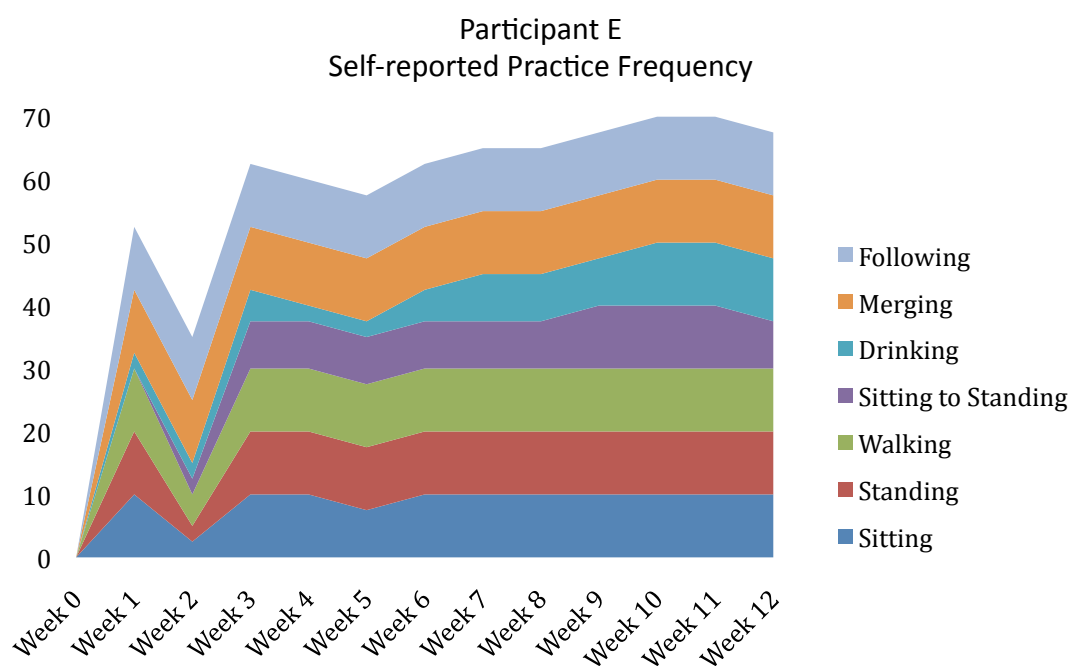
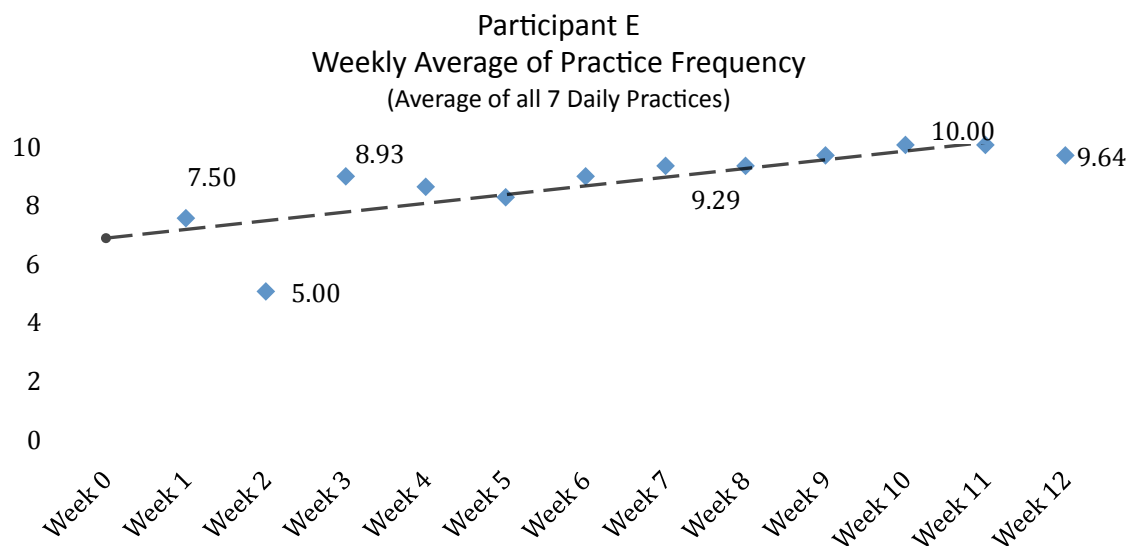


Figure 4.41. Practice frequency—participant E.



*Figure 4.42.* Average weekly practice frequency—participant E.

Participant E's practice frequency was sporadic for the first 3 weeks and then leveled off and remained high for the remainder of the study. At 8.75 on the 10-point scale, participant E had the highest overall average practice frequency of all study participants across the 12 weeks.

**Attention.** Participant E's self-assessment of his ability to stay focused increased from its initial rating of 8, to a rating of 10 (Figure 4.43).

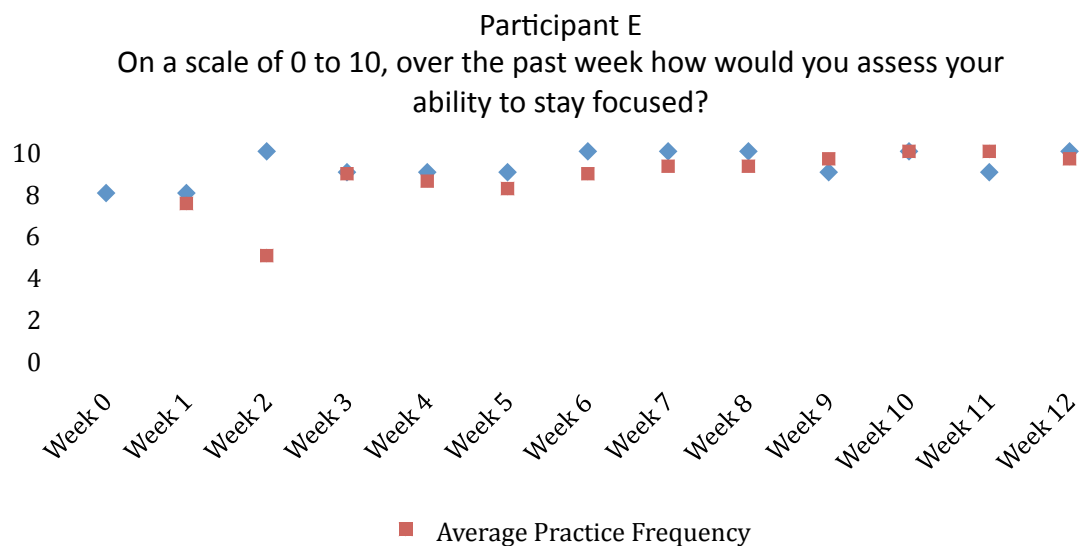


Figure 4.43. Self-assessment of ability to stay focused—participant E.

Self-assessment of productivity at work also increased (Figure 4.44). Going from an initial rating of 6, to a final rating of 9. The increase in productivity occurred in the first 3 weeks of the study period.

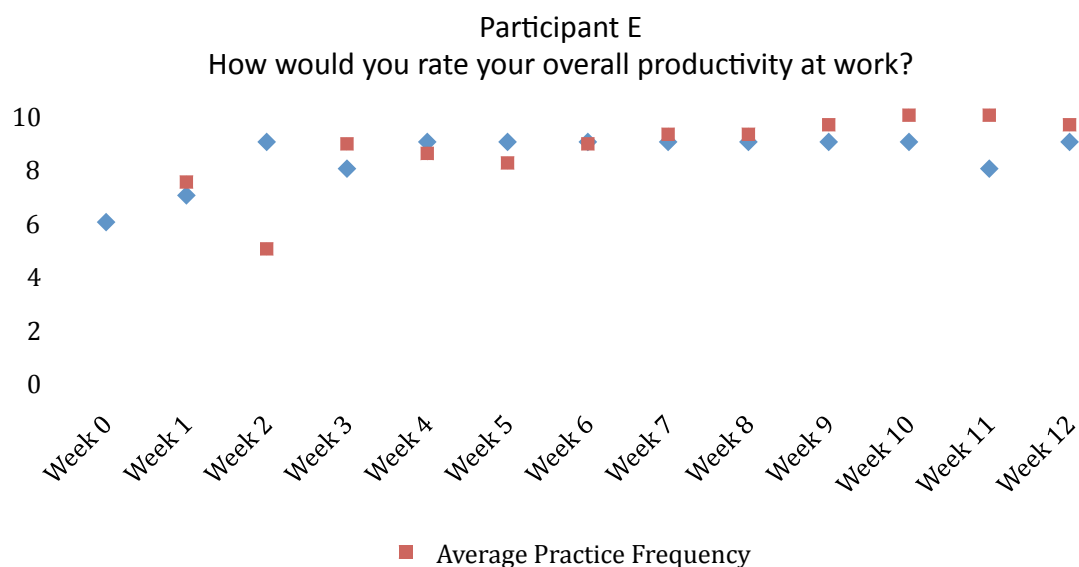


Figure 4.44. Self-assessment of overall productivity—participant E.



**Connection.** Self-assessment of ability to connect with others increased from a 6 to a 9 over the 12-week period (Figure 4.45). Participant E’s weekly self-assessments in the area of connection to others showed some fluctuation from week to week.

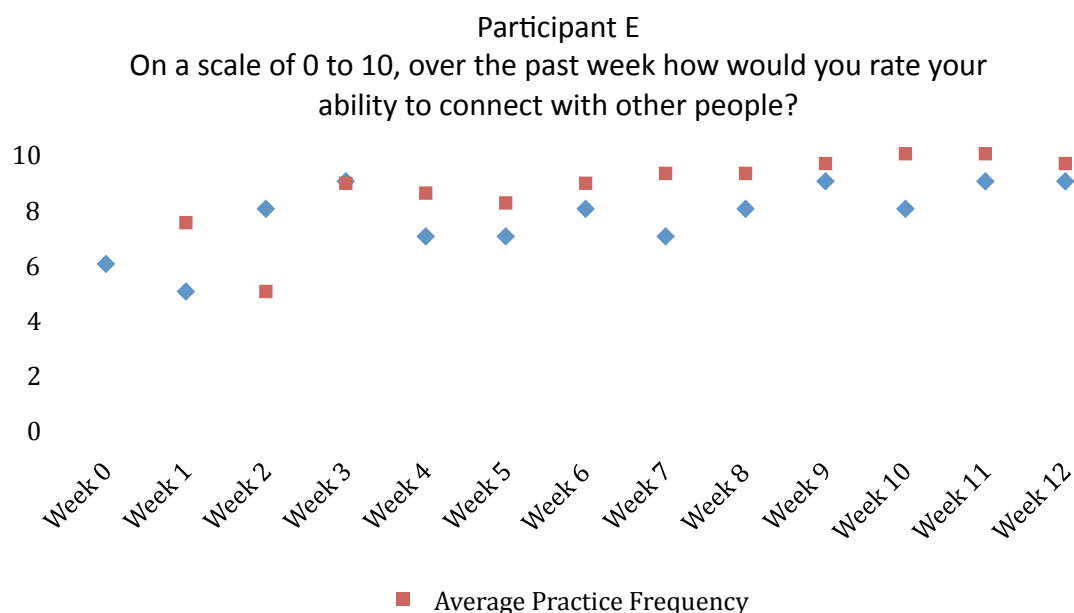


Figure 4.45. Self-assessment of ability to connect with others—participant E.

**Tension and stress.** Participant E’s self-assessment of all three indicators of stress improved. His overall stress level decreased from a 3 to a 0 (Figure 4.46). His ability to reduce stress improved from a 9 to a 10 (Figure 4.47), and his quality of sleep increased from an initial rating of 6, to a final rating of 9 (Figure 4.48).

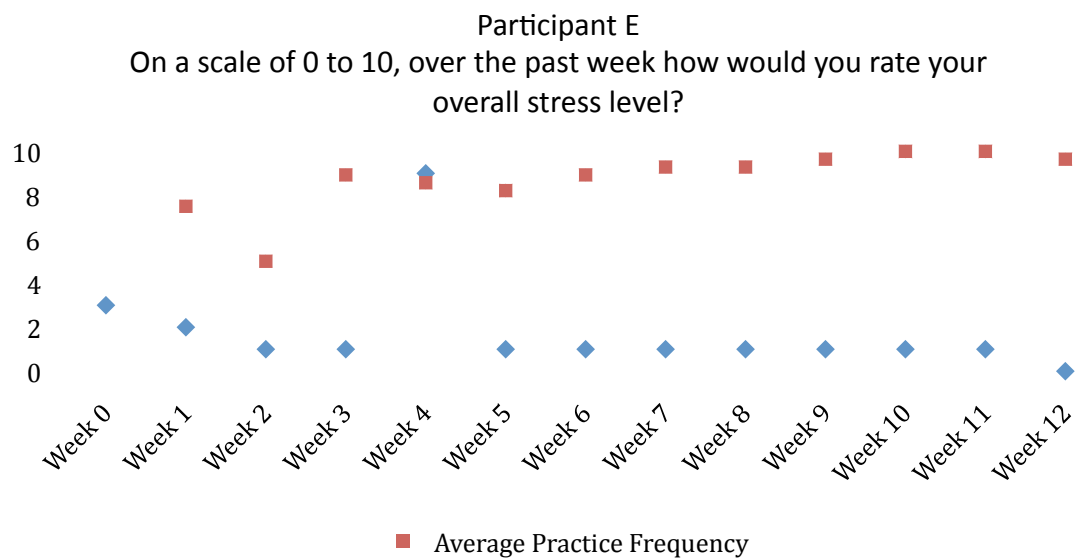


Figure 4.46. Self-assessment overall stress level—participant E.

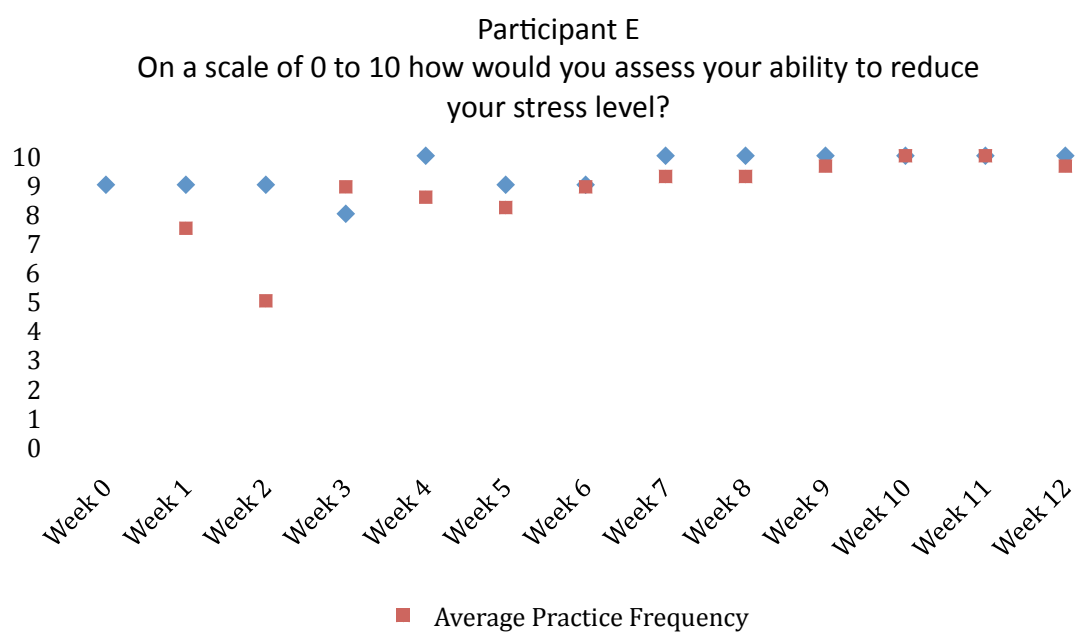


Figure 4.47. Self-assessment ability to reduce stress—participant E.

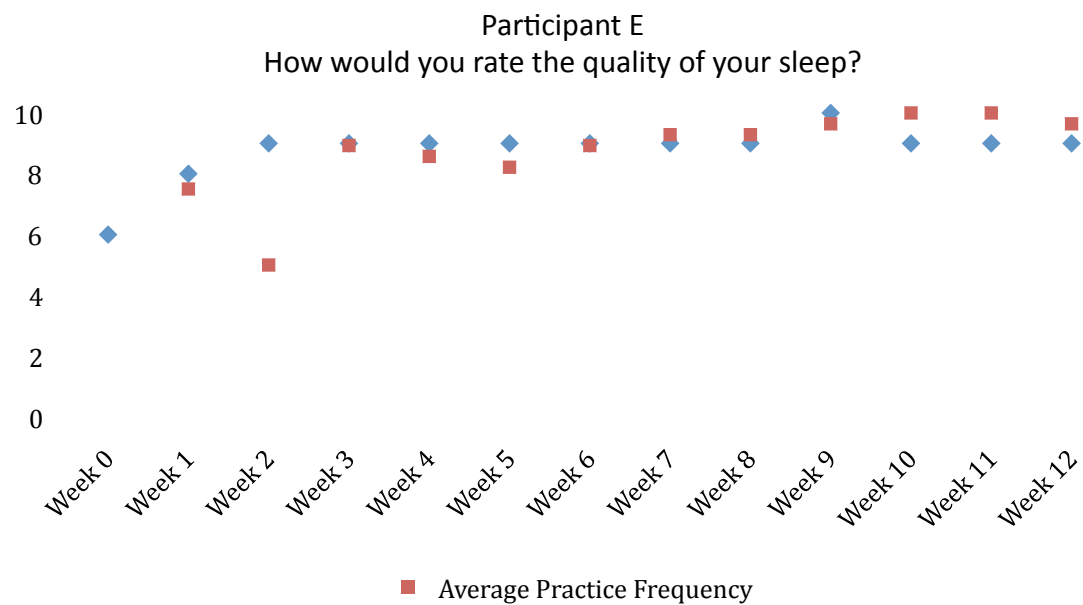
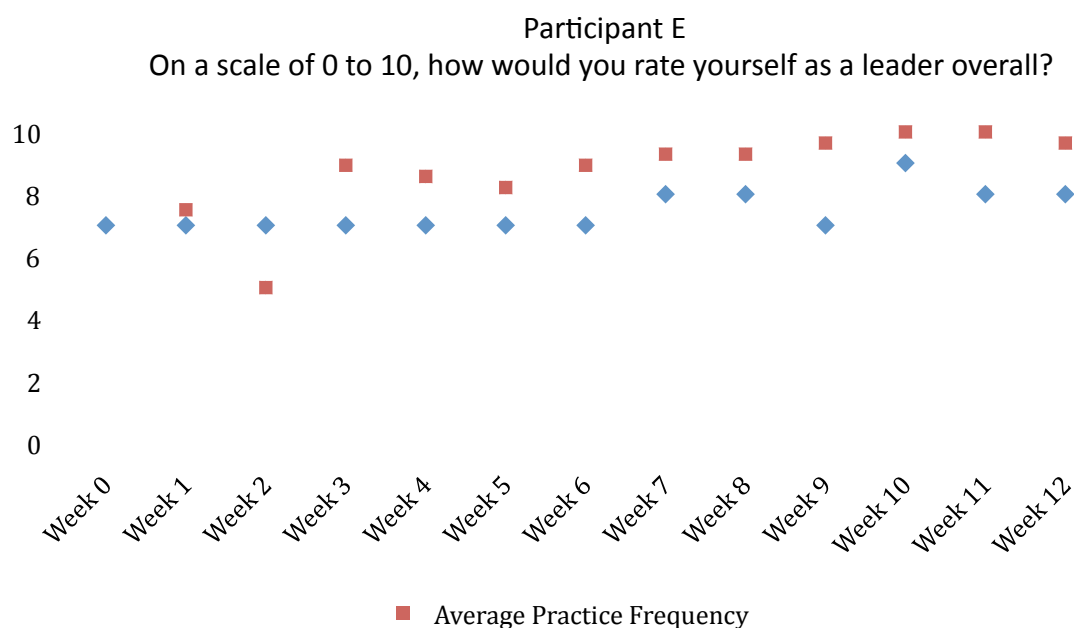


Figure 4.48. Self-assessment quality of sleep—participant E.

**Overall leader ability.** Participant E's self-assessment of his overall quality and capability as a leader started at a rating of 7 and concluded at a rating of 8 (Figure 4.49).



*Figure 4.49.* Self-assessment overall leader quality—participant E.

### Summary of Participant E's Pre- and Post-Assessments

Participant E's self-assessment scores improved in all three areas. The attention index score increased by 1 point, connection by almost 0.5 point (0.43), and tension/stress increased by more than 1.25 points. The 360-degree construct index scores indicated that improvements in the three core construct areas were perceived by the external observers as well (Figure 4.50).

		360 T1 Average Week 0	360 T2 Average Week 12	Self-assessment Week 0	Self-Assessment Week 12
<b>Participant E</b>					
<b>Attention</b>	Can effectively lead an operation from its inception through completion.	2.8	3.44	3	4
	Is sensitive to signs of overwork in others.	4.3	4.66	5	5
	Neglects necessary work to concentrate on high-profile work.*	3.9	4.67	1	4
	Makes a splash and moves on without really completing a job.*	4.2	4.67	3	4
	Is overwhelmed by complex tasks.*	4.4	4.89	5	5
<b>Attention Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.92</b>	<b>4.47</b>	<b>3.40</b>	<b>4.40</b>
<b>Connection</b>	Shows interest in the needs, hopes, and dreams of other people.	3.5	4.22	4	4
	Has a warm personality that puts people at ease.	2.6	3.44	2	4
	Is willing to help an employee with personal problems.	4.11	4.33	5	5
	Tries to understand what other people think before making judgments about them.	3.11	3.55	3	4
	Can settle problems with external groups without alienating them.	3.67	4.44	4	4
	Involves others in the beginning stages of an initiative.	3.9	3.42	5	5
	Listens to employees both when things are going well and when they are not.	3.5	4.11	5	5
<b>Connection Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.48</b>	<b>3.93</b>	<b>4.00</b>	<b>4.43</b>
<b>Tension/Stress</b>	Can deal effectively with resistant employees.	3.89	4.44	4	4
	Can handle an unfair attack from peers with poise.	3.44	3.75	4	4
	Responds effectively to constructive criticism from others.	3.1	3.88	4	4
	Remains calm when crises occur.	3.1	4.11	3	4
	Tends to resist input from other departments.*	4	4.67	1	5
	Is dictatorial in his/her approach.*	3.1	3.78	2	4
	Makes direct reports or peers feel stupid or unintelligent.*	3.56	4.56	3	4
	Is emotionally volatile and unpredictable.*	3	4.22	3	4
	Adopts a bullying style under stress.*	3	3.67	3	4
	Does not handle pressure well.*	3.8	4.45	1	4
	Orders people around rather than working to get them on board.*	3.5	4.45	3	4
<b>Tension/Stress Index Scores</b>		360 Index Scores		Self-assessment Index Scores	
		Pre	Post	Pre	Post
		<b>3.41</b>	<b>4.18</b>	<b>2.82</b>	<b>4.09</b>

Figure 4.50. Summary of pre- and post-assessments—participant E.

At T1 and T2, nine external observers provided ratings on the Benchmarks 360-Degree Assessment for participant E. External rater's construct index scores for attention, connection, and tension/stress improved by 0.55, 0.45, and 0.77 respectively.

Participant E initially rated himself lower than the external raters did for attention and tension/stress with rating discrepancies of 0.52 and 0.59 respectively. At T2, the rating discrepancy for attention had closed to 0.07 and the gap for tension/stress was reduced to 0.09. There was roughly a 0.5 point discrepancy gap for connection at T1 and, while both his self-assessment rating and the external rating increased, at T2, participant E still rated himself roughly 0.5 point higher than the external raters.

At the conclusion of the study, participant E provided a description of the experience:

When I first opted to be a participant in your leadership study, I didn't know what to expect. Being in a leadership role for 47 years, I suspected that your study would just reinvigorate me emotionally. Little did I realize that your processes would permanently alter my style.

Thank you so much for your teachings. What I now practice every day is your personalized systems that encourage my mind to focus in the present and not in the past or future. That simple rigor revitalizes my memory and concentration, relieves anxious situations, and improves the quality of the present experience. Additionally, those same practices offer more controllable experiences, regardless of outside influence. (Participant E, feedback letter, November 2, 2009)

### **Qualitative Data from Weekly Sessions**

Each of the participants ascribed to the practices a variety of effects, outcomes, and changes they experienced as a result of implementing the practices. In the final meeting to review the results of the pre- and post-Benchmarks 360 assessment, participant B shared an experience that had occurred just a few hours prior where an employee came into his office very angry and verbally attacked him in a way that participant B described as “the most anger that has ever been directed at me in a working environment” (Participant B, personal

communication, October 16, 2009). The employee made several inappropriate comments directed at participant B, who was able to stay calm and not attack back. In conveying this experience, he said that he did feel internal tension begin to build, and had an initial urge to verbally attack back, and even throw the person out of his office. Instead, he said he was able to understand that the employee was very angry, and he relaxed himself. He listened to what the person had to say for a minute and calmly said that he thought the best thing to do at this point would be for the conversation to end, and for the employee to take some time to collect, and that they could talk more later. Participant B was able to handle a very difficult verbal attack with poise and clarity. As he conveyed this experience, he said that the way he handled it was much different than how he may have in the past.

Almost immediately after this encounter with the angry employee, another of participant B's employees came to his office, but this employee needed counsel and coaching on a personal-professional issue. Participant B said that he immediately identified that the second employee needed this kind of help, and he was able to provide it. What was most remarkable for participant B, as he shared these two juxtaposed experiences, which had happened just hours before, was how effortlessly and naturally it was for him to switch between these two very different types of interactions. After the first employee left his office (slamming the door on the way out) he directed his attention back to his work, and when the second employee came in he was able to focus on that person and what they needed, as opposed to being focused on the earlier exchange. Participant B identified this ability to switch and direct attention as new, and important in his role as a leader. Finally, participant

B shared that one of the things he had learned through his participation in the study was just how contagious both tension and relaxation can be.

He shared a recent experience where one of his staff had come back from a client meeting that had gone very badly. The staff member got back to the office and within an hour the entire environment was charged with negativity. Participant B returned to the office after the staff member and quickly picked up on the mood. He spent some time going around talking to team members, staying relaxed and positive as he tried to understand the issue with the client, and the way the team was feeling about it. He said that inside of another hour the negativity was gone and the team was focused on solving the client issues. Participant B has come to understand how powerful and contagious the state of the leader can be, and has become very aware of the state of his mind and the state of mind of those around him.

Participant B improved his ability to relax and, as a result of that increased relaxation, he was able to see things with a new kind of clarity—including the individual needs of the people around him. This clarity, coupled with an increased ability to keep his mind in the present and minimize the extent to which it dwells in the past or projects to the future, is now allowing participant B to engage his team members in a coaching and mentoring capacity in ways he had not been able to in the past.

Through increased relaxation, clarity and attentiveness, participant B stated that he is now able to make conscious choices about where his mental energy goes. Interactions with his boss are markedly different than they had been in the past. He is less likely to be drawn into non-productive banter and argument with his boss, and throughout the course of the 12 weeks, some of his peers actually noticed this and asked participant B about the change in the



way he engages with the company president. Other participants also expressed an understanding and appreciation of the contagious nature of state of mind.

Through a very powerful shared experience between participant A and the researcher, participant A gained understanding of how one person's state of mind can very quickly affect the state of mind of others. The following excerpt helps to describe participant A's experience:

Last week, we did some exercises to demonstrate how participant A's level of relaxation can affect those around him. Today, I was walking into the building to see participant A for our scheduled meeting when my phone rang and I saw a number that I suspected was his office. Since I was already there I did not answer, but instead went in, prepared to have to reschedule, assuming something had come up for him. I checked in and went through the magnetometer, which is a kind of gate or entryway that I have gotten in the habit of using as a reminder to check my own state of relaxation and attentiveness. As I walked to the door to his office suite and moved my hand toward the door to open it, I felt a wave coming toward me just before my hand made contact with the doorknob. It was a nice wave-like feeling, similar to the feeling of slowly moving one magnet toward another when they are oriented positive pole to positive pole. It gently moved my hand and my body just slightly backward and out of the way of the door. A split second later, out of the door flew participant A, flanked by one of his colleagues. He was moving with a lot of purpose and was wide-eyed when he nearly ran into me. I could see he was very tense and obviously in a hurry to get somewhere. In a stressed voice he said, "We have a situation. I tried to call you. I have to go and I don't know how long this could take." It was clear that his mind was racing and only partly there. I relaxed even more and recognized this as an opportunity to help him understand the state of his mind at that moment. I said to him, "Of course, please take your time. I'll have a seat. I'm in no hurry." Immediately his eyes went back to their normal size. His speech slowed and his shoulders moved several inches away from his ears—he realized the tense state he was in and quickly reset himself. It was pretty neat to see.

About 20 minutes later, the situation was on its way to resolution and he returned, and we met. We discussed what had happened at the doorway and he said that it was very powerful for him because over the past four weeks he had had an opportunity to practice relaxing in situations where his employees or customers were tense, but he said this was the first time he had experienced it from the other side, and he was amazed at how powerful it was to gain that understanding of the tense state of his mind, in that moment. He said that if I had been frantic or bought into the panic, he doesn't think he would have been able to relax himself, and may have continued in the tense and excited state. I told him I was impressed by how quickly he was able to

return to his natural relaxed state once he realized where his mind was. (Rakoff, field notes, July 9, 2009)

Participant C had a similar experience seeing the way her level of relaxation could affect other people and situations. Participant C initially had trouble relaxing her physical body. In a sense, she did not understand what it meant to do so, and did not know what it felt like in her physical body to really relax. She began the study with considerable tension and rigidity in her shoulders and back. Participant C transitioned from extremely tense and rigid to less tense and rigid over the course of the first several weeks. In week 7, she had a breakthrough where she began to feel a much deeper physical relaxation. Three weeks later she shared an experience where she was able to identify a potentially high-stress situation as it was beginning to develop and to react to it in a different way than ever before.

Participant C has had a relationship with her mother that she characterized as “challenging” and “sometimes difficult.” She shared several examples of incidents where there were exchanges between the two of them that were difficult to deal with. In the meeting with the researcher in week 10, participant C shared an experience interacting with her mother in a different way than in the past. This experience is described in the following excerpt:

Participant C was in her office at work when cell phone rang. She made a deliberate decision to shift her attention from the work she was doing to look at the cell to see who was calling. She saw it was her mother. She checked her sitting posture and relaxed more into her chair, then answered the phone. Her mother was “hysterical and crying.” C continued to be aware of her level of relaxation while sitting in her chair and talking with her mother.

C has been in the position before where her mother has had crises or issues that needed to be attended to. Being excellent problem solver, C, by her own admission, typically jumps right into addressing the issues head on when her mother identifies a problem. She says that in the past she would start asking her mother questions to understand the issue and formulate a solution. C says these questions

would usually take the form of, “Well, what did you do?” and, “Then what did you do?” She felt like her mother experienced these attempts to understand solve the problem as being accusatory as opposed to helpful.

This time, instead of launching into questions to identify the issue and come up with a solution, C simply sat and listened to her mother, and continued to relax herself. She did not ask any questions but listened very closely and carefully to the problem her mother was describing, and simply said, “No problem, we can take care of that.” C says that within one or two minutes her mother had also become calm.

She said it was the first time she had been able to see the immediate effect of her relaxation and was very pleased that she was able to have a different kind of interaction with her mother. (Rakoff, field notes, August 18, 2009)

Participants A, B, and C each experienced the contagious nature of relaxation, and conveyed experiences through which they reported becoming aware of how the state of their mind affected others and changed the dynamics of interactions. Participants also experienced the internal effect of relaxation. Based on their self-assessment, participants D and E reduced their overall stress level, improved their ability to reduce tension and stress, and improved the quality of their sleep.

In the final meeting to review his pre- and post-assessment data, participant D reported feeling more focused at work. Interestingly, while reviewing the graphs of his self-assessment data, participant D pointed out what was not on the chart showing his stress level. He explained that in his five years with the organization, the last six months had been marked by more high profile and demanding issues than ever before, and that it was a time where he would have expected his stress levels to be much higher. That he did not experience a marked increase in stress during this period may be indicative of the effects the practices had on him.

Participant E had a similar experience. During the study period, there was a considerable shake-up in his organization, with the company CEO (his boss) being forced out

by the board of directors. At the time this occurred, participant E commented that prior to implementing the practices, he would have gotten very nervous about this but now felt a sense of acceptance of the circumstances and whatever changes they would bring. He reported a conspicuous lack of worry, which he enjoyed very much.

While the ways in which the daily practices for leader development impact and affect these five individuals differs, perceivable changes occurred in all five.

### Summary of Findings for All Participants

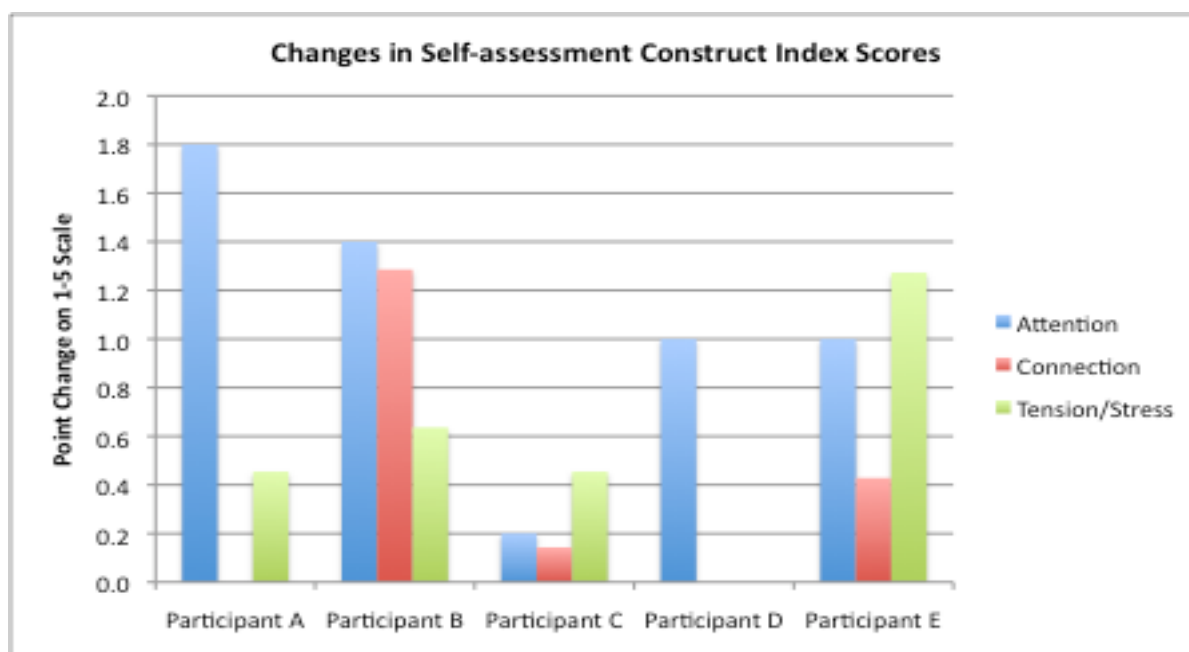
All five participants report improvements in each of the three core leader ability areas of attention, connection, and tension/stress (Figure 4.51). All five participants also rate themselves higher as a leader overall than they did prior to their participation in the study (Table 4.1, question 7).

Participants experienced varying degrees of change in the three core leader abilities of attention, connection, and tension/stress. All five participants' self-assessments in the core leader ability areas improved. Figure 4.51 depicts positive changes in weekly self-assessment responses for the core leader ability questions by shading the corresponding cell green for self-assessments that became more positive from week 0 to week 12 and grey for assessments that were unchanged.

Leader Ability	Weekly Self-assessment Question	Participant				
		A	B	C	D	E
Attention	Ability to Stay Focused					
	Overall Productivity					
Connection	Ability to Connect with Others					
Tension/Stress	Overall Stress Level					
	Ability to Reduce Stress Level					
	Quality of Sleep					

Figure 4.51. Summary of leader construct self-assessment for all participants.

Construct index scores also indicate, to varying degrees, improvements in the three core leader abilities. Changes in construct index scores from week 0 to week 12, for each participant, are shown in Figure 4.52.



*Figure 4.52.* Attention, connection, and tension/stress index score changes for each participant.

The attention index increased for all five participants, with four of the five participants experiencing increases of one full point or more. The connection index scores increased for three of the five participants. The tension/stress index increased for four of the five participants. All changes for each participant are summarized in Table 4.1.

Table 4.1

*Summary of Assessment Data—All Participants for All 12 Weeks*

	A	B	C	D	E
Average Practice Frequency	7.44	8.72	6.64	6.64	8.75
Weekly Questionnaire Responses					
Q1 Ability to focus	+6	+2	+1	+3	+2
Q2 Productivity	0	+1	0	+3	+3
Q3 Ability to connect with others	+2	+2	+1	+3	+3
Q4 Ability to reduce stress	+3	+5	+2	+2	+1
Q5 Stress level*	-3	-3	-2	-2	-3
Q6 Quality of sleep	+3	+5	+1	+3	+3
Q7 Overall leader rating	+2	+1	+2	+2	+1
360 Self-assessment (1 to 5 scale)					
Attention	+1.8	+1.4	+0.2	+1.0	+1.0
Connection	0	+1.3	+0.1	+0	+0.4
360 Assessment by Co-workers (1 to 5 scale)					
Attention	+.02	-.20	-.18	-.15	+.55
Connection	-.04	-.14	0	-.31	+.44
Tension/Stress	-.34	-.28	+.08	-.16	+.78

*Note.* A lower value for self-reported stress level means less stress.

**Practice frequency and leader ability.** There appears to be a relationship between frequency of practice and change in self-assessment of leader ability along the three dimensions of attention, connection, and tension/stress. Point changes in the pre- and post-self-assessment construct indices are shown in Table 4.2, and demonstrate the way in which higher average practice frequencies associate with higher levels of positive change in each of the three construct areas.

Table 4.2

*Relationship of Practice Frequency to Positive Change*

	<u>Self-assessment Changes (in points)</u>			Practice Frequency
	Attention	Connection	Tension/Stress	
Participant A	1.8	0.0	0.5	7.44
Participant B	1.4	1.3	0.6	8.72
Participant C	0.2	0.1	0.5	6.64
Participant D	1.0	0.0	0.0	6.64
Participant E	1.0	0.4	1.3	8.75

As the practice frequency and construct index score changes indicate, there appears to be a relationship between applying the daily practices more frequently and increases in self-assessment of capability in the core construct areas of attention and tension/stress.

### **Conclusions**

The quantitative and qualitative data lead to the following conclusions, which address the research question and the four assumptions underlying this study:

1. Participants engaged in the daily practices at least every other day, and often every day.
2. Participants perceived that the daily practices led to improvements in all areas, except possibly productivity (where those who did not see an improvement started

out giving themselves high marks in week 1, leaving little room for improvement).

3. The self-assessment consistently supported the perception of improvement between T1 and T2 for attention.
4. The self-assessment also provided moderate, but not consistent, support for the perception of improvement between T1 and T2 for connection and tension/stress.
5. Participant E applied the daily practices with the highest frequency and reported high degrees of self-perceived improvement, as well as increases in external ratings from T1 to T2.
6. With the exception of participant E, external reviewers generally did not recognize the changes that participants perceived in themselves. In some cases, (particularly with participant C) the more appropriate external raters may have been family.
7. Participants perceived an improvement in their ability to lead. With the exception of participant E, external reviewers did not generally recognize a change in leadership abilities in the 12-week time period.
8. Participants all talked about and wrote about the significant ways that this process changed them. Most were skeptical at the beginning, but came to see the relationship between the practices and the outcomes.



## Research Questions: Data Analysis and Results

The study sought to answer one general question—What is the effect of the daily practices for leader development on the five individual leaders? They were also three specific sub-questions:

1. Do the daily practices for leader development result in the cultivation of abilities in the areas of attention, connection, and tension/stress reduction?
2. Does the cultivation of one or more of these skills result in changes in perceived leader ability or quality?
3. Can changes resulting from the daily practices for leader development be detected with the Benchmarks 360-Degree Assessment Instrument?

The general effect of the practices on the five individuals has been discussed through their experiences, their self-assessments, and the assessments of their bosses, peers, direct reports, and other people who interact with them regularly. A detailed discussion of the mechanisms that cause the effects of the daily practices is presented in chapter 5. The three specific sub-questions are discussed in the following section.

**Research question one: Findings.** Do the daily practices for leader development result in an increased ability to direct and sustain the focus of attention? In all five cases, participants' self-assessment construct scores for attention increased from the initial assessment in week 0 to the final assessment in week 12. Three of the five participants reported that their overall productivity at work increased. Participants A and C began with high baseline self-assessments of productivity (8 and 10 respectively), and ended the study with the same self-assessment in week 12.

The participant who applied the practices most frequently saw the most improvement in attention capability. Participant E had an average practice frequency of 8.75 on a 10-point scale, and both the 360-degree construct index score and the self-assessment index score for attention increased. Conversely, the participant with the lowest average practice frequency (participant C with an average of 6.64 on a 10-point scale) had a relatively minor increase in self-assessment construct index scores for attention. These results suggest a relationship between the daily practices and the cultivation of attention capability.

Do the daily practices for leader development result an increased ability to establish and maintain connections to others? Three of the five participants' connection index score increased from their initial rating in week 0 to their final rating in week 12.

The participant with the highest average practice frequency—participant E—experienced the most increase in connection construct index scores, with both the 360-degree index score and the self-assessment score increasing by nearly 0.5 point each. Participant D saw no external rater increases in the connection construct index. Participant D's average practice frequency across the study period was exactly the same as participant C's (6.64 on the 10-point scale). These results are consistent with the findings for the attention construct and suggest a relationship between application of the daily practices and the cultivation of the ability to establish and maintain connections to others.

Do the daily practices for leader development result in decreased levels of tension and stress? Each of the participants' self-assessments on the three time series questions relating to (a) overall stress level, (b) ability to reduce stress, and (c) quality of sleep improved from their initial rating in week 0 to their final rating in week 12. Four of the five participants'

360 self-assessment scores for tension/stress improved, and the fifth (participant D) remained the same.

The findings for each of the three core constructs suggest a relationship between the daily practices for leader development and the cultivation of ability in the areas of attention, connection, and tension/stress. It appears that the more frequently the practices are applied, the greater the increases in these abilities become.

**Research question two: Findings.** Does increased attention, improved ability to connect with others, and/or reduced levels of tension/stress result in changes in perceived leader ability and quality? Each week, participants rated themselves as a “leader overall.” All five participants’ assessment of overall leader ability increased. Increases in attentiveness and increased awareness of distractibility helped some of the participants to understand when they were not leading clearly. Participant A realized that he had not clearly communicated his priorities to his staff. During the study period, he documented and published a small number of very specific goals so that his team could clearly understand what he wanted to accomplish. Participant D became aware that he tended to stay quiet when other people may have expected him to be more vocal and, even though he preferred to sit quietly and listen until he had something to say, sometimes he may need to send clear signals that he is engaged and listening so that other people do not misinterpret his silence.

Increased ability to connect with other people also proved helpful in leader interactions. Participant B was able to better understand the way his boss tended to engage in debate and discussion, and was able to adjust in a way that defused potentially acrimonious interactions and led to more efficient decision-making. Participant B’s ability to interact with

his boss in this way was not only felt internally, but was called out by his peers who, during the study period, noticed the improved interactions and commented to participant B that the interactions seemed different.

Both the time series data collected, and the experience accounts provided by the study participants suggests that improvements in attention, connection, and tension/stress abilities are related to perceptions of leader quality and overall ability.

**Research question three: Findings.** Can changes resulting from applying the daily practices for leader development be detected using the Benchmarks 360-Degree Assessment Instrument? The 360-degree construct indices that measure attention, connection, and tension/stress are based on a subset of items from the Benchmarks Instrument. The 23 Benchmarks items used in the study for both the weekly time series self-assessment data and the pre- and post-360 assessments ask about behaviors that are associated with attention, connection, and tension/stress. A comparison of changes in 360-degree index scores (external ratings) to changes in self-assessment index scores showed some inconsistency across the study participants. In some cases, participants' self-assessment improved, but the pre- and post-external ratings showed no change or were lower. Lower ratings from external observers may be indicative of the limitations of 360-degree assessment instruments in general. Due to the small number of participants in the current study, it is not possible to make statistically meaningful determinations as to the extent to which the Benchmarks Instrument is useful for measuring the constructs of attention, connection, and tension/stress. Instances where the T2 score was less positive than the baseline score may suggest that the Benchmarks Instrument, or the combination of selected items that make up the construct

indices, was not sufficiently sensitive to the core constructs of the current study. Follow-up studies using larger numbers of participants could expand understanding of Benchmarks' full measurement capability in the core construct areas.

The interval between the first and second 360-degree assessment is also a consideration for future research using the daily practices. The Center for Creative Leadership recommends allowing 12 months between administering the Benchmarks Instrument. For this study, that extended interval was not practical; however, future studies may consider this as an option. Because the perceptions of leaders held by outside observers may have developed and been reinforced over years, 12 weeks may simply not be enough time (notwithstanding different behaviors on the part of the leader) for deeply held perceptions to change, except for extreme cases. The current findings on this issue are mixed however.

Participant E's external observer ratings increased on all three construct indices. The quantity and magnitude of participant E's 360-degree index score changes suggest that detectable changes may be possible in 12 weeks. However, other participants saw very little positive change, or even negative change in ratings. These inconsistencies make it impractical to formulate any real conclusions about the ability of the Benchmarks 360 Assessment Instrument to measure the three core constructs in the 12-week period.

Based on the self-assessment data and the participants' descriptions of their experiences, the daily practices for leader development look to cultivate improved abilities in the areas of attention, connection, and tension/stress and, as a result, increase overall leader

ability. The mechanisms by which these changes occur and the ways in which the participants get better at leading are discussed in detail in chapter 5.

## Chapter V: Discussion

It may be difficult to understand how the daily practices—techniques involving seemingly minor modifications to regular daily activities—could possibly have any effect on the way people lead others. Toward the end of the study period, several of the participants shared that they had some skepticism when they were first shown the daily practices. As participant E put it, “quite frankly, it seemed preposterous to me that by changing the way I drive my car, or the way I sit in my chair, or walk down the hall, I would somehow become a better leader” (personal communication, September 15, 2009). By the end of the study, participants’ skepticism was replaced with amazement, as the experience summaries they provided bear out.

The participants’ self-assessments show that, as a result of applying the daily practices, they felt markedly different about their abilities in the areas of attention, connection, and tension/stress management and reduction, and they felt more confident and capable as leaders in their organizations. Their skepticism at the outset is perfectly reasonable and understandable, and begs two very important questions:

1. What is the effect of the daily practices?
2. What is different and unique about these practices as compared to the many other existing leader development systems of practice, including those reviewed in chapter 2?

This chapter discusses these two important questions in detail. To put that detailed discussion into a context, the effect of the daily practices can be summarized in the following way: The practices work by replacing deeply ingrained habits of mind with new, more

productive habits that are consistent with leading effectively. Existing habits of mind are frequently sub-optimal, can be counterproductive, and are, in some cases, altogether ineffective. As discussed in chapter 2, changing habits of the mind can be very difficult due to its intangible nature. The physical body, however, is an outward representation of the mind that is both tangible and able to be manipulated by the individual. The daily practices are a somatic approach to retraining the mind of the practitioner. That is, the practitioner effects changes to habitual patterns of thought by changing and rehabilitating their physical body.

The practices function in three very specific ways to assist the practitioner in replacing existing, often suboptimal or counterproductive, habits of mind, with new, more productive habits. The practices function to:

Create awareness of existing habits of mind.

1. Associate physical feelings in the body with specific states of mind.
2. Create a physical reset point—a place to go back to when physical feelings are detected that indicate an unwanted state of mind.

Each of the participants experienced these three functions and concluded the study with (a) increased awareness of their physical state; (b) a clear understanding of what it feels like in their body when their mind is attentive or distracted, connected or separated, or tense or relaxed; and (c) the ability to very quickly survey and reset their physical body in nearly any setting or position. Through these core functions, and based on participant perceptions, the daily practices resulted in meaningful improvements in leader ability.



It may be counterintuitive to conceive that, through simple physical practices incorporated into regular daily activities over a period of only 12 weeks, a leader could replace existing habits of mind with new habits that improve their ability to lead. Yet, in this case, that is precisely what happened. The participants' perceptions of their ability in the areas of attention, connection, and tension/stress improved and, subsequently, they felt more capable as a leader. The participants perceived these changes and improvements themselves. In some cases, the people who work and interact with the participants each day perceived positive changes and, in my role as a researcher and a practitioner of the daily practices, I perceived changes in the participants.

The changes varied from one participant to another in both type and magnitude. In some cases, I saw clear outwardly observable differences that the participant also experienced. This was particularly true with participants A, C, and E whose levels of attentiveness, awareness, and tension were clearly evident through physical observation. Each week, as they greeted me and we reviewed the practices, I had an opportunity to observe their physical state, which provided important information about the state of their mind.

As an example, at our initial meeting, participant A's high level of habituated tension was immediately evident. He had forward head syndrome (FHS) and his shoulders were rolled forward causing a closed hunched torso. We spent the majority of the time together that day working on the standing posture practice. When I returned to see him for our week one session, he looked markedly different, and said "I feel two inches taller and my wife says I seem taller" (Participant A, personal communication, June 9, 2009). For the first time in a

long time, he was standing straight up with his spine in the proper anatomical position, and with minimal muscle engagement. He looked and felt relaxed and confident in a way that was starkly different than the first time I met him. He applied the practices diligently and his posture remained good throughout the study. In some of our early weekly reviews, he shared with me experiences where he was confronted with a stressful situation at work where he felt an immediate impulse to react, but before doing so realized that he had reverted back to his old posture. In these cases he was able to quickly reset himself, and found he was able to deal with those situations in very effective ways.

In contrast to participant A's starting point, participant C stood straight up, but was very rigid and kept most of her weight on her heels. She did not round her shoulders in, but did pull them up toward her ears slightly.

Participant E was fidgety, and had a very difficult time sitting still. He would reposition his arms and legs frequently and his eyes and face moved around quite a lot. I could see in our initial meeting that it was difficult for him to stay fully engaged in a conversation. His mind would start to wander off, and quickly his eyes would look off to one side, followed by his entire face shifting to the left or right, as if he was looking at something several feet to my left or right. At our first meeting his executive assistant greeted me, showed me in to his office and introduced me. His office was large with a paper-covered desk, a round meeting table with four chairs around it, and a single, unopened newspaper in the center of the table. He invited me to sit across from him at his desk and we began to talk. A few minutes into the conversation he was explaining that the practices sounded interesting to him in part because he knew how "important body language and physical cues are to

leadership. For instance, just the place I sit, relative to you can make a big difference” (Participant A, personal communication, June 24, 2009). I got the sense that after we had taken our seats, in the places he signaled he preferred, it occurred to him that he would have rather sat at the table with me, and that he may now have concerns about the signal it sent when he asked me to sit across the desk from him. It was helpful for me to hear this as it indicated that, from the time we first sat down to the moment he brought this issue up (about 10 minutes), his mind had been on it for at least some amount of time.

Participant B’s physical posture was similar in some ways to participant A. He had forward head syndrome, which was much more pronounced in the seated position than in the standing position. In our first meeting he told me that he had recurring fatigue and pain in his neck. B was actually quite aware that when sitting in his chair he would lean and jut forward toward his computer screen, and that this put strain on his neck and back. His movements tended to be fast. When I arrived the receptionist called him and he came to escort me back to his office where we met each week. For the first few weeks, he walked quite a bit faster than I did, turning his head to the side and looking backwards over his shoulder to talk to me while continuing to walk forward. I noted that it did not seem to occur to him that by slowing his gait slightly he would be walking alongside me and would not have to look backwards while walking forward. In week three, he articulated awareness of his habit of walking ahead of people. He had become aware of it as a result of the walking practice.

The following week, he walked next to me all the way from the reception desk to his office. Each week thereafter I changed my walking speed without telling him and observed

how or if he adjusted his speed. In almost every instance he made adjustments, keeping the spacing between us such that we could walk and talk while both looking forward. By the end of the study period he had a very relaxed and natural gait.

Participant D was different than the others. His physical posture was very good to begin with. He was able to stand and sit upright with stability, and without too much rigidity. The speed of his movement (walking, sitting, standing, drinking) was relatively smooth and natural. To varying degrees, each of the others had a somewhat frenetic sense about them. There was a disorganized quality to the way they moved. I did not get that rushed, clunky, or hurried feeling from D. Instead, there was a lack-of-clarity quality to his movement. Where A, B, C, and E seemed to know where they wanted to move their bodies, D communicated a feeling of ambiguity when he walked or went from a sitting to standing position. From my perspective it felt like the difference between someone who wanted to go somewhere specific very quickly, and someone who did not know if they wanted to go anywhere at all. Most of the time I spent with participant D was doing practice review and exercises oriented toward having more clarity in his mind about where he wanted to go and what he wanted to do.

Improving physical posture, body mechanics, or speed of movement is not the primary objective of the daily practices. The physical characteristics that I observed in initial meetings, and throughout the study period, are relevant because they provide an outward indicator of the state of mind of the person being observed. Being unable to see their mind, I needed to be able to have some way of knowing if their mind was calm or tense, and whether it was focused in the present or wandering. More importantly, the participants needed clear

indicators that they could look to for understanding of the state of their mind at any given moment.

While the qualities of physical stability, posture, and organization of movement were different for each participant, the underlying reasons for the ways in which the five participants managed and moved their physical body were very similar. Participant A did not want to be standing and sitting with poor posture that caused neck and back pain. Participant C did not want to be fatigued and exhausted from holding her shoulders up all day and having her lower back muscles tensed. Participant E did not want to be fidgety. These were habituated physical behaviors, as opposed to conscious decisions to orient the body in one way or another. The participants were largely unaware of their habituated physical behaviors, which are outward indicators of habituated patterns of thought in the mind.

These habits of mind typically exist below the level of consciousness. The individual is essentially unaware of them, but is often very aware of the accompanying behaviors, which are the outward manifestations of habits of mind. Because the behaviors are observable, they often become the target of leader training and development approaches. However, attempts to alter outward behavior without addressing the underlying habits of mind that ultimately create and drive those behaviors is not likely to be effective. Nonetheless, many leader development approaches (including many of those reviewed in chapter 2) attempt to do just that—to change outward behavior.

The daily practices for leader development applied in this study are designed specifically to address these habits of mind, which, collectively, can be called the *habit mind*. Unlike the brain, the habit mind is not an anatomical structure. It is the collection of deeply

held assumptions and beliefs about how one is to be in their various places in the world—as a leader, a spouse, a friend, a teacher, an artist, and so on. The habit mind is also where our most basic assumptions about what is appropriate and effective to do are housed.

### **Tendencies of the Habit Mind**

The concept of the habit mind has a long and rich tradition stemming from south Asia and the Far East. It is closely associated with the eastern concept of bodymind discussed in chapter 2, and is predicated on the understanding that the body and the mind are one. As its name implies, the habit mind develops tendencies of interacting and behaving based on the way circumstances and experiences are interpreted. Three very specific tendencies of the habit mind are addressed by the daily practices. These are the tendencies of the habit mind to (a) wander, (b) create artificial separation, and (c) use more force than is necessary to accomplish tasks. These tendencies may be inherent to the habit mind, but because they are habits, they can be changed. To understand the way in which the practices work, it is important to have a thorough understanding of these tendencies of the habit mind.

The mind's tendency to wander may be universal across cultures, gender, and age. Wandering, in the vernacular of the mind, refers to the mind's temporal focus or location. At any given moment the mind can be temporally located in the past, the present, or the future. Just as the neuroscientific research suggests that the brain is not able to multi-task, but rather it is able to very quickly alternate between multiple tasks, the mind is not able to be in two temporal places at one time. By default, the mind appears to prefer the past and the future. Absent training, the habit mind is likely to default to wandering away from the present. A common experience that demonstrates the tendency of the habit mind to wander, which was

reported by all five study participants, is leaving home in the morning, getting in the car to go to work, then arriving at work and having absolutely no recollection of driving there. This is an example of the mind being somewhere else (temporally) while the body is in the car on the way to work.

The second tendency of the mind addressed by the practices is to create artificial separation, or to exacerbate the sense of separation between people and things. This is dichotomous thinking stemming from classical Cartesian dualism, and is deeply embedded in western culture, society, and institutions. The mind's tendency to create or exacerbate separation often results in interpretation of situations in such a way that each interaction with others is perceived (perhaps unconsciously) as a competition with them. These competitions can sometimes be very discrete. Perhaps when walking to the checkout line in a grocery store one sees an equidistant shopper who is also heading for the register, and speeds up her gait slightly so as to beat the other shopper into the line. Even when there is no particular place to be next, the habit mind can convince that there is something to win in this simple interaction.

Winner or loser, good or bad, first or last—these are hallmarks of the habit mind. No matter how subtle the detectable outward behaviors are that go with this way of thinking, the state of the mind is the same—the mind is essentially fighting with the other person, who is now perceived as something of a combatant or obstacle. The Arbing Institute's (2000) system of practice calls these behaviors objectification, or putting someone in a box. To the habit mind, she is preventing me from getting what I need or want. The sales vice president

in an organization who needs to hire a new sales person and disregards the human resource department's procedures because he views them as a hindrance demonstrates this tendency.

The third tendency of the habit mind addressed by the daily practices is the inclination to use more force than is necessary to accomplish a task or achieve an outcome. Anyone who has ever weeded a garden probably knows how easy it is to reach down and grab a weed and pull it toward the sky only to end up with half of the above ground part in the hand and the other half still in the ground. Likewise, the seemingly simple act of a golf shot is often followed by the phrase "I tried to kill it again!" Despite understanding at an intellectual level that it really does not take very much force to hit a good golf shot, as the recreational golfer gets closer to the tee box the habit mind seems to emerge and take over. The habit mind's proclivity for using more force than necessary does not end at physical activities. Verbal aggression, coercion, and some forms of passive aggressive behaviors can be examples of the same tendency.

These three tendencies of the habit mind undermine leader ability. The daily practices provide a practical way for an individual to effectively retrain their habit mind, using their physical body to create the necessary awareness, make immediate changes to their state of mind, and over time, replace existing habits of mind.

Returning now to the questions of the effect of the daily practices and how they differ from other systems of practice for leader development, consider the way the three tendencies of the habit mind can impact the leadership relationship through outward behaviors in interaction with others. A wandering mind leads to inattentiveness, which is often perceived by others as a lack of engagement or interest from the leader. A lack of sustained focus often



results in unclear or inconsistent direction, leaving teams unsure of what to do and where they are going. A sense of separation, or inability to establish and maintain connections with people on the part of the leader tends to affect morale and can result in reduced incentive for team members to self-affiliate with the group or organization. Tension and stress, and the use of more force than necessary to accomplish tasks, often manifest in poor treatment of others on the part of the leader. This treatment can show up through behaviors such as making demands based on unrealistic timelines, berating, humiliating, or marginalizing people, and through passive-aggressive behaviors such as not including people or not sharing information with them.

These behaviors that can result from tendencies of the habit mind present significant problems for leaders, as they are inconsistent with effective influence relationships—with leading people. Each of these three tendencies of the habit mind are directly addressed through the daily practices, which focus, not on suppressing or altering behaviors or ridding the mind of habits, but on replacing one habit with another. The daily practices work by retraining the habit mind so leaders do not act different—they are different.

### **Beyond Behaviors**

Many of the systems of practice reviewed in chapter 2 prescribe changing or suspending behaviors of various sorts. Examples include Marquardt's (2005) inquiry leadership, the Zanders' (2002) art of possibility approach, and to a lesser extent, the Arbinger Institute's (2000) leadership and self-deception systems, each of which focus on altering outward behaviors with a belief that, in doing so, people will become better leaders. Rather than behaviors, which are the outward manifestation and expression of thoughts and

feelings, the practices focus on the underlying tendencies of the habit mind that drive those outward behaviors. The point here is to fundamentally change the thoughts that drive the behaviors.

The practices are designed to develop three very specific abilities, each of which correspond to one of the three tendencies of the habit mind. First, the daily practices provide opportunities to practice keeping the mind in the present more, and letting it wander to the past or the future less (attention). Because the mind will go wherever it is habituated to go, more time spent with the mind in the present reinforces the habit, and can eventually become the default state of the mind.

The importance of having the mind in the present is stressed in the leadership literature. Csikszentmihalyi (1990) described the flow state as being completely engaged in the activity at hand. The flow state is marked by, among other things, discovering the inherent enjoyment of the given activity, even in cases where the activity could have been considered banal, or even unenjoyable in the past. To find inherent enjoyment in a previously unenjoyable activity requires a different outlook—an alternative interpretative framework.

The daily practices provide this alternative framework for interpreting situations and interactions by refocusing the practitioner on what is happening in their own mind, as opposed to the external circumstances in which they find themselves. As an example, in her first weekly session, participant C shared an experience where she had stopped for coffee on the way to work, and then got frustrated when she found a slow moving line at the coffee shop. She decided instead to skip the coffee. In discussing this incident, she realized that the

decision to abandon the coffee was not altogether hers, but that her intention had been changed by the circumstances she encountered. The irony of her experience (which she identified herself) was that she had nothing scheduled at work that morning, and had no particular reason to rush. She was not late and had the five minutes it would have taken to wait and get the coffee. Considering herself to be a resolute person, she found it somewhat disconcerting that her intention could be so easily altered, and that she seemed unable to muster up the patience to wait in line for coffee.

Throughout the course of the 12 weeks, participant C changed the way she interpreted experiences like waiting in lines. She had been viewing lines, and the people in them, as obstacles, and instead began to see the line as an opportunity to practice the relaxed and stable standing posture practice, which has the effect of bringing the mind to the same place as the body. Participant C discovered that when the mind is in the present, it is not projecting to the future and there is not the feeling that she should be somewhere else. At the end of the study, participant C commented on this:

I've come to appreciate all the opportunities that I have to put the practices into place—standing in lines, driving in traffic, talking to people that don't share my admiration for curt, direct communication . . . to name a few. I've found that these are times for me to merge my competitiveness with the practices . . . why in the world would I ever allow a line for coffee to win? I like coffee, I want coffee, and all I have to do is stand in this line to get it . . . I can do that! If I manage my expectations ahead of time, I'm in a much better position to curb my impatience that ordinarily would drive past the place once I saw the line for coffee. (Participant C, feedback letter, September 25, 2009)

Through the daily practices, participant C developed an alternative interpretive framework like the one described by Csikszentmihalyi (1990), which allowed her to find enjoyment and value in experiences that had previously been intolerable. Csikszentmihalyi's

characterization of “the ultimate control” (p. 62) as being the ability to freely determine the content of conscious thought may sound like a lofty goal, but for participants in the study, it was one result of applying the daily practices.

Secondly, the practices provide opportunities to coordinate movement with other people (connection). Synchronized movement has been shown to have a number of beneficial effects on relationships (Kyunghee, Micah, Bugg, & Picard, 2009).

Physiologically synchronized movement, such as dancing, is known to result in brain wave synchrony, internally between the two hemispheres and four lobes, and externally between and among the people moving synchronistically (Grinberg-Zylberbaum, 1987). The two driving practices—merging with traffic and following another car—are specifically intended to rehabilitate the mind so that the practitioner sees the interaction not as a competition with the other cars on the road, but as an opportunity to move with them in a synchronized way—to be connected to them. Without prompting, several of the study participants recognized the metaphorical nature of the driving practices and commented on the transportability of the ability to connect with other cars to the ability to connect with other people in work and personal contexts, as participant B demonstrated when conveying his experience with the way he physically positioned his body relative to his boss in the parking lot outside their office.

Finally, the practices provide opportunities to experience the feeling of physically relaxing the body, while engaging in normal daily activities (tension/stress reduction). This is a critical distinction between the daily practices for leader development and the systems of practice reviewed. Just as the mind is limited to a small set of temporal options (past,

present, or future), the physical body is generally either tense or relaxed (with many degrees of each). More time spent in a relaxed state helps to habituate to that state, just as more time spent with the shoulders pulled up to the ears habituates physical tension. It is not relaxation for its own sake, although physical relaxation has considerable virtue and utility. Rather, the ability to relax the physical body is important because of its connection to the mind. Several of the participants had problems sleeping at the beginning of the study, even though they reported being physically exhausted. Their minds were keeping them awake. While it is easy to tell someone to relax or to stop thinking about it, these can be very difficult things to actually do.

Through the practices, participants experienced keeping their mind in the present. They were moving in a synchronized way with others, and having their bodies in a relaxed state, while still engaging in regular daily activities.

### **A Unique Pedagogy for Developing Leaders**

The efficacy of the daily practices, as seen through the experiences of the study participants, is due to the fundamentally different pedagogy that underlies them. The traditional leader-training model is primarily focused on teaching behaviors. It is a didactic model where someone goes to a class to be taught (by a trainer or lecturer) techniques to lead more effectively. Knowledge about how to behave is conveyed from one person to another, and the focus tends to be on building a repertoire of techniques that can be used in a variety of situations a leader is likely to encounter. When the situation arises, the leader is to access their memory, choose one of the techniques, and apply it. The fundamental weakness of this approach is that it asks the leader to override their instinctive habitual reaction, at a moment

that is often stressful to begin with. The majority of the systems of practice discussed in chapter 2 are close adaptations of this pedagogical approach to developing leaders.

By contrast, the daily practices, which are based on Tohei's (1978) somatic pedagogical framework for training the mind, are not predicated on the belief that the individual can or should override their habituated response in a moment of stress, but instead, focus on changing the habit of mind so that the natural instinctual reaction to a given situation is the optimal one. If the habituated state of mind is calm, attentive, and aware of the connection between people, the leader is freed to simply do what feels natural and does not have to attempt to override initial impulses.

Another important differentiator between the daily practices and other systems of practice is a focus on action and interaction with other people. An example of the differences in the underlying pedagogical approaches can be seen in the treatments of the development of relaxation in some of the systems of practice for leader development. Both Wallace (2006) and Palmer (1994) described techniques for physical relaxation, which generally include sitting meditative practices. These sitting practices give the practitioner experience being relaxed in a stationary and solitary state, and are a valuable component of an approach to training the mind. The daily practices incorporate Tohei's ki principle of relaxation by (a) relaxing the physical body to calm the mind, especially in tense situations; and (b) incorporating the act of relaxing into the realistic context of everyday activities including moving and interacting with other people. The distinction between relaxation at rest and relaxation in action is a critically important one, as leaders spend their time moving, doing, and interacting.

As the review of the somatic systems of practice reveals, the state of the mind affects the physical body. Tohei (1978) tells us that the outwardly observable state of the body is an indicator of the state of the mind. The state of the mind is often difficult to know, but the state of the physical body can be easily detected (Tohei, 1978). A calm mind results in a relaxed physical body, and tension in the mind manifests as tension in the body (Feldenkrais, 1972; Hanna, 1988). Because the mind and the body are not two separate things, the state of one can be detected by observing and understanding the state of the other. Conveniently, this means that the state of one can be changed by changing the state of the other. The most clear and convincing evidence of this can be seen in the ability of the participants to instantaneously reduce tension and anxiety in the mind by relaxing the physical body, resulting in their ability to smoothly merge with other drivers on the road, and to interact with their bosses, peers, and staffs in wholly different ways, as their conveyed experiences demonstrate. Understanding and awareness of the oneness of mind and body, ultimately, is the primary mechanism by which the daily practices for leader development work. This understanding and awareness allows one to use their physical body to retrain their habit mind and replace unwanted habits with productive habits—a process that happens over time.

The significance of this process should not be understated. Changing the habit mind means fundamentally altering one's view of the world and the way one interacts with it. This is a profound transformation, made possible not by the daily techniques alone, but through a combination of the daily practices and interaction with someone who deeply understands that the mind and the body are one. This is the foundational element of Tohei's (1978)

pedagogical framework, and the one that makes the daily practices effective, as well as distinct from the systems of practice for leader development discussed in the earlier review.

### **Replacing Habits Through the Daily Practices**

All five participants in the study experienced positive changes. As their weekly self-assessments bear out, in a relatively short period of time, they were each able to reduce levels of tension and stress, focus their attention better (and for longer periods of time), and improve their sense of connection to the people around them. They replaced habits of distractibility, separation, and tension, with attentiveness, connectedness, and relaxation.

Beyond attention, connection, and tension/stress, some participants experienced changes in other long-standing habits, perhaps as a secondary effect of the practices. Participant A reported that he had a history of perfectionism and that the practices had resulted in a significant reduction in his perfectionist tendencies. Participant E found that his tendency to worry about things at work subsided. He shared a story about a week-long vacation he and his wife took during the study period where, for the first six days he did not call in to the office to check and make sure everything was going alright. He said it was the first time in his working life that he had gone away and been able to do that. When asked, he also said that not only did he not call, but he did not have the urge to call the office either.

Changes like those described by participants A and E in the areas of perfectionist tendencies and difficulty leaving work at work have a simple and logical explanation. They are both types of worry or concern about something that happened or something that might happen. Temporally, they exist in either the past or the future. It stands to reason that the more time the mind spends in the present, the less time it will have to project to the future or



the past. Retraining the mind to be fully engaged in the present naturally results in less worry, anxiety, perfectionism, and self-consciousness.

Keeping the mind in the present moment is a common theme in the leadership and leader development literatures. Several of the systems of practice reviewed in chapter 2 prescribe doing just that (Csikszentmihalyi, 1990; Goleman, 2006; Loehr & Schwartz, 2003a). While many of those systems of practice stop at prescription, the daily practices provide a practical approach to operationalize what is, in many cases, limited to the theoretical in those literatures.

### **The Concept of Action**

Another habit that came up with several of the participants was the leader's inclination to act. The idea that leaders do is a commonly held one—meaning that the leader must constantly be taking action, either proactively or reactively. This idea is perpetuated by the majority of the reviewed systems of practice for leader development. In many cases, it is not only perpetuated, but also strongly encouraged through acknowledgment, promotion, reward, and recognition systems in organizations and institutions. The concept of leading through action is not fundamentally flawed. The difficulty comes when the propensity to take action is combined with the tendency of the habit mind to act with more force than is necessary.

Through implementing the practices, some participants discovered other options for leading. Participant E is a marathon runner who averages 30 miles a week. His wife of several decades is in very good health, but does not exercise. For years, participant E has been cajoling his wife to walk with him or start an exercise program, but she has not. In a

weekly session with the researcher, participant E did an exercise with the researcher as his training partner. It is described below:

I asked him to stand facing me about a foot apart so we were eye-to-eye. I put my hand palm down on the center of his chest. I was not pushing him backward, but was lightly resting my hand with enough weight that he could feel it. I asked him to walk over and touch the wall in front of him, which was about eight feet away. He tried to walk forward but pushed right into my hand and stopped. We did it again—same thing. I asked him what was happening and he said I was stopping him from moving forward. We switched roles and I told him to use as much force as he needed to make sure I wasn't able to walk forward. I thought to myself "I have to move him out of my way," he dug his heels into the ground, widened his stance, and I ran right into him. We did it again, this time in my mind I did not tell myself that I had to move him. I simply moved myself and he walked backwards. We switched roles so he was walking forward and I asked him to have the thought "I have to move him." He tried to walk forward and couldn't. I asked him to get into the proper relaxed standing posture, let all the weight fall down to the balls of his feet, and have the thought, "I am moving forward." He effortlessly moved forward bringing me with him. (Rakoff, field notes, July 7, 2009)

Through this exercise, participant E was able to understand the difference between attempting to lead through coercion or force, and leading with relaxation. The habit mind tends to use more force than necessary to accomplish tasks. This tendency of the habit mind often causes leaders to push too hard. Participant E was able to feel the difference in his physical body between attempting to move (read lead) his partner, and simply moving himself. He felt that when he moved himself in a relaxed way the other person seemed to move along with him with no resistance. He also experienced it from the other role and felt that when the other person moved in a relaxed way he was not able to stop them from moving forward, yet he did not feel forced or coerced.

Through this experience, participant E realized that he had been attempting to coerce his wife around the issue of running and exercise:

I do this with my wife. I am constantly saying to her, “why don’t you walk with me.” I am trying to get her to do it because she is the love of my life and I want her to be around for a long time and be healthy. (Participant E, personal communication, August 11, 2009)

Participant E was trying to lead by dragging his wife along. Naturally, she resisted because people do not like to be dragged places they do not want to go. Participant E decided he would try a new approach and move himself—meaning he would continue to do what he knew was good for him and stop attempting to coerce or pressure his wife into exercising, despite the best of intentions. He understood that it was not only the words that he used or did not use with her but, importantly, the thought in his mind. If, in his mind, he thought, “I’ll trick her by not saying anything about it, then she will want to exercise,” he would still be attempting to coerce, and she would sense it.

In the review session a few weeks later, participant E had just come back from running a half marathon and told me that a few days before the race his wife came to him and said she wanted to walk the race with him, which she did. As of the final weekly session participant E’s wife was in a regular routine of walking several times each week for the first time in their married life, and was training to run a half marathon.

Leading, as participant E’s experience shows, is not always about doing something. Sometimes it is about doing nothing. Doing nothing, as it turns out, can be one of the most difficult things for a leader to do. The difficulty is attributable to the habit mind’s tendency to use more force than is necessary to accomplish tasks. This urge is often driven by tension, which can be perceived by others as coercion. Participant E’s experience with his wife’s exercise, and with not calling into the office while on vacation, demonstrates the changes in

his habits during the study period, and the potential power in changing the view that forceful action is what makes important things happen.

### **The Facilitating Effect of Awareness**

Retraining the habit mind begins with awareness. *Awareness*, as I use the term here, means a clear understanding of the current state of the physical self, one's mind, the minds of others, and the environment. The ability to clearly understand the current state of these things is dependent on a calm state of mind, and a powerful and effective way to alter the state of the mind is through awareness of the state of the physical body. Because of this, experiencing, and becoming increasingly aware of the physical feeling of tension, force, and relaxation was critical for all five study participants. In the weekly sessions, I provided opportunities for the participants to experience these feelings through physical tests of stability in the standing, sitting, and walking positions.

When being tested for physical stability and then asked to walk forward, an important interchange occurs between the two people that provides an exceptional metaphor for leadership interactions. This interchange includes dynamics of interpretation, relaxation, aggression, and resistance. The way these dynamics play out determines the nature and outcome of the interchange. These are dynamics of the mind and tend to occur with both individuals in the interchange. When the person giving the stability test places their hand on the chest of the person receiving the test, their interpretation of what they are doing sets the tone for the interchange. That is, the thought they have in their mind about why they are testing the other person, and what they are testing for matters. If they perceive the purpose of giving the test to be to see if they can push the other person backwards, or prevent them from

moving forward, they set an initial tone of confrontation and aggression. If, in their mind, they think that they are helping the other person understand their state of mind with regard to attention, connection, and relaxation, they set a much different tone for the interchange. The latter is preferred when teaching and reviewing the daily practices.

It is important that in administering tests, it is clear in the tester's mind that what they are doing is helping the receiver understand the state of their mind at that moment. Is the recipient focused or distractible? Does their attention go right to the spot on their chest where the testers hand is making contact? Just as the tester can hold a positive and helpful interpretation of the nature of the exchange, so too can the recipient. If the recipient interprets the actions of the tester to be an attack, or their presence to be a hindrance or barrier to forward progress, that is what it will be, and they will find it very difficult to walk forward because they will bump right into the hand of the tester. However, as the participants all experienced, by changing their interpretation of what is happening in this interchange, they are able to easily walk forward, bringing the tester with them in a way that does not feel aggressive or coercive. They simply change their mind about the essential nature of the interchange.

### **Somatic Learning**

This simple changing of the mind is not necessarily easy. As the earlier discussion explained, the difficulty in training or changing the mind is significant because of the mind's abstract nature. Changing the mind then begins by changing the state of the physical body through relaxation. This relaxation is achieved simply by standing in the proper posture, as described in chapter 3. In this relaxed and stable standing posture, the recipient's mind

becomes calm and clear, and is fully engaged in the present moment. In this relaxed state, they are at their most stable and easily maintain stability when tested. In this relaxed state, the person being tested is also able to move with ease, as long as the mind stays in a calm and clearly focused state.

When asked to walk forward while the stability test—described above with participant E—continues, another opportunity for interpretation arises. If the recipient maintains their relaxed state and continues to interpret the person testing them as someone who is helping them train and understand the state of their mind, they are able to move forward with ease and to bring the tester along in a way that feels smooth and nice to the tester. If however, they change their interpretation and again perceive the tester as a hindrance or barrier, or in the more extreme case, as an aggressor, they are likely to use much more force than is necessary in an attempt to move the other person. In doing so, they activate a counter productive resistance cycle.

### **The Aggression-Resistance Cycle**

Aggression needs resistance to continue. The habit mind knows what to do with resistance—it applies more force than it is receiving. The habit mind sees many exchanges as opportunities to either win or lose. When the test of stability begins with the tester forcefully and abruptly putting a stiff hand on the recipient, they send a signal about their intention. In their mind, they believe they are there to stop the recipient from standing with stability or from moving forward. Upon sensing this aggression, the recipient's habit mind is likely to interpret the tester as an aggressor, and the result is often the loss of stability and

inability to move forward. In their minds, the tester is there to prevent the recipient from doing something and the recipient perceives the tester to be a barrier to success.

However, even when the tester begins the exchange in an aggressive way, the recipient has choices that can change the nature of the interaction. The recipient can choose not to interpret the abrupt and rigid contact as aggression, but to interpret it as an opportunity to practice being in a calm and relaxed state. Again, they accomplish this by maintaining the proper relaxed standing posture. This relaxation of the physical body is within the control of the recipient and tends to have an immediate effect on the mind. Interestingly, it also tends to have an effect on the mind of the tester who began the interchange with force or aggression. This effect happens because of the symbiotic relationship between aggression and resistance.

As the word symbiotic suggests—aggression cannot survive without resistance. Absent resistance, aggression tends to fall away. When the tester began the interchange with force and aggression and was met with resistance from the recipient, the recipient was not able to stand with stability and was easily moved backwards, or could not walk forward. However, when the recipient maintained a relaxed standing posture, even when confronted with an aggressive initial test, they were able to stand with stability and to walk forward with ease. When the study participant took the role of tester and I was the recipient of the test, I instructed them to use whatever amount of force they thought necessary to prevent me from walking forward and to pay careful attention to how much force they were using each time so they could compare. I would then do several rounds in the role of recipient, changing my conscious interpretation of the tester each time, alternating between thinking that the tester

was an obstacle to be moved, and that the tester was helping to provide insight into the state of my mind at that moment. In the former examples, the participants were generally able to prevent any forward movement by exerting high levels of force. In the later examples, the recipient moved forward easily, taking the tester with them. When I asked them why they allowed me to move forward the participants were not sure. They said they were focusing on exerting as much force as was needed to stop my forward movement and could not initially explain why I was able to move them so easily. After a handful of these starkly different experiences, the participants came to understand that, by staying in a relaxed state when confronted with aggression, the aggressor, having found nothing to fight against, simply stopped aggressing.

Each of the study participants had an opportunity to experience these feelings, in both roles, during the weekly sessions when the practices were reviewed. Each week, they experienced different combinations of stability tests in the standing position, sitting position, and while walking forward. They were asked to alternate between being tested in the proper relaxed posture and in the improper posture so they could feel the difference. They were also asked to be in the proper physical posture, but to deliberately hold negative thoughts about the test in their mind so they could experience the effect that their thoughts had on their physical stability. Without exception, they found that it was nearly impossible to keep the body in the proper physical posture if they held the negative thought in their mind, but that if they put their attention at one particular spot on their physical body, and held the attention at that spot throughout the test experience, they remained stable. Each participant concluded that it was easier for them to put their attention on their physical body and being in the proper



posture during interactions than it was to attempt to think positive thoughts. In other words, the participants could easily change their physical bodies and immediately experienced a resultant change in the state of their minds.

Changes in the state of their mind had an affect on the state of mind of others. In changing their mind, they changed the mind of the tester, whose original intent was to use whatever amount of force necessary to prevent the recipient from walking forward. The tester broke the aggression-resistance cycle and fundamentally changed the nature and the outcome of the interaction. Through the clarity and calmness of their own mind they led the mind of the tester and transformed their aggressive intent. The ability to interrupt the aggression-resistance cycle in this way is critical for leaders. It can help leaders keep organizations and individuals on track, as opposed to getting distracted from important goals and outcomes.

## **Summary**

Through the daily practices, study participants were able to cultivate many of the skills, traits, characteristics, and abilities identified in the leader development literature as being important for positive leadership relationships. The daily practices draw from, and build upon, existing relational, somatic, and reframing systems of practice, creating a powerful, blended system of practice that effectively operationalizes what, in large part, many of the reviewed systems of practice limit to the theoretical in terms of how one can cultivate leader capabilities.

The daily practices are somatic, in that they incorporate the physical body. Where some somatic practices (such as Feldenkrais) focus on the primacy of the physical body, the

daily practices use the physical body, with its perceptibility, to help the practitioner understand the state of their mind, and effectively retrain their habit mind, thereby changing the associated behaviors. The participants in the study found that, by sensing tension in their physical bodies in the course of interactions with colleagues and others, they were able to identify anxiety or frustration much earlier than in the past. With this earlier understanding of the state of their minds, they were able to engage with people in markedly different ways. As participant B said in one of the weekly sessions:

It's not that I don't feel frustration. Sometimes I do, and sometimes I still have to hold people accountable. But now I feel like I have options that I didn't have before because the words would come out before I had a chance to think through it.  
(Participant B, personal communication, September 10, 2009)

Increased ability to (a) focus and sustain the focus of attention, (b) establish and maintain genuine connections to others, and (c) reduce levels of tension and stress (and the accompanying behaviors) resulted in positive changes in leader ability, as perceived by the participants themselves, and, in some cases, those around them.

While the daily practices were shown to have meaningful impact on the participants and, specifically, on their ability to lead others effectively, it is not the physical techniques (walking, sitting, merging, etc.) alone that make for an effective system for leader development. Rather, it is the underlying principles of attentiveness, connectedness, and relaxation in interaction with others that drive improvements in individual leaders. The practices simply provide frequent opportunities for the practitioner to know whether their mind is in an attentive, connected, and relaxed state by sensing the state of their physical body, and they give the practitioner a way to put their mind back into the desired state, using their physical body.

The practices are effective as a system for leader development only in conjunction with instruction from, and interaction with, an experienced practitioner. The weekly time series self-assessment data from the study participants generally indicates that the majority of the improvement reported in the areas of attention, connection, tension/stress, overall leadership, and sleep quality occurred in the first half of the study period. This suggests that interaction with the experienced practitioner is especially important in the first four to six weeks, during which the foundation for changing the habit mind is established. Once the new practitioner understands and is regularly able to be aware of the feelings in the physical body, which are indicative of the state of their mind, they can continue to apply the practices and they will continue the process of rehabilitating the habit mind with little or no interaction with the experienced practitioner.

The process of replacing counter productive habits of attention, connection, and tension/stress begins with increased awareness of existing habits of mind, as experienced through the physical body, in interaction with the experienced practitioner. Because these habits often operate below the level of consciousness, the individual is likely to be entirely unaware of them. Several of the five participants in the study were fully unaware (initially) of their own habits of mind in these three areas and were quite surprised, as their awareness increased, to discover how distractible and tense they tended to be.

This increasing awareness became evident in the weekly sessions where each participant was given opportunities to experience the state of their mind through physical interactions such as the stability test in the standing position (described earlier). All five participants were initially unable to stand with stability while being tested with a light push,

or to walk forward as the researcher stood in front of them with a hand resting lightly on the center of their upper chest. With minimal instruction in the mechanics of the proper standing posture and basic guidance on where to focus their attention during the test, all five participants were easily able to stand with stability and to walk forward, moving the tester with them. The experienced practitioner must deeply understand and feel the underlying principles of attention, connection, and relaxation so that they can help the new practitioner experience the physical feelings that indicate the state of their mind.

The progressive increase of awareness, which was evident in the one-on-one interactions, was not limited to one hour per week. The participants experienced this awareness throughout the week in their regular interactions with colleagues and others. Each week, participants were asked an open-ended question to expand on their self-assessments of overall leadership. Participant A's weekly responses, which are similar to those of other participants, are shown in table 5.1, and, when read in chronological order, illustrate the application, interpretation, and progression of increased awareness in the areas of attention, connection, and tension/stress.

Table 5.1

*Influence Factors of Overall Leadership Self-assessment, Participant A*

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What factors influenced the rating you gave yourself on leadership this week?	
<hr/>	
Week 1	Through the exercises, I realized just how much my mind wanders and how unfocused I truly am.
Week 2	I feel an increased ability to relax and focus. Ability to relax and communicate with staff and let go and allow managers to do the work.

- Week 3    Feel more in control of my ability to relax and reduce stress. Ability to not “fight” with employees.
  - Week 4    Ability to remain calm when dealing with difficult situations.
  - Week 5    I noticed I am more aware of when I am not focused.
  - Week 6    A positive meeting with an employee that could have been very negative—employee performance status meeting.
  - Week 7    Situation with an employee where I lost focus and saw negative impact. I used this example to understand how I felt and find ways to regain focus.
  - Week 8    Improved sense of communication and relaxation with employees and their issues.
  - Week 9    Improvement in ability to relax and to recognize signs of tension and stress.
  - Week 10    Attack from employee regarding my management of operations. I was able to stay calm.
  - Week 11    My ability to stay focused on where I want to take the office.
  - Week 12    Continued improvement with management staff. We still have a ways to go but it is improving.
- 

### **Role of the Researcher/Experienced Practitioner**

The improvements and changes experienced by the participants are not an automatic result of applying the daily practices alone. The increased awareness that makes these changes possible is a result of the combination of the practices and the time I spent with the participants each week. In the weekly interactions, I created opportunities for each participant to experience the physical feeling of a focused state of mind versus a distractible state, having a mindset of connection versus one of separation, and a relaxed mind versus a tense mind—all while in interaction with another person. Awareness of these opposing

physical feelings, which are the outward representations of the state of the mind, allowed the participants to learn exactly what it feels like in their body when their mind is focused, connected to others, and relaxed.

With these felt senses sufficiently developed, and in concert with increased awareness of the current state of their mind, the participants were able to monitor their physical states on their own throughout the week, and when they detected physical tension or physical signs of distraction (e.g., realizing they had been driving for 10 minutes and had no recollection of the time that had passed), they were able to physically reset themselves using the practices. This physical awareness and resetting into the proper standing, sitting, or walking posture allowed the participants to return their minds to a natural state of focused, connected, calmness. In doing so, the participants, when making decisions and taking action in their capacity as leaders, had available to them many more options than in the past, and were able to have more productive leadership interactions.

### **Contributions of this Research**

In 12 weeks, the participants in this study improved their leadership abilities. They applied the daily practices for leader development and effectively replaced deeply engrained habits of mind with new, more productive habits that serve them better and make them better leaders. Their changes are profound in that they are not only experienced internally (as evidenced through their own words and changes in their weekly self-assessments), but the people around them observed different, more positive behaviors as well.

At a theoretical level, this study does for the leader development field what the concept of neuroplasticity has done for neuroscience—it demonstrates that the fundamental

nature of an individual leader can change, just as the anatomy and physiology of the brain can change, through lived experiences and habit. Beyond the theoretical, this study provides, through the daily practices for leader development, a framework that can be used to conduct applied research in a variety of areas. While useful for leader development, the daily practices are not limited to those applications. The abilities of attention, connection, and tension/stress reduction are broadly applicable and it seems likely that improvements in any of these areas could be beneficial for many people in many different contexts beyond the organizational leader context.

Finally, this study contributes to the growing body of research on ki. As discussed in chapter 2, ki has been researched as a phenomenon of the body, the psyche, and the spirit. In this study, ki principles based on and modified from, Tohei's (1978) *Shinshin Toitsu Do* practice were taught to study participants. The participants were able to apply ki principles and experienced meaningful improvements in their ability as leaders. These findings suggest that ki can be used as a powerful approach to developing leaders.

Ki is not mystical, nor is it accessible only to a limited few. It is a natural, universal energy that is available to anyone at anytime and in infinite supply. Accessing ki energy does not require any special actions, because it is naturally occurring. However, there are individual barriers to accessing ki. These barriers include the mind being in the past or the future (attention), dualistic thinking that creates artificial separation internally and externally (connection), and tension and stress in the mind and body. These are three common tendencies of the habit mind that can prevent a person from experiencing ki.

Through the daily practices, the participants rehabilitated their habit minds (to varying degrees). In doing so, they returned themselves to a more natural state where their mind is calm and attentive to the present, their physical bodies are relaxed, they are no longer fighting gravity by engaging extra musculature as they move themselves around, and they are more aware of the natural connectedness of all people and things. The daily practices work by allowing practitioners to feel, physically, what is going on in their minds, and to then change the state of their mind by changing the physical state of their body. Ultimately, the daily practices provide a mechanism for almost any person to experience *ki*.

### **Practical Implications for Leader Development**

The theory-practice gap discussed in the early chapters was one of the primary drivers for this study. This gap is evident in the plethora of theoretical leadership literature on what a leader should be and do, and the scant leader development literature on how an individual can cultivate important skills and abilities that increase their leader capability. As participant E said in our final weekly session, “Over my 40-plus-year career, I’ve tried every kind of leader training there is, and read countless books on leadership. This is the first time I’ve actually been given something that makes a real difference” (Participant E, personal communication, September 23, 2009).

From a practical perspective, this study demonstrates that the daily practices can be used as a system for the cultivation of three specific abilities that improve individual leader capability. The daily practices, when taught by an experienced practitioner with understanding of both the mechanics of the techniques and the underlying principles, can



result in meaningful improvements in the areas of attention, connection to others, and relaxation, which, in turn, results in improved ability to lead.

In addition to being effective as a system of practice for leader development, the daily practices can be conveyed to practitioners who can then instruct others, through a train-the-trainer like program. Having developed their skill and understanding of the techniques and the underlying principles through diligent application of the practices over the 12 weeks, three of the five participants could be prepared to train others in the daily practices in a relatively short time.

### **Implications for Future Research**

The daily practices for leader development have been shown to be effective in cultivating leader ability. The practices are broadly applicable and readily accessible as a training tool. They can be used as a training and intervention framework to conduct follow-up research in a number of areas beyond organizational leadership contexts, in applications where improvements in individual capability in the areas of attention, connection, and tension/stress reduction are desired or potentially impactful.

The practices had a variety of psychological, physical, emotional, and social benefits for study participants. These benefits are applicable well beyond the role of organizational leader. One participant reported a significant decrease in his perfectionist tendencies, and another reported feeling less anxiety and concern about things that may occur in the future, suggesting the practices may be helpful in addressing certain psychological pathologies. One participant reported an increased perception of audible stimuli, which was attributed to the

practices. Several participants experienced decreases in physical fatigue and chronic neck and back pain that had been part of their daily lives for many years.

Based on reported experiences of the study participants, future research on (a) the efficacy of the daily practices in reducing physical (perhaps chronic) pain, (b) usefulness of the practices as a therapeutic adjunct to addressing psychological conditions, and (c) application of the practices to increase academic, athletic, and artistic performance could expand understanding of both the utility and the mechanism of the daily practices.

**APPENDIX**

## Appendix A: Participant Weekly Time Series Questionnaire and Weekly Reflection Form

### Daily Practices Weekly Report

Over the past week, on a scale of 0 to 10, with 0 being the lowest rating and 10 being the highest rating how would you... <i>(Please circle one answer for each question below.)</i>												
1. Assess your ability to stay focused?	0	1	2	3	4	5	6	7	8	9	10	
2. Rate your ability to connect with other people?	0	1	2	3	4	5	6	7	8	9	10	
3. Rate your overall stress level?	0	1	2	3	4	5	6	7	8	9	10	
4. Assess your ability to reduce your stress level?	0	1	2	3	4	5	6	7	8	9	10	
5. Rate yourself as a leader overall?	0	1	2	3	4	5	6	7	8	9	10	
6. Rate your overall productivity at work?	0	1	2	3	4	5	6	7	8	9	10	
7. Rate the quality of your sleep?	0	1	2	3	4	5	6	7	8	9	10	
8. What, if any, events/actions influenced the way you rated yourself this week on your ability to focus, connect with people and manage your stress level?												
9. What factors influenced the rating you gave yourself on leadership this week?												
10. Over the past week, about how frequently did you apply the Daily Practices? <i>(Please circle one answer for each question below.)</i>												
	Not at All	Every Few Days	Every Other Day	Every Day	Several Times a Day							
Sitting	1	2	3	4	5							
Standing	1	2	3	4	5							
Walking	1	2	3	4	5							
Sitting to Standing	1	2	3	4	5							
Drinking	1	2	3	4	5							
Merging with Traffic	1	2	3	4	5							
Following another Car	1	2	3	4	5							

Participant \_\_\_\_\_

Week \_\_\_\_\_

Date \_\_\_\_\_

### Daily Practices Study – Weekly Reflection

Please circle one response in each row.

Statement	Not at All	To a little extent	To some extent	To a great extent	To a very great extent
1. I am sensitive to signs of overwork in others.	1	2	3	4	5
2. I can effectively lead an operation from its inception through completion.	1	2	3	4	5
3. I neglect necessary work to concentrate on high-profile work.	1	2	3	4	5
4. I make a splash and move on without really completing a job.	1	2	3	4	5
5. I am overwhelmed by complex tasks.	1	2	3	4	5

6. I am interested in the needs, hopes, and dreams of other people.	1	2	3	4	5
7. I put people at ease.	1	2	3	4	5
8. I am willing to help an employee with personal problems.	1	2	3	4	5
9. I try to understand what other people think before making judgments about them.	1	2	3	4	5
10. I can settle problems with external groups without alienating them.	1	2	3	4	5
11. I involve others in the beginning stages of an initiative.	1	2	3	4	5
12. I listen to employees both when things are going well and when they are not.	1	2	3	4	5

13. I deal effectively with resistant employees.	1	2	3	4	5
14. I can handle an unfair attack from peers with poise.	1	2	3	4	5
15. I respond effectively to constructive criticism from others.	1	2	3	4	5
16. I remain calm when crises arise.	1	2	3	4	5
17. I tend to resist input from other departments.	1	2	3	4	5
18. I am dictatorial in my approach.	1	2	3	4	5
19. I make direct reports or peers feel stupid or unintelligent.	1	2	3	4	5
20. I am emotionally volatile and unpredictable.	1	2	3	4	5
21. I adopt a bullying style under stress.	1	2	3	4	5
22. I do not handle pressure well.	1	2	3	4	5
23. I order people around rather than working to get them on board.	1	2	3	4	5

Participant \_\_\_\_\_

Week \_\_\_\_\_

Date \_\_\_\_\_

## **Appendix B: Daily Practices for Leader Development Practitioners Guide**

### **Objectives**

The Daily Practices for Leader Development are intended to cultivate three very specific abilities at the individual level. These include the abilities to:

1. Purposefully direct, and sustain the focus of, attention.
2. Minimize/reduce tension and stress.
3. Establish and maintain genuine connections to others.

The cultivation of these abilities will result in improved leader capability.

### **About the Practices**

The Daily Practices for Leader Development (The Practices) are based on the principle of repetitive practice. Just as elite athletes train for peak performance through repetition, exemplary leaders must practice the behaviors that result in desired leadership relationships and outcomes. The Practices are based on the understanding that non-optimal behaviors become habituated- they become the default way of interacting and being with others. The Practices do not focus on *eliminating* habits, but on replacing existing habits of interacting and being in relationship to others, with new, more productive habits, that support optimal leadership relationships.

The Practices are designed for the real world. They have been developed to be:

1. Easily integrated into the existing activities that regular people do each day at home, at work, and in social settings.
2. Results focused- acknowledging that leaders do not lead for leading's sake, but to get things done.
3. Sensitive to time constraints- The Practices are simple (not easy) to do. They require minimal or no additional time commitment beyond what the average person already does in the course of a normal day.

The Practices are done walking down the hall, sitting at a desk or on a train, while driving to work, or while sitting at a coffee shop. A brief description of each practice follows, and each practice is demonstrated on the accompanying DVD for reference. It is not critical to exactly emulate the practices as demonstrated. They can be modified to fit your environment and your routines. The important thing is to make them a regular part of your daily life, in the form you adopt for yourself, and in a way that is not disruptive.

While the Practices are activities you likely already do, the way you will be asked to do them is different than what you are used to, and may feel odd and unfamiliar at first. With practice they will come to feel natural and you will feel relaxed and confident.

## **The Practices**

### **Standing Posture**

Before you read on, stand up if possible. Refer to the DVD for demonstration.

Standing can feel like a lot of effort. We tend to spend a lot of time standing- in lines, on trains, in the office, and in other places in our lives. If standing feels like a constant fight against gravity it can take a lot of energy to do, what could be, a very relaxed thing- to simply stand up.

Stop and survey your own standing right now. Don't change anything about the way you are standing yet. Do you detect any discomfort or tension anywhere in your body? Note where it is and think about if you often feel discomfort in those areas.

For many people the standing posture they have habituated for themselves includes some degree of unnecessary muscle engagement, which leads to unintentional tension. This often shows up in the low back, the neck, the legs, the abdominals, or other places.

Practice standing as described below, engaging only the muscles absolutely necessary.

Step 1- Raise your shoulders as high as possible toward your ears then let them drop naturally down, releasing tension from shoulders, letting the arms hang naturally with the hands open and relaxed.

Step 2- Pull neck and head back so that head is up and neck is aligned with rest of spine- removing forward jutting from head and neck- eyes are looking out to the horizon.

Step 3- Tilt pelvis up and out to the front to bring lower spine into natural straight alignment- the butt should go down and in toward body.

Step 4- Keeping the adjustments in steps 1 through 3 the same, raise yourself up onto your toes and lower back down so that most of your weight is on the balls of the feet, with the heels floating lightly on the floor. This will cause a slight lean forward that may feel very odd at first.

In a natural standing position gravity is working for you instead of against you because all the weight of your head and musculature is channeled directly down your aligned spine, through the balls of your feet, and into the ground.

## **Sitting Posture**

Take a seat before you continue reading. Refer to the DVD for demonstration.

Begin by surveying your entire body and identify any areas where you are tense. What muscles are you engaging to hold yourself up in a seated position? Do you feel any fatigue, discomfort, or tension? Where is it? Note what you find.

It is very common for people to become closed and compressed when in a seated position. This is the opposite of the common problems with standing posture. The optimal sitting posture is relaxed with a lengthened spine, without engaging extra muscles and introducing tension to the body.

Orient the spine in the same way as the Standing Posture Practice, with the pelvis rolled down and toward the front of the body (this takes the exaggerated arch out of the lower back). As you roll the pelvis, allow gravity to pull you down into the seat, but keep the upper torso and spine long and straight.

As with standing, the head should be up and back, in line (stacked) with the spine.

Bring the shoulders up to the ears and let them fall naturally down.

If you are resting your arms on armrests or on a desk or other surface (as you might when typing), let the arms fall into the surface. The arms should feel heavy on the underside, but do not use the shoulder, chest, or other muscles to push the arms down. Simply let gravity take them down and let them feel heavy.

Place the feet parallel, shoulder-width apart, and flat on the floor. Let the muscles in the legs go soft and allow the weight of the legs to fall straight down through the feet. Like the arms, the feet should feel heavy on the bottom where they meet the floor. Do not use the muscles in the legs to push the feet into the floor. Simply allow gravity to pull the feet down naturally.

As with the Standing Posture Practice, there should be a slight lean forward so that a straight line dropped from the chin lands between the legs around the upper part of the thigh. Do not achieve this slight forward lean by hinging at the waist. Doing so will put you in a hunched position. Check to be sure that your shoulders are down and back, and not rolling in and forward.

This proper sitting posture should be quite comfortable (albeit new perhaps). It should involve the activation of very few muscles, relying primarily on gravity to keep you in place.

## **Standing Up and Sitting Down**



Refer to the Sitting Posture Practice on the DVD for demonstration.

Because so much of our lives are spent moving it is important to be able to maintain proper posture while in motion. Rather than letting the posture deteriorate when going from a sitting position to a standing position, and then attempting to go back into good posture, it is helpful to practice maintaining proper posture through the entire transition from sitting to standing, and vice versa. Each time you sit down or stand up practice keeping the posture described in the Seated Posture Practice and the Standing Posture Practice.

From a seated position with proper posture as described in the Seated Posture Practice:

Make a decision to stand up. Say to yourself, “I am going to stand up now.”

Emphasize the word “UP” and remember you are truly standing UP. You are not moving out forward.

Move your hands to rest lightly on the legs so that the natural curve of the fingers falls on the curve of the knee.

Imagine there is a rope anchored in the center of the top of your skull and that you are being gently pulled directly up from that anchor point.

Do not push yourself up by pushing down on your leg with your hands. Let the hands continue to gently rest on the legs as you stand using the muscles in your legs.

Do not hinge at the waist or hips when you stand up. This is not moving UP but out. Resist the urge to throw yourself forward as you stand.

Instead of hinging at the waist, take advantage of your slight lean forward by leaning the entire torso and head forward just a little more. At the same time push your heels into the floor and bring the balls of the feet up slightly.

As you stand and your legs straighten shift the weight to the balls of your feet so that you end up standing with the heels lightly touching the floor.

If you have maintained the proper spine alignment throughout this movement you will end up in a natural proper standing posture, with a slight lean forward, and with the arms and hands relaxed at your sides.

## **Walking**

Refer to the DVD for demonstration.

The basic act of walking can be an incredibly graceful and enjoyable one. An ideal walk is economical, activating only the muscles necessary to move the body through space. As a matter of habit, people often walk with a significant amount of extra movement added that is not natural. These extra movements take the natural fluidity of motion away and make walking laborious and not very fun. Practice walking as described below. Be sure to review the Standing Posture Practice before beginning this Walking Practice.

Begin by assuming the proper posture as described in the Standing Practice. Decide where you want to walk.

Walking should start from the hips. Send the hips forward first and allow the rest of the body to follow. You can imagine that there is a rope anchored to you at a spot about 2 inches below the belly button, and that you are being pulled slightly by the rope as you walk.

Look in the general direction you are going but keep an open, broad gaze out toward the horizon so that your head stays level as you walk. You should have a very wide peripheral view.

When you need to turn, turn your entire body and your head together as one unit. It is tempting to turn the head first, but practice keeping the head in the same position relative to the body and turning everything at the same time.

As you walk maintain proper posture and alignment of the spine. Notice the muscles in your face, neck and shoulders and relax them as much as possible.

Allow your arms to swing naturally without trying to control their swaying by engaging muscles.

Your feet should make virtually no sound as they come into contact with the ground. Imagine that you are floating or rolling across the surface as a smooth glass marble would roll across a smooth floor.

As you walk continue to be mindful of the sound of your feet contacting the ground. Continually check for tension in the body and, if you detect it, relax more deeply as you walk.

Think only about the walking. Monitor your thoughts as you walk and as the mind wanders to where you are walking to or where you are walking from, bring the attention back to the feeling and the cadence of walking.

### **Drinking**

Refer to the DVD for demonstration.

Practice directing your complete attention to taking a drink. This practice can be done each time you take a drink of coffee or water.

Begin by being aware that you are about to reach for your cup. In your mind tell yourself, “I am going to take a drink now”. Move your eyes to the cup first, then, watch your hand as it moves to the cup. If the cup is off to the side, turn your entire body so that your head and your torso move together, keeping your hand at or very near the vertical centerline of your body. If the cup is far enough away in front of you that you need to stretch for it, move your entire upper body, starting from the hips, as opposed to reaching from the shoulder or twisting your torso.

As your hand moves to the cup be aware of the feeling of air moving across the back of your hand. Feel which muscles in your neck, shoulder, back, arm, and hand are engaging in the motion of reaching for your cup. Have the feeling of your entire arm and hand floating through space, the way your arm might float on the surface of water in a swimming pool as you turn and move.

When your hand comes in contact with the cup feel the temperature and texture of it. Keep your eyes on the cup as you bring it to you and drink. Even if you are in a conversation with someone, reading, or looking at your computer screen, as you are reaching and drinking keep your eyes on your hand and cup.

As you drink, feel the way the weight of the cup shifts in your hand, and how the temperature changes as the liquid inside is redistributed. Notice the way you are gripping the cup and try to use the fewest muscles and the least amount of force possible throughout the movement.

As you drink sense the feeling of the liquid entering your mouth. Be very conscious of the taste, temperature, and sensation. As you swallow feel the temperature of the drink run down your body. Be very aware of where you can feel the warmth or cold throughout your body.

Now return the cup to its starting place, being attentive to your own movements and all the sensations of moving the cup through space. Follow it with your eyes and set it down, making as little sound as possible as you place it back onto a flat surface. Follow your hand with your eyes as it moves away from the cup. Follow your hand with your eyes as it comes back into the midline of the body. As the hand comes back to the midline, shift your eyes to whatever you were doing before you drank and in your mind tell yourself, “I am finished drinking now.”

### **Driving Practice 1- Merging with Traffic**

Refer to the DVD for demonstration.

Driving in traffic often brings out some of our least productive thoughts, feelings, attitudes, and behaviors. It also provides an exceptional opportunity to practice. Merging with traffic, whether merging into or out of the traffic flow provides a great opportunity to “work” with, and relate to others.

This objective of this practice is to do a “perfect merge”. A perfect merge is one where none of the drivers have to abruptly alter their speed as they merge together. Examples of both correct and incorrect merges are demonstrated on the accompanying DVD.

The perfect merge is fluid and graceful, like watching two expert figure skaters move together. There is no jerking or bumping, no abrupt braking or acceleration- no conflict between the drivers. It is as smooth as two streams coming together at a confluence.

To do the merging practice- each time you encounter a merging situation think to yourself, “We are going to do a perfect merge”. We refers, of course, to you, and the drivers of the other cars that are part of the merge. They may or may not know that they are participants in this perfect merge, so you may have to do a little extra to make it work.

Start by checking your seated posture. In the car, you should be able to sit in a posture that is very similar to the Sitting Posture Practice described above, and demonstrated on the accompanying DVD. Ensure that:

- Your pelvis is rolled slightly down and forward
- Your shoulders are down and back, and relaxed
- Your head is up and back, aligned with your spine
- You are leaning slightly forward, keeping the proper spinal alignment

Survey your body. Is there tension in your legs, back, neck, shoulders? As you discover tension, try to relax one tense muscle at a time.

Pay particular attention to the hands. They should be relaxed and resting on the steering wheel with the fingers in their natural anatomical bend. It is not necessary to tightly grasp the wheel. Rather than tightly grasping the wheel, allow your arms to fall down from the elbows. Gravity will naturally pull your hands into the steering wheel, making your connection to it strong and sure. If you relax the arms completely your hands will feel very heavy on the wheel, but you should still be able to move your relaxed shoulders.

Keep this solid and relaxed posture as you approach the merge area.

As you get closer to the merge be aware of what you are thinking about. Merges happen in just a few seconds so if you are thinking about the meeting you just had, or the place you are going next it will be very difficult to do a perfect merge right now. This is what makes the merging practice so challenging.

Immediately after the merge assess it. Were you able to merge with the other cars without having to either stomp on the accelerator or slam on the brakes? Keep in mind that the quality of the merge is on a continuum from very bad to perfect. Was this the “perfect merge”?

Immediately check your body after the merge. Do a quick survey- legs, back, neck, shoulders, hands. Are you tense? Where is the tension? How is your posture?

Aside from the physical, how did the merge *feel*? What is your opinion of the other drivers? How did they participate in the merge?

When you arrive at your destination take a minute and enter the merging practice opportunities you just had in your Daily Practice Journal.

## **Driving Practice 2- Following Another Car**

Refer to the DVD for demonstration.

Practice keeping the distance between you and the car in front of you constant.

The speed of cars in front of you is always changing. They slow down and speed up. They stop to turn and for stop signs and traffic lights. As you drive, try to establish and maintain a safe and comfortable space between you and the car in front of you.

Rather than continually moving closer then farther away as the car you are following speeds up and slows down, maintain the same space by *matching* their changes, as opposed to *reacting* to their changes. Think about the two cars being connected by a steel pole welded to the front of your car and the rear of their car, so that the space between the two cars cannot change.

Do not attempt to follow the same car. If you are practicing with a car and it leaves the lane you want to be in, do not change lanes. Simply connect to another car in the lane you want to be in, establish the following distance with the new car, and then maintain it.

When you come to a traffic light or stop sign it's ok to let the gap between cars close. Once you are back in motion reestablish the distance you want and go back to trying to keep it constant.

As you practice you may feel compelled to take your foot off of the accelerator, or to speed up. Be aware of these instincts and notice if they precede any changes in the car you are following.

### Appendix C: Benchmarks 360 Items

<u>Item#</u>	<u>Question Text</u>
1	Does his/her homework before making a proposal to top management.
2	Can deal effectively with resistant employees.
3	Gets things done without creating unnecessary adversarial relationships.
4	Acts decisively when faced with a tough decision such as laying off workers, even though it hurts him/her personally.
5	Does not become hostile or moody when things are not going his/her way.
6	Does whatever it takes to get something done despite resistance from important people outside of the organization.
7	Works effectively with higher management (e.g., presents to them, persuades them, and stands up to them if necessary).
8	Links his/her responsibilities with the mission of the whole organization.
9	Has a pleasant disposition.
10	Shows interest in the needs, hopes, and dreams of other people.
11	When working with a group over whom he/she has no control, gets things done by finding common ground.
12	Is a visionary able to excite other people to work hard.
13	Once the more glaring problems in an assignment are solved, can see the underlying problems and patterns that were obscured before.
14	Can handle an unfair attack from peers with poise.
15	Quickly masters new technical knowledge necessary to do the job.
16	Is willing to delegate important tasks, not just things he/she doesn't want to do.
17	Understands higher management values, how higher management operates, and how they see things.
18	Admits personal mistakes, learns from them, and moves on to correct the situation.
19	Provides prompt feedback, both positive and negative.
20	Does not blame others or situations for his/her mistakes.
21	Pushes decision making to the lowest appropriate level and develops employees' confidence in their ability to make those decisions.
22	Relates to all kinds of individuals tactfully, from shop floor to top executives.
23	Acts fairly and does not play favorites.
24	Analyzes a complex situation carefully, then reduces it to its simplest terms in searching for a solution.
25	Is prepared to seize opportunities when they arise.
26	Coaches employees in how to meet expectations.
27	Would respond to a boss who provided autonomy by working hard to develop his/her skills.
28	When working with peers from other functions or units, gains their cooperation and

	support.
<b>29</b>	Controls his/her own career; does not sit and wait for the organization to plan a course to follow.
<b>30</b>	Does an honest self-assessment.
<b>31</b>	Learns from the mistakes of higher management (i.e., does not repeat them him/herself).
<b>32</b>	Has a warm personality that puts people at ease.
<b>33</b>	Contributes more to solving organizational problems than to complaining about them.
<b>34</b>	Uses his/her knowledge base to broaden the range of problem-solving options for direct reports to take.
<b>35</b>	Is sensitive to signs of overwork in others.
<b>36</b>	Has solid working relationships with higher management.
<b>37</b>	Has a good sense of humor.
<b>38</b>	Quickly masters new vocabulary and operating rules needed to understand how the business works.
<b>39</b>	Is willing to help an employee with personal problems.
<b>40</b>	Is able to present an unpopular decision professionally.
<b>41</b>	Takes charge when trouble comes
<b>42</b>	Tries to understand what other people think before making judgments about them.
<b>43</b>	Does not hesitate when making decisions.
<b>44</b>	Acts as if there is more to life than just having a career.
<b>45</b>	Has personal warmth.
<b>46</b>	Masters new work unit knowledge necessary to understand how the business works.
<b>47</b>	Surrounds him/herself with the best people.
<b>48</b>	Can deal effectively with staff members who are older or more experienced than he/she.
<b>49</b>	Enjoys working hard at his/her job.
<b>50</b>	Finds and attracts highly talented and productive people.
<b>51</b>	Develops employees by providing challenge and opportunity.
<b>52</b>	Has activities and interests outside of career.
<b>53</b>	Seeks corrective feedback to improve him/herself.
<b>54</b>	Quickly gains trust and respect from his/her customers.
<b>55</b>	Sets a challenging climate to encourage individual growth.
<b>56</b>	Does not let job demands cause family problems.
<b>57</b>	Moves quickly in confronting a problem employee.
<b>58</b>	Learns a new skill quickly.
<b>59</b>	Sorts out his/her strengths and weaknesses fairly accurately (i.e., knows him/herself).
<b>60</b>	In implementing a change, explains, answers questions, and patiently listens to concerns.
<b>61</b>	Is able to fire or deal firmly with loyal but incompetent people without procrastinating.



62	Is creative or innovative.
63	Is widely counted on by peers.
64	Correctly identifies potential performance problems early.
65	Does not take career so seriously that his/her personal life suffers.
66	Rewards hard work and dedication to excellence.
67	Can settle problems with external groups without alienating them.
68	Interacts comfortably with executives in non-task contexts.
69	Is open to the input of others.
70	Uses effective listening skills to gain clarification from others.
71	Leads change by example.
72	Understands and respects cultural, religious, gender, and racial differences.
73	Actively seeks others to provide coaching.
74	Encourages direct reports to share.
75	Is calm and patient when other people have to miss work due to sick days.
76	Accepts change as positive.
77	Can effectively lead an operation from its inception through completion.
78	Adapts plans as necessary.
79	Involves others in the beginning stages of an initiative.
80	Does not overthink a decision.
81	Gains commitment of others before implementing changes.
82	Takes into account other peoples' concerns during change.
83	Understands the value of a good mentoring relationship.
84	Treats people of all backgrounds fairly.
85	Interacts with staff in a way that results in the staff feeling motivated.
86	Listens to individuals at all levels of the organization.
87	Keeps individuals informed of future changes that may impact them.
88	Effectively involves key people in the design and implementation of change.
89	Listens to employees both when things are going well and when they are not.
90	Does not become paralyzed or overwhelmed when facing action.
91	Appropriately documents employee performance problems.
92	Effectively builds and maintains feedback channels.
93	Adjusts management styles to changing situations.
94	Is action-oriented.
95	Effectively manages others resistance to organizational change.
96	Allows new people in a job sufficient time to learn.
97	Uses networking to manage own career.
98	Involves others before developing plan of action.
99	Actively seeks opportunities to develop professional relationships with others.
100	Uses mentoring relationships effectively.
101	Values working with a diverse group of people.
102	Helps people learn from their mistakes.
103	Recognizes that every decision has conflicting interests and constituencies.
104	Responds effectively to constructive criticism from others.

105	Makes personal decisions which are fair and unbiased.
106	Is comfortable managing people from different racial or cultural backgrounds.
107	Responds to feedback from subordinates.
108	Actively promotes his/her direct reports to senior management.
109	Actively cultivates a good relationship with superior.
110	Conveys compassion toward them when other people disclose a personal loss.
111	Adapts to the changing external pressures facing the organization.
112	Remains calm when crises arise.
113	Acknowledges and values different backgrounds and perspectives.
114	Is straightforward with individuals about consequences of an expected action or decision.
115	Uses good timing and common sense in negotiation; makes his/her points when the time is ripe and does it diplomatically.
<b><u>SECTION 2</u></b>	
2_1	Would not be able to manage in a different department.
2_2	Neglects necessary work to concentrate on high-profile work.
2_3	A promotion would cause him or her to go beyond their current level of competence.
2_4	Makes a splash and moves on without really completing a job.
2_5	Is not ready for more responsibility.
2_6	Resists learning from his/her mistakes.
2_7	Cannot adapt to a new boss with a more participative management style.
2_8	Has not adapted to the culture of the organization.
2_9	Is arrogant (e.g., devalues the contribution of others).
2_10	Doesn't understand how other departments function in the organization.
2_11	Is not adaptable to many different types of people.
2_12	Tends to resist input from other departments.
2_13	Could not handle management outside of current function.
2_14	Is unprofessional about his/her disagreement with upper management.
2_15	Is dictatorial in his/her approach.
2_16	Has an unresolved interpersonal conflict with boss.
2_17	Makes direct reports or peers feel stupid or unintelligent.
2_18	Does not use feedback to make necessary changes in his/her behaviors.
2_19	Is reluctant to share decision making with others.
2_20	Does not resolve conflict among direct reports.
2_21	Has left a trail of bruised people.
2_22	Is overwhelmed by complex tasks.
2_23	Hires people with good technical skills but poor ability to work with others.
2_24	Is emotionally volatile and unpredictable.
2_25	Does not motivate team members to do the best for the team.
2_26	Has not adapted to the management culture.
2_27	Adopts a bullying style under stress.
2_28	Chooses an overly narrow employee group.
2_29	Does not handle pressure well.
2_30	May have exceeded his or her current level of competence.
2_31	Selects people for a team who don't work well together.

2_32	Even when asking for input, has already made up his/her mind.
2_33	Over-estimates his/her own ability.
2_34	Is not good at building a team.
2_35	Has difficulty meeting the expectations of his/her current position.
2_36	Is self-promoting without the results to support it.
2_37	Can't make the mental transition from technical manager to general manager.
2_38	Does not help individuals understand how their work fits into the goals of the organization.
2_39	Orders people around rather than working to get them on board.
2_40	Fails to encourage and involve team members.

### Appendix D: Benchmarks 360 Competencies and Skills

Benchmarks 360-degree Assessment Instrument- Competencies and Skills Measured	
Competency	Skill
Meeting Job Challenges	Resourcefulness
	Doing Whatever It Takes
	Being a Quick Study
	Decisiveness
Leading People	Leading Employees
	Confronting Problem Employees
	Participative Management
	Change Management
Respecting Self and Others	Building and Mending Relationships
	Compassion and Sensitivity
	Straightforwardness and Composure
	Balance Between Personal Life and Work
	Self-awareness
	Putting People at Ease
	Differences Matter
	Career Management

## **Appendix E: Informed Consent and Release**

### **Antioch University Ph.D. in Leadership & Change INSTITUTIONAL REVIEW BOARD**

#### **Informed Consent Statement and Agreement to Participate in Research Study**

You have been asked to participate in a research study on leader development conducted by Simon Rakoff, a doctoral candidate in the Organizational Leadership and Change program at Antioch University, Yellow Springs, Ohio.

#### **Description**

The twelve-week study is being conducted to evaluate the effect of a particular approach to individual leader development. The study will include the administration of a 360-degree leader assessment survey, training in practices for leader development, and weekly one-hour practice review sessions with the researcher.

#### **Disclosure and Voluntary Consent**

*Please read the statements below regarding the study and indicate your understanding and acceptance by signing on the following page.*

For this study, I agree to participate in an initial two-hour training session and weekly one-hour discussions with the researcher during the study period (anticipated to be 12 weeks), both of which will be scheduled at my convenience. I understand that I will be asked to keep a practice journal, briefly summarizing/describing my experiences implementing the leader development practices in the course of my normal daily activities. I will receive direct feedback on the results of the 360-degree leader assessment. A certified professional will provide 360-degree assessment feedback at the conclusion of the study. Additionally, I understand that I will have access to the final report of this study.

As part of my participation in this study, I authorize any third-party individual, institution, or organization collecting 360-degree assessment data to share that data with the primary researcher, Simon Rakoff.

I understand that the researcher will take the following steps to protect confidentiality:

1. Use a pseudonym or anonymous code to identify me in any documentation or notes, and in the final report

2. Collect 360-degree assessment responses through a secure web-based system requiring authentication to retrieve/view data

I understand that I will receive leader development training and a 360-degree leader assessment at no cost to me, and that no financial remuneration will be provided to me for participating in this study.

I understand that 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](mailto:ckenny@phd.antioch.edu), 805-565-7535).

I understand that if I have any additional questions regarding my rights as a research participant, I can contact the investigator, Simon Rakoff, or his advisor, Dr. Alan Guskin, (Professor, Antioch University at [aguskin@phd.antioch.edu](mailto:aguskin@phd.antioch.edu) or by phone at 425-931-4400.

If you have any questions about any aspect of this study or your involvement, please contact:

Carolyn Kenny, Ph.D.  
Chair, Institutional Review Board  
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My signature below indicates that I have read and understand the information provided on the study, and that I am participating voluntarily.

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Participant Name (Print)

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Participant Signature

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Date

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