

Generating and Measuring Practical Differences in Leadership Performance at Postconventional Action-Logics:

Developing the Harthill Leadership Development Profile

Elaine Herdman Barker, Harthill Consulting UK & William R. Torbert, Boston College

for A. Coombs, A. Pfaffenberger & P. Marko (Ed.s) 2008. *The Postconventional Personality: Perspectives on Higher Development*. SUNY Academic Press, forthcoming.

In this chapter, we offer a somewhat informal, narrative introduction to our work and the way in which it relates to research based on Loevinger's *Sentence Completion Test* (SCT) (Loevinger, Wessler & Redmore, 1976; Hy & Loevinger, 1996). We write in this way partly in the hope that it will offer a more lively, engaging, and contextualized sense of the work. And in part we do so because the postconventional "Developmental Action Inquiry" (Torbert, 2000a, 2000b) scientific paradigm within which we work (Stage 10 in the common numbering system we are using in this book) invites us to highlight both the distinctions and the interrelations among 1st-, 2nd-, and 3rd-person developmental research and practice, rather than restricting ourselves only to the discussion of 3rd-person 'objective' findings and methods (Chandler & Torbert, 2003).

Our story will be divided into three sections, first, the historical and ontological basis of our work; second, the evolution from Loevinger's SCT to the *Harthill Leadership Development Profile* (LDP) and the continuing validity testing of the LDP; and third, new understandings of postconventional leadership based on current studies.

The Historical and Ontological Basis of Our Work

The two of us, Elaine and Bill, met only seven years ago, after Elaine had been trained as a scorer for Harthill Consulting Ltd. UK by Susanne Cook-Greuter. Since then, we have repeatedly worked closely together in workshops, served ongoingly as shadow coaches for one another, and shared the lead in ongoing research on the Harthill LDP. Elaine trained early in ballet, then in business consulting, next in developmental theory, method, and practice during the past decade, and is now Harthill's lead LDP scorer, as well as an executive coach and consultant to major organizations. Elaine will now recount Bill's history of developmental research and practice.

Ten years before Elaine and Bill met, Bill had introduced Susanne to David Rooke and Jackie Keeley, the managing partners of Harthill Consulting, who have sponsored much of the research on the LDP (and even more of the client-centered debriefing materials) over the past twenty years.

Bill had met David and Jackie in the late 1980s, introducing them to developmental action inquiry disciplines which they began to introduce into their consulting and executive coaching practice, along with measure that was evolving from the Loevinger SCT to the Harthill LDP. Through intensive three-day workshops, they along with Elaine, Bill, and Susanne, until she continued on her own, developed a cadre of some 200 postconventional coach/consultants authorized to debrief the LDP.

Still earlier, in the late 1970s, when Bill became the Graduate Dean of the Carroll School of Management at Boston College, he and his faculty colleagues were transforming the MBA program from below the top 100 to the top 25 by creating an action-oriented and developmentally transforming curriculum, along with a strong research component to the innovation aimed at discovering whether students' approach to leadership really did transform. He determined that the most psychometrically valid and demanding measure of whether persons' transform their way of interpreting and acting in the world was Loevinger's SCT. With research funding from IBM, he therefore invited all entering and graduating fulltime BC MBA students to take the test for several years in a row, and contracted with Susanne Cook-Greuter, then a Loevinger-trained SCT scorer in the Boston area, to do the scoring. Bill and Susanne continued to work together in a variety of ways for the next 20-some years.

Bill's interest in translating among different developmental action-logics may go as far back as 1947, when Bill was three and his father was serving in the U.S. Foreign Service. As a result, Bill's first foreign language was Spanish, learned in Madrid. His second foreign language German, learned in Vienna and Salzburg, starting at six. His third was French at eight. Later, speaking

to himself in the different languages (of which he retained primarily only a child's vocabulary), he realized that they alerted him to different aspects of situations and of his own internal world of thoughts and feelings, thus leading him to act differently than had he been limited to a single language. Sometimes, he would speak to himself in several languages in rapid succession as a way of differently tasting the same situation; and this practice, not surprisingly, led to qualitatively different action. In these ways, he received powerful early imprints of the ontological/ epistemological lesson that 'what-we-see,' 'seeing,' 'languageing,' 'feeling,' 'embodied-self-sensing-and-enacting,' and 'intentional attending' refer to qualitatively distinguishable yet intimately interwoven territories of experience. Later, the notion that one can speak inquiringly and usefully to oneself (or others) in a variety of different developmental languages as well seemed plausible and natural.

The Ontological Basis of the Developmental Theory

In one of his early books, *Learning from Experience: Toward Consciousness* (1972), Bill critiqued the map-territory or theory-data model of modernist science and instead named four distinctive territories of experience, first, *the outer world* (as seen and otherwise sensed by a person or measured by an instrument [including others' actions seen from the outside – altogether, what modern science calls 'the territory']); second, *the self-sensing of one's own embodiment*, breathing, etc.; third, *one's own ongoing thinking and feeling* (which in dialogue with others in a scientific community of practice generate what modern science calls 'the map'); and fourth, *the intentional attention* (which can be distinguished from the other three territories, can experience all three simultaneously, and can be voluntarily cultivated in adulthood, but rarely is in our culture).

In one of his later books (Torbert, 1991, ch. 13), Bill describes how anyone can confirm for him or herself the reality of each of these four territories through thought and attention experiments, somewhat like Descartes' doubting procedure to establish the indubitable fact that we think. To highlight this difference between his 'theorizing about trans-theoretical experience' and Ken Wilber's (2000) effort to create a 'comprehensive intellectual map of all experience,' Bill sometimes calls Ken's four-quadrant AQAL model the Flat Four (since they are all cognitive categories that tend to keep our attention fixated within the single thinking territory) and the four territories of experience the Deep Four. The words for the Deep Four are obviously also cognitive categories, but, as the "deep" four, these terms invite us, not just to 'think' the categories, but also to experience the pre- and post-conceptual realities to which they refer (e.g. the color and texture of the 'outside world,' the 'inner sensing' of our own breathing and moving, and the kind of 'attending' that can glimpse thinking, sensing, and the external 'other' all at once).

The Practical and Empirical Basis for the Developmental Theory

Early on during his PhD program in Administrative Sciences at Yale, Bill chose as his dissertation project to spend two years (1966-68) studying himself creating, with his colleagues and their students, the Yale Upward Bound War on Poverty Program. In his quasi-autobiographical book about the Upward Bound program (Torbert, 1976), Bill constructed what he then called 'action science,' and what he now calls 'developmental action inquiry,' to describe the process of studying oneself and others, empirically and phenomenologically, while simultaneously taking an active role as a participant. It seemed to him that a truly useful, enlightening, and transforming social science would consist as much of studying oneself in interaction with others (1st-person research/practice), and of team or organization studying itself in the midst of its ongoing projects (2nd-person research/practice, as of studying others at a distance (3rd-person research/practice). So he reviewed many of the tape recordings of staff meetings and school meetings in real time, attempting to increase the efficacy of his actions and of the way the staff and the whole school worked together from week-to-week. After the two years, as he reviewed the tape recordings again, along with multiple other sources of data, he constructed a theory of organizational development to explain the spirals of development that seemed to occur not only during each seven-week summer residential program, but also: 1) within the core staff itself, 2) during planning and staff development periods each spring, and 3) during the program's overall two-year development.

Reviewing prior developmental theorizing at the individual, group, and organizational scales, he eventually wrestled Erikson's (1959) theory of interpersonal development into a 3x3 box, where the vertical columns represent thesis, synthesis, and antithesis, and the horizontal rows represent the three inner territories of experience, our direct, moment-to-moment experience of embodiment and performance, our thinking or strategizing as it occurs, and our trans-cognitive attention. He next removed the Eriksonian names (Birth, Trust, Autonomy, Initiative, Industry, Identity, Intimacy, Generativity, Elder) from the nine boxes and in their place generated organizational names that seemed to fit the empirical events at the school. Figure 1 shows the organizational names, in their 3x3 symmetry.

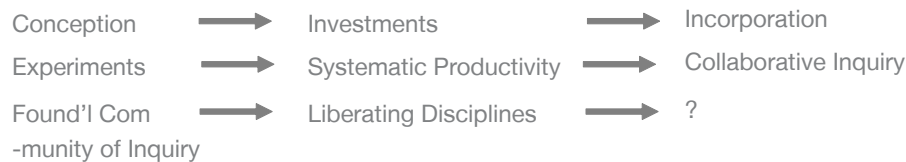


Figure 1. Sequential organizational development action-logics, adapted from Torbert (1976).

Given the analogy found between individual and organizational development, this version of developmental theory had a fractal, scalable, complexity-theory quality to it from the start, making it possible to analyze micro developmental octaves within a single person or a single meeting (Torbert, 1989), or macro developmental octaves across IBM's 100 year history (Torbert, 1987), as well as issues of leadership in organizations as these emerged in real time.

Later (Torbert, 1987, 1991; Fisher & Torbert, 1995), Bill explicitly retrofitted this organizational model to the personal scale of development. He named the developmental positions 'action-logics' rather than 'stages' because 'stage' has a relatively static, structural, mental quality, whereas 'action-logics' has a relatively dynamic, multi-territory connotation which is more evocative of later-action-logic experience and of the multi-territory ontology underlying the theory. Figure 2 shows the names for the personal action-logics in their 3x3 symmetry. (Later [Torbert & Associates 2004], the Individualist or Social Network action-logic (Stage 7) was distinctively described).



Figure 2. Sequential personal development action-logics, adapted from Torbert, 1987).

Analogously, the developmental action-logic names for social scientific paradigms are:

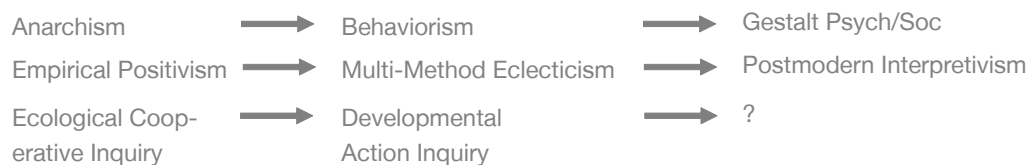


Figure 3. Developmental action-logics applied to social scientific methodologies/ paradigms, adapted from Torbert (2000a/b).

On the personal scale, let's follow, very briefly, how the developing child (corresponding to the first row) first gains relative mastery of the 'outside world' territory through the Opportunist action-logic (Stage 3) (e.g. learning to ride a bike), and then relative mastery of the 'own performance' territory through the Diplomat action-logic (Stage 4) (e.g. learning how to act in conformity with peer group norms). Next, the adolescent may begin the process of relative mastery of the 'cognitive, strategizing' territory with a focus on pre-defined arenas at the Expert action-logic (Stage 5) (e.g. subjects at school, games, or crafts). As one takes on responsibilities in the work world in one's twenties or thirties, one may develop from Expert (Stage 5) into the Achiever action-logic (Stage 6), with more complex cognitive and emotional capacities for coordinating the three territories of thought, action, and outcomes through single-loop feedback and error-correction in action with others.

Some adults later come to recognize that different people and situations operate on the basis of different action-logics or frames, and they develop the capacity to 'deconstruct' assumed frames (Individualist – Stage 7) and may come to co-construct shared frames (Strategist – Stage 8). Strategists (Stage 8) gain the capacity to coordinate thought, action, and outcome through both single- and double-loop (transforming) learning. Finally, a very few adults develop into the bottom row action-logics (Alchemist [Stage 9], Ironist [Stage 10], or Elder), with a taste for an ongoing, increasingly moment-to-moment engagement with the 'attending/intending' territory that grants them awareness of the particular action-logics they are expressing at any given time. According to this version of developmental theory, Alchemists and their Ironist and Elder mentors seek simultaneous awareness of all four territories and their relative congruity or incongruity with one another at any given time, and of the non-dual background – the undifferentiated aesthetic continuum – from which the differentiable territories emerge. They seek triple-loop change in the present (e.g. "Am I (are we) saying what I (we) mean, doing what I (we) say, and accomplishing what I (we) intend?").

Note the irony that development moves, not toward comfort, certainty and flawless performance, but rather toward deeper inquiry and more vulnerable suffering of one's own, or one's team's, incongruities. While this brief review of Bill's career does not pause to emphasize stumbles and incongruities, they are richly illustrated in his semi-autobiographical books (Torbert, 1976, 1991) and summed up in the metaphor: "Confusion and the will-I-am to listen through such confusions are the two legs of my gait of power. I call their stumbling gait 'living inquiry' (Torbert, 1991, p279)."

The evolution from Loevinger's SCT to the Harthill LDP and the continuing validity testing of the LDP

Because Bill was trained in action research and because at Boston College he and his colleagues were trying to create an MBA program that could have a developmentally transforming effect on all its participants – first and foremost those of its students inspired by the opportunity to learn to act in fundamentally more effective ways – he wanted, from the outset of his use of Loevinger's SCT, to transform it in a variety of ways that would increase its face validity and its pragmatic utility as a diagnostic tool and as a developmental support for adults taking leadership responsibility, and that would robustly test its external validity in terms of predicting real-world actions and outcomes.

New stems, new scoring criteria, and new names for increasing face validity and construct validity

First, as the Loevinger SCT had no work-related stems, he wished to increase the measure's face validity for adults in general and manager/leaders in particular, without diminishing its internal validity. He was fortunate to discover a recent doctoral thesis that had developed and initially validated several work-related items, such as "A good boss..." (Molloy, 1978, as later improved by Cook-Greuter, 1999). In recent years, the Harthill LDP has included additional new stems about teams and time and power to replace older gendered stems (e.g. "Men are lucky..." "Women are lucky...") that generate responses with the lowest correlations to overall protocol ratings. The validity testing and reliability testing among scorers is ongoing (until recently, Cook-Greuter and Herdman Barker typically scored alone, with regular reliability checks; now Harthill has several trained scorers, with every protocol that is initially scored postconventional being reviewed by Herdman Barker). At this point, the most recently added six stems have proven to correlate with overall protocol ratings better than the dropped stems, and slightly better than the average of the remaining old stems. In toto, the Harthill LDP now includes 27 Loevinger stems and 9 different stems that increase the emphasis on work and time-management and reduce the emphasis on gender.

The second major difference between the Harthill LDP and the Loevinger SCT is that the LDP has now twice refocused the definitions and scoring manuals for the later action-logics, aligning them more closely with the Alchemist and Ironist constructs (Stages 9 & 10) found in Cook-Greuter's (1999) and Torbert's (1987, 2004) work. The first refocusing came through Cook-Greuter's dissertation (1999), wherein she based new definitions of and scoring manuals for the latest, 'third-row' action-logics on *analyses of the actual responses to the SCT by persons scored at those action-logics*. Contrary to Pfaffenberger's critique in Chapter 2, this seems a highly plausible, empirically- and phenomenologically-based improvement. Loevinger (Hy & Loevinger, 1996) conceived of her highest stage (9) in a bare bones way as an integrated self-actualizing identity, but suggested, most peculiarly, that "because this stage is rare in most samples and there are major differences among qualified raters both as to the description of this level and application of the description in specific cases, under most circumstances it is best combined with the Autonomous stage (Stage 8) (p7)." She did not imagine, or theorize, or research the possibility that integrity may be the fruit of developing a post-cognitive, observing, listening attention that registers ongoing transformation across all four territories of experience and all action-logics. Thus, for example, she offers neither theory nor method for scoring the "I am..." sentence stem when it is completed as follows: "I am – *finally, in the long run, mostly unfathomable, but I enjoy the process of trying to fathom*" (Cook-Greuter, 1999, p. 31). Cook-Greuter comments that this statement can reasonably be interpreted as meaning that the person "is abdicating the search for identity in favor of being a witness to the ongoing process of self-becoming." The fact that fewer sentence stems get scored Alchemist using the Cook-Greuter procedure (see Pfaffenberger, Ch. 2) seems to us one confirmation of its greater validity.

At the same time, our theoretical and experiential sense of the Alchemist (Stage 9) action-logic has led to a further revision of the Harthill LDP Alchemist scoring manual, including additional new criteria. One of these criteria is whether the sentence completion "treats attention/conscience/consciousness as a process distinct from thinking and acting" (for example, "I am... 'I am, therefore I think' – Descartes got it the wrong way round. Our thoughts and emotions are an inevitable aspect of our being – delightful, painful, exciting, infuriating – but can hide our inner depths from us"). Another criterion is whether the sentence completion is a "passionate, artistic self-expression, not hyper-rational" (for example, "I am... a riot of differing roles and impulses held together in a loose alliance by something I call me, I am mostly happy and amazed, by any rational analysis my existence is such a staggering improbability that delighted laughter is the only possible response."

In other words, our scoring criteria for Alchemist are emerging from a theoretical perspective that treats it as critical to distinguish simultaneous experiential contact with the four territories of experience from sheer cognitive complexity and clever, fashionable, postmodern wordsmithing. We are looking for a weave between cognitive and relational strands and for a unique and glimmering oddness that shines through Alchemists we meet. In addition, based on our coaching, consulting, and workshop contacts with people scored at postconventional action-logics (to be described below), we have raised the number of Alchemist stems and the number of categories those stems must fall into for a total protocol to be scored early Alchemist or full Alchemist. All this, we believe, increases the construct validity of the Alchemist designation when it is used to summarize the center of gravity action-logic represented by a person's LDP.

Harthill has recently sponsored a measurement validity study of the LDP, conducted by Reut Livne-Tarandach and yet to be published in detail. The study includes two factor analyses, one of all 36 items in Achiever (Stage 6) and earlier protocols and one of all postconventional protocols (Individualist [Stage 7] and later). This study permits us to see whether there are any differences in the factors produced by conventional and postconventional protocols and whether such differences support the construct validity of the developmental distinctions. The results show, not only significantly different factors in the two sets of protocols, but also a significant difference in the structure of the factors. For the earlier action-logics, stems loaded on eight factors and most stems loaded on a single factor (only two stems load on two factors). For the postconventional action-logics, stems loaded on eleven factors, and 52% of the stems loaded on two factors or more (with seven loading on three factors and three loading on four factors). These results are consistent with theoretical predictions, the earlier action-logics generating a relatively simple mental map with distinct, independent categories, and the later action-logics generating a more complex mental map with systems-oriented, interdependent categories.

A third project in the evolution from the Loevinger SCT to the Harthill LDP was to re-invent the key names and descriptions of the Harthill LDP to become more descriptive and actionable and less evaluative and abstract than those associated with the Loevinger SCT. Not only did these changes seem to us an improvement in accuracy and objectivity, but they also made it feasible to give individual participants and institutions involved in the action research we conducted in real-life situations useful feedback that might generate or support double-loop, developmentally transformational learning (as well as contribute to testing the external validity testing of the LDP, as will be discussed below). Thus, we reconstructed such terms as 'from lower to higher stages' to 'from earlier to later action-logics.' We changed particular 'stage' names from Conformist to Diplomat, from Self-aware to Expert, etc.; likewise, we fully rewrote and continue to amend the 20-plus pages of action-logic related feedback that anyone taking the Harthill LDP today receives as part of the feedback package (along with introducing a 2/300-word commentary written for that particular protocol). All these changes make it feasible and effectual to use the instrument and to offer feedback on people's performance on it in action research situations, thus providing external validity tests of the LDP, to which we now turn.

Measuring the external validity of the LDP

As readers familiar with validity research on the Loevinger SCT know, there is an extensive body of internal validity research about it (Westenberg et al., 1998), but there was very little external validity data available when Bill began his work. Since it was pragmatic, real-world validity with which he was primarily concerned, both in his own first-person efforts to use the theory to make his own leadership more timely, effective, and transformational and in his second-person teaching, coaching, and consulting efforts to help others become more effective, most of his methodological work has been dedicated to generating and measuring the external validity of the LDP measure.

Offering feedback and coaching to people who take the measure has permitted one set of external validity tests. For example, developmental theory suggests that people at earlier action-logics are more likely to avoid feedback, especially of a double-loop nature that questions their current action-logic, whereas people at later action-logics will increasingly seek out such feedback and associated transformational opportunities. When we offered a purely voluntary opportunity for feedback on their measured action-logic to 281 adults who had taken the measure, we found that an increasing proportion of each later action-logic in fact chose to receive it. None of those measured Diplomat [Stage 4] sought feedback, and only a small minority of those measured Expert [Stage 5] did so. A bare majority of those measured Achiever [Stage 6] sought feedback, whereas a large majority of those measured as Individualist [Stage 7] or later) did so. This rank order correlated perfectly with the theoretical prediction and thus confirmed the validity of the LDP in a powerful new, unobtrusive way (Torbert, 1994).

Qualitative external validity testing

A second, more qualitative and ongoing way of testing the external validity of the LDP is to triangulate its finding with a 1st-person estimate of one's own action-logic and a 2nd-person action-logic estimate. In our teaching, coaching, and consulting work, we ask our participants to make a 1st-person estimate their own action-logic, based on reading Action Inquiry (Torbert & Associates, 2004). In addition, we are frequently in the position to do an analysis with participants of difficult, unsatisfactory conversations they have had with one another in work situations (Rudolf, Foldy & Taylor, 2007). From the small group's analysis of the actual frames and actual actions that a person has been using in crafting how he or she speaks in the difficult conversation, it is possible to infer the person's action-logic. Very frequently, the 1st-person, 2nd-person, and 3rd-person methods correlate precisely, or differ by no more than one action-logic (with the 2nd-person conversation analysis usually yielding the most conservative estimate). On the rare occasions when there are significant discrepancies among 1st-person, 2nd-person, and 3rd-person estimates of a person's action-logic, we have found that the 1st-person estimate is usually most at variance and that careful exploration of the discrepancies can become a powerful catalyst, not just for the personal development of the participant in question, but also for the team and organization within which the exploration is taking place (McGuire, Palus & Torbert, 2007).

Moreover, although, as stated above, we have found that persons are more likely to initiate a search for feedback and transformation at later action-logics, we have also found that, when coached by LDP-authorized, postconventional consultants, managers scored as early as the Expert (5) action-logic can move beyond initial resistance to this feedback and to the notion of transforming beyond their current approach. The quality of reflecting, with positive regard, upon the structure and implicit limitations of one's action-logic frequently ignites a realization of the very presence of a structure, thus validating the LDP's finding. In observing one's tendency to be subject to an event, double loop insight erupts; the nature of Expert action-logic (Stage 5) becomes visible and felt to the Expert. Moreover, in workshops and coaching sessions, it is often the individuals profiling at this action logic who express heartfelt moments of realization and, it is about these individuals that we hear tales of change, redirection and hope feeding back from the organization.

For example, Elaine worked with Michel (not his real name) two years ago, when he profiled at the Expert action-logic (Stage 5) and was a Senior Vice President of Operations in the aviation industry. Initially, Michel expressed his resistance, in a workshop, to the LDP. Questioning its validity and reliability, he focused his attention on the technical accuracy of this 3rd-person feedback, effectively distancing *himself* from the inquiry. *"Explain the statistics to me....How do I have more scores in Diplomat but still profile at Expert....I did this in a rush how does that affect the rating?* While such questions are helpful, there was an air of dismissal around Michel. Whereas the rest of the group sat forward, intrigued by the framework, drawing on personal experiences, delving into the guts of the theory and engaging in robust inquiry, Michel, consistent with the Expert action-logic, first opposed and then withdrew.

Later, in a one-on-one conversation, it quickly emerged that he believed that it would not further him to go beyond a set way of working; an approach to management that he had held for many years. Eight years before, following an MBA and under the tutelage of a coach and mentor, Michel split away from old limiting habits by adopting a code, of sorts, that focused on personal mastery. It became, he believed, the mainstay of his success. By the time of the workshop, however, Michel was struggling to excel in an environment that required more than individual excellence. Although he was still improving incrementally (through single-loop feedback), he was standing still developmentally (i.e. in terms of double-loop change that could expand his capacity), and that, until this one-on-one conversation, had escaped his notice. The content of his code was irrelevant; its importance lay in its being a structure; an unquestioned and unquestioning way of relating to the world. In describing his approach and its limitation Michel began to make visible his assumptions – he quickly seized the moment: *"I've not changed my thinking in 8 years... I've not questioned my approach despite new experiences. I've kept to a prototype... it didn't dawn on me to notice 'it.'"* Michel's way of organizing himself and his interrelationships moved on during the workshop; his manner of speaking began to invite feedback and he expressed personal vulnerability and doubt. One participant observed *"most of us expected you to stand miles away from this type of discussion. I felt uncomfortable, at first, when you were so defensive ...I thought, here we go, Michel's going to block this....I could not have predicted your reaction and your support..."* Eighteen months later, Michel was acknowledged as one of the more collaborative and supportive leaders in the organization and a strong performer. To an observer it would be difficult to imagine him otherwise.

Quantitative laboratory and field experiments that test the external validity of the LDP

In addition to these up-close, qualitative external validity tests of the measure, we have conducted laboratory and field tests of the external validity of the LDP. For example, we have found statistically significant differences in managerial performance between conventional and post-conventional action-logics on in-basket tests (Merron, Fisher & Torbert, 1987) and in an interview study (Fisher & Torbert, 1991). Post-conventionals are, one, more likely to reframe presenting problems and constraints; two, more likely to recognize diverse frames or action-logics and to deliberately seek to create shared vision; three, more likely to use a collaborative inquiry process in implementing solutions; and, four, more likely to spot incongruities among their own territories of experience, such as between what they advocate and what they actually do.

What kind of leadership and organizational processes support personal and organizational transformations? The simple theoretical answer is postconventional leadership (starting with Strategist [Stage 8]) and postconventional organizing (starting with Collaborative Inquiry [Stage 8]). Several studies we have done offer empirical support for this answer. For example, one study (Torbert & Fisher, 1992) showed that voluntary participation in groups (formed and guided by an Alchemist action-logic [Stage 9] practitioner) that encouraged 1st-, and 2nd-person action inquiry over a two to four year period (a Collaborative Inquiry [Stage 8] organizing process generated transformation to postconventional action-logics among 22 of the 24 participants. By contrast, only three of 165 persons in a control group (who started the same MBA program at the same time as the participants) showed positive developmental transformation over the same period when retested. Thus, according to Goodman and Kruskal's tau statistic, participation in the self-inquiry group increased participants' likelihood of developing to a later action-logic by 81%.

We have also found statistically significant differences that account for an unusually high proportion of the variance between conventional and postconventional CEOs in their success in leading organizational transformation over four year periods, with the support of consultants (Rooke & Torbert, 1998). Of the ten organizations studied, five were led by CEOs at the Strategist (Stage 8) action-logic and five by conventional action-logic CEOs (two Achievers [Stage 6], two Experts [Stage 5], and one Diplomat [Stage 4]). All five of the postconventional Strategist CEOs generated successful organizational transformation, but only two of the conventional CEOs succeeded. After the initial study was published, we reanalyzed the data, adding the consultants' action-logic scores (three measured as Strategists [Stage 8], one measured at Alchemist [Stage 9]). The consultant measured as Alchemist (Stage 9) had been the lead consultant in the two cases of conventional CEOs who generated successful organizational transformation, suggesting that (as the theory would predict) Alchemists are more effective at working with action-logic discrepancies than Strategists. The re-analysis showed that the combined action-logic scores of CEO and lead consultant in each case accounted for 59% of the variance (according to the Spearman Rank Order test, beyond the .01 level of significance) in whether the organization successfully transformed (Torbert & Associates, 2004).

Why and how would leaders' action-logics be so critical to successful organizational transformation, especially given the paradox that their intent is to generate more empowerment, more initiative, and more distributed leadership throughout the organization? A qualitative re-analysis of the ten organization study suggests that later action-logic CEOs and consultants tend to engage increasingly often in an increasing proportion of 27 types of action research (1st-, 2nd-, and 3rd-person research x 1st-, 2nd-, and 3rd-person practice x past, present, and future) (Chandler & Torbert, 2003). This increase in, and intensification of, interpersonal and organizational Collaborative Inquiry (Stage 8) increases the likelihood of generating organizational transformation. In short, each later postconventional action-logic person or team engages in a more nearly constant inquiry process to determine what action is timely now, thus generating more instances of single-, double-, and triple-loop change in conversations, meetings, procedures, and strategies than conventional action-logic leadership does.

The most recent and most comprehensive review of literature on whether and how different versions of developmental theory and their concomitant measures advance our understanding of leadership (McCauley et al. 2006) calls for more research, such as reported above, that is longitudinal rather than cross-sectional; that explores how to generate developmental change rather than simply looking at differences in style of leaders with different action-logics; that includes organizational action-logics as well as individual action-logics; and that is cumulative.

In general, what one sees in the transformation of the Loevinger SCT into the Harthill LDP, as we use it in our research and practice, is typical of developmental transformations from conventional action-logics to postconventional action-logics. First, the third-person, Expert, Empirical Positivist (Stage 5) scientific base of the original instrument is preserved and enhanced. Second, new, post-conventional action-logics are conceived, defined, and operationalized through Cook-Greuter's, Herdman-Barker's, Rooke's, and Torbert's work. Third, the third-person measure is re-oriented so that it can play a role in a wider field where the effort is to integrate it with practitioners' 1st- & 2nd-person research and practices in the midst of daily work and life. Thus, Loevinger's SCT transforms from a relatively-early-action-logic Empirical Positivist (Stage 5) psychometric measure toward a relatively-late-action-logic Developmental Action Inquiry (Stage 10) psychometric-measure-as-part-of-an-integral-system-of-mutually-responsible-action-and-inquiry.

New understandings of post-conventional leadership based on current research and practice

As we engage more and more deeply with colleagues, clients, and organizations who are volunteering for development beyond the conventional, a more and more differentiated portrait of Individualists (Stage 7), Strategists (Stage 8), Alchemists (Stage 9), and Ironists (Stage 10) is emerging. We will focus primarily on the distinctive features of Strategists (Stage 8) and Alchemists (Stage 9) in the following comments. For example, as we have just documented, Strategists (Stage 8) in roles of power (e.g. CEO) wield that power in a more creative, inquiry-supportive, and transforming way than leaders operating at conventional action-logics. Similarly, we find that Strategists (Stage 8) operating in 'middle' roles and within the shadow of 'top' conventional power may also begin by asking "What is it that we do not currently envisage or experience?"; they also may be less likely than conventional action-logic managers to shy away from the risks of uncertainty and befuddlement; and they may be more likely to sit in-wait for the unexpected. Strategists (Stage 8), in noticing the system of which they are a part, are akin to comedians, more able to touch the nerve of the organizational body, and this is a mixed blessing for their subordinates – usually conventional action-logic line managers – who may develop an allergic reaction to nerve touching. This can, in turn, lead mid-level Strategists (Stage 8) to turn their backs on transformative intervention and quietly yield to the organizational momentum. They do so based on their conventional desires for acknowledgement, safety, community etc.

Even Alchemists (Stage 9) report withdrawing from the fray as they choose their version of survival. Indeed, using the LDP, observation, journals, and interviews with participants in a group relations conference, McCallum (2008, and Chapter in this volume) has recently found that participants at all action-logics experienced “fallback” periods during the stressful and ambiguous event, when they acted from earlier action-logics. The difference among the action-logics was that the later the action-logic the quicker the recovery of one’s center of gravity action-logic, with the Alchemist (Stage 9) in the study often being aware of the regression as it was occurring and being able to recover and learn from it within seconds.

This withdrawal and caution of some Strategists (Stage 8) in the shadow of conventional power raises questions of organizations in how they support and work with individuals in this action logic – that is, if the organization wishes to retain and nurture Strategist-like double-loop inquiry and transforming power. From research interviews conducted by Herdman Barker and Rooke and experience of coaching and consulting to Strategists (Stage 8), the following emerge as simple but helpful organizational interventions. First, as part of a talent management and development process, spot and acknowledge the Strategists’ (Stage 8s’) contributions as different and distinctly valuable, if perhaps at odds with leadership stereotypes in the organization. Second, find someone (be it senior manager, coach, or even PA) to help Strategists (Stage 8) at the mid-levels of large organizations navigate through the system. Third, create high trust meetings that liberate individuals or teams from the need to be unfailingly competent and knowing (presenting the “glossy front page”), so that inefficacies and lack of alignment within and among individuals and groups can be tackled. Fourth, at least acknowledge and face, and at best temper, the double bind that accompanies attempts at transformational change, namely organizational impatience for delivery and outcome at the very same time as a longer-term change is being sought. Fifth, create small, senior- or consultant-supported communities of mutual inquiry for mid-level Individualists (Stage 7) and Strategists (Stage 8) within which they can seek coaching in conceptualizing and enacting challenging dilemmas. Sixth, offer Strategists (Stage 8) roles in which they can satisfy their (sometimes almost intoxicated) desire for development; the development of self, colleagues, organization, and the organization’s overall impact on the environment. And seventh, utilize a Strategist (Stage 8) propensity to be drawn to broad, systemic interventions; brush strokes that have, at their centre, an intergenerational concern.

A final new study (Nicolaidis, 2008) helps us understand the relative context-dependence of Strategists (Stage 8) by comparison to Alchemists (Stage 9), in a way consistent with the Developmental Action Inquiry theory and methods presented throughout this chapter. Nicolaidis conducted in-depth interviews, on their relationship with ambiguity, with nine persons scored at post-conventional action-logics: one Individualist (Stage 7), two Strategists (Stage 8), two Late Strategists/Early Alchemists Stage 8/9), three Alchemists (Stage 9), and one Ironist (Stage 10). She found that, unlike people at conventional action-logics who tend to try to avoid ambiguity, all of her post-conventional sample saw positive, creative potential in ambiguity. But within this broad similarity, she found four distinctive responses to ambiguity: the Individualist (Stage 7) *endured it*; the Strategists (Stage 8) *tolerated it*; the Alchemists (Stage 9) *surrendered to it*; and the Ironist (Stage 10) *generated it* (see chapter – in this book and original study for details). More generally, Nicolaidis found that the Individualist (Stage 7) and the Strategists (Stage 8) worked with ambiguity on particular occasions for particular ends; whereas, in a figure/ground shift, the Alchemists (Stage 9) and the Ironist (Stage 10) experienced ambiguity as the creative, ongoing element of all experience. This finding is consistent with the change from a primarily cognitive/structural approach to experience to a primarily attentional/spiritual approach in the shift from Strategist (Stage 8) to Alchemist (Stage 9) described in the 3x3 model earlier in this chapter.

We conclude this chapter with the hope that we have not only provided new glimpses into the postconventional personality, but have also provided a useful introduction to fellow developmental researchers to the evolution of the Harthill LDP and to the many new ways of ongoingly testing the validity of this measure when one adopts a postconventional set of methodologies such as those in the Developmental Action Inquiry paradigm (Stage 10).

Finally, to study oneself and others in action, as well as generating after-the-action reports like this one, requires long-term commitment and typically involves relatively small numbers of participants. We see our research as just one among the beginning efforts of this kind (Shani, 2007; Reason & Bradbury, 2007), and we believe much more of this kind of research is called for. Thus, we invite our readers to join in this kind of effort to bridge the worlds of scientific inquiry and social action.

References

- Chandler, D. & Torbert, W. (2003). Transforming inquiry and action: By interweaving 27 flavors of action research. *Journal of Action Research*, 1, 133-152.
- Cook-Greuter, S. (1999). *Postautonomous ego development: A study of its nature and measurement*, Unpublished doctoral dissertation, Cambridge MA: Harvard Graduate School of Education.
- Erikson, E. (1959). Identity and the life cycle. *Psychological Issues*, 1.
- Fisher, D. & Torbert, W. (1991). Transforming managerial practice: Beyond the Achiever Stage, (pp143-173). In R. Woodman & W. Pasmore (Eds.). *Research in organization change and development*, vol. 5. Greenwich, CT: JAI Press.
- Fisher, D. & Torbert, W. (1995). *Personal and organizational transformations*. London: McGraw-Hill.
- Hauser, S. (1976). Loevinger's model and measure of ego development: A critical review. *Psychological Bulletin*, 83, 928-955.
- Hy, L. & Loevinger, J. (1996). *Measuring ego development*, 2nd edition. Mahwah NJ: Lawrence Erlbaum.
- Loevinger, J. Wessler & Redmore, C. (1978). *Measuring ego development*, vols 1 & 2. San Francisco: Jossey-Bass.
- McCallum, D. (2008). Exploring the implications of a hidden diversity in group relations conference training: A developmental perspective. Unpublished doctoral dissertation: Columbia Teachers College, New York.
- McCauley, C. Drath, W., Palus, C., O'Connor, P. & Baker, B. (2006). The use of constructive-developmental theory to advance the understanding of leadership. *The Leadership Quarterly*, 17, 634-653.
- McGuire, J., Palus, C. & Torbert, W. (2007). Toward interdependent organizing and researching. In A. Shani et al (Ed.s) *Handbook of Collaborative Management Research* (pp. 123 -142). Thousand Oak CA: Sage, 123-142.
- Merron, K., Fisher, D., & Torbert, W. (1987). Meaning making and management action. *Group and Organizational Studies*, 12, 274-286.
- Molloy, E. (1978). *Toward a new paradigm for the study of the person at work: An empirical extension of Loevinger's theory of ego development*. Unpublished doctoral dissertation: University of Dublin, Ireland.
- Nicolaides, A. (2008). *Learning their way through ambiguity: Explorations of how nine developmentally mature adults make sense of ambiguity*. Unpublished doctoral dissertation: Columbia Teachers College, New York.
- Ouspensky, P. (1949). *In search of the miraculous*. New York: Harcourt, Brace & World.
- Reason, P. & Bradbury, H. (2007). *The SAGE handbook of action research: Participatory inquiry and practice*. London: Sage.
- Rooke, D. & Torbert, W. (1998). Organizational transformation as a function of CEOs' developmental stage. *Organization Development Journal*, 16, 11-28.
- Scharmer, O. (2007). *Theory U: Leading from the future as it emerges*. Cambridge MA: The Society for Organizational Learning.
- Schumacher, E. (1974). *A guide for the perplexed*. London: Jonathan Cape.
- Senge, P., Scharmer, O., Jaworski, J. & Flowers, B. (2004). *Presence: Human purpose and the field of the future*. Cambridge MA: The Society for Organizational Learning.
- Shani, A., Mohrman, S., Pasmore, W., Stymne, B. & Adler, N. (2007). *Handbook of collaborative management research*. Los Angeles: Sage.
- Torbert, W. (1972). *Learning from experience: Toward consciousness*. New York: Columbia University Press.
- Torbert, W. (1976). *Creating a community of inquiry*. London: Wiley Interscience.
- Torbert, W. (1987). *Managing the corporate dream*. Homewood IL: Dow Jones-Irwin.
- Torbert, W. (1989). Leading organizational transformation. In R. Woodman & W. Pasmore (Ed.s), *Research in organizational change and development*, vol 3 (pp.83-116). Greenwich CT: Jai Press.
- Torbert, W. (1991). *The power of balance: Transforming self, society, and scientific inquiry*. Thousand Oaks CA: Sage.
- Torbert, W. (1994). Cultivating post-formal development: higher stages and contrasting interventions. In M. Miller & S. Cook-Greuter (Ed.s), *Transcendence and Mature Thought in Adulthood* (pp 181 – 203). Lanham MD: Rowman & Littlefield.
- Torbert, W. (2000a). A developmental approach to social science: A model for analyzing Charles Alexander's scientific contributions, *Journal of Adult Development*, 7, 255-267.
- Torbert, W. (2000b). Transforming social science: Integrating quantitative, qualitative, and action research. In F. Sherman & W. Torbert (Eds). *Transforming social inquiry, transforming social action* (pp 67-92). Boston MA: Kluwer Academic Publishers.
- Torbert, W. & D. Fisher (1992). Autobiographical awareness as a catalyst for managerial and organizational development. *Management Education and Development*, 23, 184-198.
- Torbert, B. & Associates, (2004). *Action inquiry: The secret of timely and transforming leadership*. San Francisco CA: Berrett-Koehler.
- Westenberg, M., Jonckheer, P., Treffers, P. & Drewes, M. (1998). *Personality development: Theoretical, empirical, and clinical investigations of Loevinger's conception of ego development*. Mahwah NJ: Lawrence Erlbaum.
- Wilber, K. (2000). *A theory of everything*. Boston: Shanbhala.