SPRINGER
REFERENCE

Judi Neal
Editor

Handbook of Personal and Organizational Transformation

Springer

Handbook of Personal and Organizational Transformation

Judi Neal
Editor

Handbook of Personal and Organizational Transformation

With 84 Figures and 34 Tables

Springer

Editor
Judi Neal
Edgewalkers International
Fayetteville, AR, USA

ISBN 978-3-319-66892-5 ISBN 978-3-319-66893-2 (eBook)
ISBN 978-3-319-66894-9 (print and electronic bundle)
https://doi.org/10.1007/978-3-319-66893-2

Library of Congress Control Number: 2018940526

Printed on acid-free paper

This Springer imprint is published by the registered company Springer International Publishing AG part of Springer Nature.
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

Preface

For the past 25 years, I have focused my career on understanding the relationship between spirituality and work, and then organizing and disseminating what I have learned. One of my efforts to disseminate this information was a book I wrote in 2012 called *Creating Enlightened Organizations* (Neal 2012). The purpose of that book was to provide an overview of all the ways that organizations have implemented workplace spirituality. I also edited a volume for Springer (the publisher of this *Handbook*) titled *The Handbook of Faith and Spirituality in the Workplace*, a collection of writings from leading-edge thinkers and practitioners on cutting-edge research and on breakthroughs of organizational practice. I was the founding director of the Tyson Center for Faith and Spirituality in the Workplace at the University of Arkansas, and as part of that role, I created a website that brought together syllabi for workplace spirituality courses, doctoral dissertations, popular press articles, and case studies of exemplary organizations.

During all this time, I have sensed there is something more unfolding in humanity – something that encompasses workplace spirituality but also transcends it. Workplace spirituality is but one facet of a larger transformative shift. I have tried in vain to name what I am sensing. There is a well-known parable about the blind men and the elephant that originated from the ancient Indian subcontinent. The group of blind men encounter an elephant, a creature that none of them had ever come across before. Each blind man feels a different part of the elephant's body, such as the tail or trunk, and then each man describes the elephant based on his partial experience, as if his experience were the truth of the whole elephant. Each blind man is partially right, but no one has a completely accurate description.

This *Handbook of Personal and Organizational Transformation* is my attempt to blindly feel parts of the elephant that I cannot see. I have invited authors from around the world and from many disciplines to explore with me and to describe the parts of the elephant that they sense in the hopes that out of this dialogue with great minds, hearts, and souls, some higher collective wisdom will emerge. I do know that this field of transformation has something to do with the evolution of humanity.

I remember my excitement when I first read Teilhard de Chardin's thoughts on evolution in *The Phenomenon of Man* (1959). He stated that evolution was a given, and that all things were evolving naturally – mankind, the cosmos, consciousness, and God himself.

Blind indeed are those who do not see the sweep of a movement whose orbit infinitely transcends the natural sciences and has successively invaded and conquered the surrounding territory – chemistry, physics, sociology, and even mathematics and the history of religions. One after the other all the fields of human knowledge have been shaken and carried away by the same underwater current in the direction of the study of some development. Is evolution a theory, a system, or a hypothesis? It is much more: it is a general condition to which all theories, all hypotheses, and all systems must bow and which they must satisfy henceforward if they are to be thinkable and true. Evolution is a light illuminating all facts, a curve that all lines must follow (de Chardin 1955, p. 219).

Although it can be difficult to see in today's world, de Chardin is right, and it has become a core tenet of my faith, and of the workplace spirituality movement, that we indeed are evolving together toward a consciousness of unity – what he calls the Omega Point (de Chardin 1959). I have a bias toward looking for what works and toward looking for signs of progress. New thought philosophers and theologians call this the Law of Attraction – "what you pay attention to grows" – and the field of positive psychology has scientifically confirmed that there are more positive outcomes when we build on what is best, highest, and most effective than when we focus on problems and on what is wrong, broken, or not working (Seligman and Csikszentmihalyi 2014). This is actually not new wisdom; the Bible states "whatsoever a man soweth, that shall he also reap" (Galatians 6:7).

This *Handbook of Personal and Organizational Transformation* is centered on how this evolutionary process might work, and on what we can do individually and collectively to support this unfoldment of higher consciousness for the good of humankind.

In order to see positive transformation occur in the world, we must begin by shifting our individual consciousness to a higher level of thinking and being, and then we must also utilize systems or approaches that can scale up to generate a collective shift in consciousness in groups, work teams, villages, governments, and corporations. The structure of this *Handbook* basically follows this progression of analysis from individual transformation to global transformation.

This *Handbook* aims to pull together in one place the best and most creative thinking about the field of transformation, to be an encyclopedia of leading edge theories and approaches for both the academic and the practitioner. These days, the lines between academic and practitioner are becoming more and more blurred. Many management faculty also consult to organizations, deeply enriching their teaching and research. And many successful full-time consultants conduct high quality research to support their approaches and change initiatives. This *Handbook* aims to be a creative dialogue integrating theory and practice. This is an impossible task because new knowledge and thinking emerge faster than we can collect and codify it; nonetheless, I believe that this attempt to bring quality ideas together into one volume is worth doing. This volume is published as a print volume, but also as an electronic volume. The print volume will, by nature, be static. But the electronic volume will constantly be updated and will continue to grow as a living database of new thinking and practice in the field of transformation.

This is not a textbook of mainstream ideas that have been around for a long time, although the pioneering and traditional work is referenced and built upon. Many of those traditional and commonly accepted ideas and approaches simply do not work in any sustainable way in today's complex and unpredictable world. Instead, I invited authors on the cutting edge of new theories and new approaches to give us their latest thinking. Some of these ideas are conjecture about what is possible in human, organizational, and societal development. Some of these approaches are currently being tested in the field and may not yet have scientific results. And some of these theories and models have stunning results but may not have been published in academic journals because the author is a practitioner instead of an academic, or because the concepts are a little too far out of the mainstream.

The objective of this *Handbook* is to expand the reader's perspective and to empower people to be courageous about their involvement in creating transformation at whatever level they feel called to do so. I also want this book to give people hope that things can and are getting better. First, you must believe that transformation is possible (Neal 2018), and the chapters in this *Handbook* provide overwhelming evidence of the power of transformative practices.

There are three unique contributions of this *Handbook of Personal and Organizational Transformation*:

1. Integrating theories and practices from all levels of analysis, from interpersonal to organizational to global.
2. Encompassing theories and practices from multiple disciplines including psychology, sociology, health and well-being, ecology, neuroscience, consciousness studies, and the arts.
3. Featuring authors who are passionate about creating positive change in the world who are willing to take risks and break new ground.

When I invited scholars and practitioners to write a chapter for this *Handbook*, I asked them to consider the following questions in their writing:

1. What is the difference between change and transformation?
2. Why is human change so difficult?
3. Why do we need more effective transformation processes in the world today?
4. How can we make positive transformation more sustainable?
5. Where are the exemplary change leaders and case studies? Why are not these taught more often in Business Schools?
6. What is the inner work of the Change Agent?
7. What is the role of human consciousness and spirituality in transformation?
8. In what ways do the hard sciences provide models and theories that can be used in social systems?
9. What is the contribution of the so-called softer sciences, such as psychology, sociology, theology, economics, and so on?
10. What role does art, music, poetry, improvisation, and other creative expressions play in creating personal and organizational transformation?

11. What is our relationship to unpredictability, and how can we improve our adaptability and resilience?
12. Do we need new ways to define and measure transformation?
13. What is the link between personal and organizational transformation?
14. What is missing in our transformation processes that might make them more effective?

It is my hope that you find these questions richly answered in this volume and that other even deeper and more profound questions will be raised by these cutting-edge thinkers and change agents.

One of the basic principles you will find throughout this book is that there can be no team, organizational, or global transformation without personal transformation. Anything else is just a case of the blind leading the blind, and we see that all too often in systems today. The authors in this *Handbook* repeatedly address the challenges faced by humanity and the need for transformation. Several of them mention the apparently apocryphal quotation from Einstein: "No problem can be solved from the same level of consciousness that created it." A search for the original source of that quotation came up empty handed, but this quotation speaks the same sentiment:

> Problems are best solved not on the level where they appear to occur but on the next level above them . . . Problems are best solved by transcending them and looking at them from a higher viewpoint. At the higher level, the problems automatically resolve themselves because of that shift in point of view, or one might see there was no problem at all. (Hawkins 2009, p. 176)

Organization of This *Handbook*

There are eight sections to this *Handbook*. Each builds on the next, but each can be read independently.

Part I, titled "Overview of the Field of Transformation," consists of chapters providing a background on various transformation theories and practices. This section title is a bit ironic because there is not yet a professional field of transformation, but it is my hope that this book might provide some inspiration and energy for such a field to be created.

Part II, "Personal Transformation in an Organizational Context," examines ways in which personal transformation takes place from several perspectives including psychology, neurobiology, creativity, and spirituality. These chapters also discuss why personal transformation is a prerequisite for more systemic forms of transformation. Contributors to this section include academics, therapists, a medical doctor, and consultants.

Part III, "Leadership Transformation," offers several cutting-edge approaches to leadership transformation, including the concepts of leadership convergence as a form of practical wisdom; leadership applications of Joseph Campbell's "Hero's Journey"; religious and spiritual disciplines including prayer and meditation; and the role of virtue ethics in leadership transformation.

Part IV, “Group Transformation,” focuses on working with groups using non-traditional approaches that lead to higher levels of coherence and performance. These chapters describe the use of music in different contexts as well as the use of energy healing in teams. Interestingly, each of the authors in this section bridge the worlds of academia and practice; their chapters are theoretically supported and also based in grounded consulting experience.

Part V, “Organizational Transformation,” also offers a couple of chapters that provide approaches with the use of music, but this time at the organizational systems level. There are also chapters describing methods that draw upon a variety religious wisdom and spiritual models of consciousness for raising levels of consciousness in organizations. All of the authors in this section have practical applied experience in organizations, and many of the chapters provide brief case studies or organizational examples.

Part VI, “Global Transformation,” tackles the really big questions about how we can act effectively to create a better world for all. Several approaches are explored, including the connection between culture and finance, how to cultivate a global mindset, and the role of entrepreneurship in global transformation. Most importantly, we must believe, as de Chardin proclaimed, that global transformation is part of our natural evolution; one of the chapters provides very concrete visions of our imminent future, inspiring us each to do our part.

Part VII, “Management Education Transformation,” gives us one particularly effective lever for creating transformation at all of these different levels of analysis. Business is the most powerful institution on earth, and business schools have a major impact on the development of its influential leaders. This section provides examples and models of what is on the cutting edge in university settings, where transformation is beginning to happen in the ways business schools are teaching management and leadership.

Part VIII, “Case Studies and Application,” provides concrete examples of transformation at the individual, leadership, group, and organizational level. The accomplishments described in this section are like Roger Bannister’s 4-min mile. Up until the 1950s, it was commonly accepted that it was beyond human capacity to run a mile in under 4 min. But on May 6, 1954, with minimal training, Bannister ran a mile in 3 min 59.4 s. His accomplishment shifted the mindset of what was presumed as impossible, and many more went on to break his record shortly thereafter. These case studies demonstrate that transformation is possible and provide several different roadmaps for how this can be achieved.

As far as I know, there are no university courses specifically on transformation, although some course may address in their content some of the sub-topics of transformation. And, it is not possible to get a degree in transformation. There are many leaders and consultants who are committed to bringing about transformation, but there is no established training or credentialing in the field. This *Handbook* aims to create a larger, more richly informed dialogue about the ways in which transformation unfolds and can be supported for the greater good. Perhaps, this dialogue will lead to a greater professionalization of the field of transformation.

If, as you read the chapters in this book, you find ideas or practices that inspire you, I encourage you to reach out to the author(s) and start a conversation. If you have your own ideas and experience with transformation that are not currently expressed here, consider writing your own chapter. This is an ongoing project and will be a growing database of the latest thinking on transformation, and I invite you to contact me to get involved.

I want to close with a quotation about global transformation from my friend and colleague Lothar Schafer, a chemist who authored *Infinite Potential: What Quantum Physics Reveals About How We Should Live:*

> Physicists such as Bohm, Eddington, Heisenberg and Jeans started this process. All of a sudden, they found themselves in a reality in which the invisible is real and mindfulness must be accepted as a property of the universe. With this, they were drawn into ancient structures of consciousness, but their minds didn't become archaic or magic minds because the ancient concepts appeared quite naturally, without any stress, within the rational structures of physics. The outcome is something absolutely exciting: an integrative view of the world that accepts all the virtues of the past, unifying all aspects of reality: its physical order as well as its mental and spiritual order.
>
> Previous jumps in the evolution of life typically occurred in times of global stress, when life as a whole was challenged and survived through the cooperation and mutual support of its various forms. Thus, when unexpected aspects of the wholeness of the world appear together with signs of stress, as this is happening at the present time, it seems prudent to prepare for another movement of the evolution of life. (Schafer 2013)

It is my prayer that in some small way, the ideas in this book contribute to this movement of the evolution of life.

May 2018 Judi Neal
Fayetteville, Arkansas

References

de Chardin T (1955) The phenomenon of man. Harper Perennial, New York

Hawkins DR (2009) Healing and recovery. Veritas Publishing, Sedona

Neal J (2012) The handbook of faith and spirituality in the workplace. Springer, New York

Neal J (2013) Creating enlightened organizations. Palgrave Macmillan, New York

Neal J (2018) First you must believe: an overview of transformation. In: Neal J (ed) The handbook of personal and organizational transformation. Springer Nature, New York

Schafer L (2013) Infinite potential: what quantum physics reveals about how we should live. Deepak Chopra Books, New York

Seligman MEP, Csikszentmihalyi M (2014) Positive psychology: an introduction. In: Flow and the foundations of positive psychology. Springer, Dordrecht

Contents

Volume 1

About the Editor

Judi Neal is an award-winning author and an internationally recognized scholar, speaker, and consultant. After receiving her Ph.D. in Organizational Behavior from Yale University, she became an internal organizational consultant to Honeywell. She has had a lifelong interest in spirituality, and in 1988, Judi began teaching management at the University of New Haven. She focused her research on business leaders who have a strong commitment to their spirituality, and she began studying how they bridged the spiritual world and the material world of business. That led to her research on people she calls "Edgewalkers."

Judi is the author of five books on workplace spirituality and transformation. She has published widely in academic journals and the popular press. She has spoken at conferences throughout the USA, as well as Canada, Mexico, Europe, and Thailand. Her clients include Fortune 50 companies as well as small entrepreneurial firms and family businesses.

Judi was the Founding Director (retired) of the Tyson Center for Faith and Spirituality in the Workplace at the Sam M. Walton College of Business, University of Arkansas, and she is the CEO of Edgewalkers International. She is on the Board of the "Management, Spirituality and Religion" Interest Group, at the Academy of Management, and is also a board member of the International Association of Management, Spirituality and Religion and the *Journal of Management, Spirituality and Religion*. Along with John Renesch, she founded the International Spirit at Work Awards. Judi has organized numerous conferences on workplace spirituality, including *Spirit at Work* and *Wisdom at Work* conferences.

One of Judi's deepest spiritual practices is songwriting and singing, and she has produced a CD titled *The Journey*.

Contributors

Eric Arseneau Lutgert College of Business, Florida Gulf Coast University, Fort Myers, FL, USA

David K. Banner School of Management, Walden University, Minneapolis, MN, USA

Frank J. Barrett Graduate School of Business and Public Policy, Naval Postgraduate School, Monterey, CA, USA

Didier Burgaud Head of Consulting – Qualintra, Geneva, Switzerland

Bill Van Buskirk La Salle University, Philadelphia, PA, USA

Cynthia Cavalli Cynthia Cavalli Consulting, Santa Ana, CA, USA

Daryl R. Conner Conner Academy, Atlanta, GA, USA

Dorianne Cotter-Lockard Institute for Social Innovation, Fielding Graduate University, Santa Barbara, CA, USA

Lisa DeAngelis Center for Collaborative Leadership, College of Management, University of Massachusetts Boston, Boston, MA, USA

Satinder Dhiman School of Business, Woodbury University, Burbank, CA, USA

Thomas Dienberg Competence Centre of Christian Spirituality, Philosophical-Theological University Münster, Münster, Germany

Gabrielle Donnelly Brave Space, Acadia University, California Institute of Integral Studies, San Francisco, CA, USA

Carolyn Dunow Dunow Enterprise LLC, Maple Grove, MN, USA
Concordia University, St. Paul, MN, USA

Eleftheria Egel International University of Monaco, Monaco, Monaco

Rhonda S. Ellis INTOUCH Coaching, LLC, Fayetteville, AR, USA

Colin M. Fisher University College London, London, UK

Ruediger Fox GCH-Institute (Hamburg/Zell am Moos), Zell am Moos, Austria

Michelle French-Holloway Department of Business Administration, Mount St. Mary's University, Los Angeles, CA, USA

Denise Frizzell Metamorphosis Coaching and Consulting, Durham, NC, USA

Louis W. Fry Department of Management, Texas A&M University Central Rexas, Killeen, TX, USA

Kathryn Goldman Schuyler California School of Professional Psychology, Alliant International University and Coherent Change, San Francisco, CA, USA

Ginger Grant Creativity in Business Canada Inc., Mississauga, ON, Canada

Marcos Cajina Heinzkill Renewal Company, Madrid, Spain

Terry H. Hildebrandt Terry Hildebrandt and Associates, LLC, Denver, CO, USA

Julie Huffaker Fielding Graduate University Fellow, Santa Barbara, CA, USA

K. Jironet Faculty of Humanities, Religious studies, University of Amsterdam, Amsterdam, Netherlands

Sandra K. Kauanui Lutgert College of Business, Florida Gulf Coast University, Fort Myers, FL, USA

Nancy S. Kay Grace Counseling Service and SelfAware 101 Coaching, Fayetteville, AR, USA

Farzad Rafi Khan Business School, King Fahd University of Petroleum and Minerals (KFUPM), Dhahran, Saudi Arabia

Paul Kwiecinski MetaSystem Integrated Strategies/Face The Music, Stone Ridge, NY, USA

Michael B. London Muhlenberg College, Allentown, PA, USA

Richard J. Major Laboratoire d'Innovation Sociale et de la Performance Économique (LISPE), Institut de Gestion Sociale, Groupe IGS, Paris, France

Exemplarity Management Solutions, Mazan, France

Erhard Meyer-Galow Westfälische Wilhelms-Universität, Münster, Germany

Debra R. Miller Values Centered Innovation, Dallas, TX, USA

William C. Miller Values Centered Innovation, Dallas, TX, USA

Alfonso Montuori Department of Transformative Inquiry, California Institute of Integral Studies, Evolutionary Strategies, San Francisco, CA, USA

Judi Neal Edgewalkers International, Fayetteville, AR, USA

Barbara Nussbaum Independent Consultant to the Centre for Student Communities, Stellenbosch University, Stellenbosch, South Africa

Peggy O'Neal Peggy O'Neal Global, Dallas, TX, USA

Alexis Racionero Barcelona University, Barcelona, Spain

Lenette Schuijt Crystal River Consultancy, Amersfoort, Netherlands

Cynthia L. Sherman Martin V. Smith School of Business and Economics, California State University Channel Islands, Camarillo, CA, USA

Corey Stanford Stanford Consulting, LLC, Fayetteville, AR, USA

George Stanford Thriving in Life, Springdale, AR, USA

Miriam Subirana Vilanova Institut Dialogue and Appreciative Inquiry (IDEIA), Barcelona, Spain

Hiroshi Takeda Graduate School of Business Administration, The University of Kitakyushu, Kitakyushu, Fukuoka, Japan

Michelle Olsen Taylor Institute for Clinical Social Work, Chicago, IL, USA

Mel Toomey Center for Leadership Studies, Goshen, CT, USA

Shoaib Ul-Haq Department of Business Administration, Sejong University, Seoul, South Korea

Markus Warode Competence Centre of Christian Spirituality, Philosophical-Theological University Münster, Münster, Germany

J. Lee Whittington Satish and Yasmin Gupta College of Business, University of Dallas, Irving, TX, USA

Orit M. Wolberger California School of Professional Psychology, Alliant International University, San Francisco, CA, USA

Part I

Overview of the Field of Transformation

An Overview of the Field of Transformation

Judi Neal

Contents

Abstract

This chapter begins with four stories of transformation as a way of introducing some key principles drawn from life experience. The field of transformation is interdisciplinary, informed by scholarship and practice in such diverse fields as theology, quantum physics, neurobiology, and management theory. Yet there are some common concepts and themes across disciplines. The body of this chapter is divided into five sections, based on some of these common concepts and themes:

J. Neal (✉)
Edgewalkers International, Fayetteville, AR, USA
e-mail: judi@edgewalkers.org

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_26

(1) transformation, (2) transformational leadership, (3) transformational learning, (4) spirituality, and (5) consciousness. Each section provides definitions, a literature review, and a summary of key points. The discussion of these five topics is based on a review of the chapters in this *Handbook* as well as related literature. Examples of theoretical and practitioner models are provided at the level of individual, group, and organizational transformation. The chapter concludes with a summary of key principles of transformation.

Keywords
Transformation · Consciousness · Spirituality · Personal development · Team development · Organizational development · Personal transformation · Group transformation · Organizational transformation · Global transformation · Consciousness · Mindfulness · Meditation

Introduction

This chapter begins with four stories of transformation as a way of introducing some key principles drawn from life experience. The field of transformation is interdisciplinary, informed by scholarship and practice in such diverse fields as theology, quantum physics, neurobiology, and management theory. Yet there are some common concepts and themes across disciplines. The body of this chapter is divided into five sections, based on some of these common concepts and themes: (1) transformation, (2) transformational leadership, (3) transformational learning, (4) spirituality, and (5) consciousness. Each section provides definitions, a literature review, and a summary of key points. The discussion of these five topics is based on a review of the chapters in this *Handbook* as well as related literature. Examples of theoretical and practitioner models are provided at the level of individual, group, and organizational transformation. The chapter concludes with a summary of key principles of transformation.

There are nearly 50 chapters in the print version of the *Handbook of Personal and Organizational Transformation*, and more chapters are available in the online version, so it is impossible to mention every single chapter in this overview. Instead, this introductory chapter is meant to give you a high-level perspective on transformation theory and practice as well as a sampling of the content of this book. I encourage you to read the chapters that are of the most interest to you.

The Importance of Belief

The very first step in the transformation process is that you must believe that transformation is possible. This is true for all levels of analysis: individual, team, organization, and global. You must be open to the possibility that things can improve in a sustainable way, in a way that will not revert to the old paradigm. Without this belief, transformation is impossible. I call this the Roger Bannister "four-minute mile effect." Bannister was a physician and academic who had a talent for running. Before 1954, it was believed that human beings were not capable of breaking the four-minute mile and that the human body would collapse under pressure. In the 1940s, the record for running a mile had reached 4:01, but it had not budged since. Bannister believed that the four-minute barrier could be broken, and he trained for that. On May 6, 1954, he won a race at 3:59.4. He proved it was possible and within weeks, other runners broke his record. Once they believed that it was possible, they could make it happen.

Crum and Phillips (2015) examined the growing body of psychological research on how beliefs and expectations about common experiences can fundamentally alter the impact of those experiences. They also reviewed the neurological and physiological underpinnings of the placebo effect and combined findings from these two fields to describe a more comprehensive understanding of the phenomena underlying the social-psychological creation of reality. Their studies in several different domains consistently support the power of belief in achieving positive outcomes. As Henry Ford (1947) said, "Whether you think you can or whether you think you can't, you're right." If you believe transformation is possible for yourself, for others, and for organizations, you are right.

Before providing scholarly definitions of key terms in the body of this chapter, let me offer these two metaphors of change and transformation. Change is like water, which can take many forms. It can be heated up to become a vapor, but when it cools it will change back into liquid form. It can be frozen into ice, but when it melts, it will change back into liquid form, not so with transformation. The popular metaphor for transformation – a chrysalis transforming into a butterfly – is apt, in that the butterfly will never go back to being a caterpillar. It has transformed into something that is completely different and is a higher order of complexity. After World War I ended, a song rose to popularity called "How Ya Gonna Keep 'em Down on the Farm (After They've Seen Paree)?" There was a real concern that American soldiers from rural environments would not want to go back to the simple life on the farm after they had experienced the excitement of big cities like Paris. They had been transformed by their experience.

So, when I and the authors in this *Handbook of Personal and Organizational Transformation* talk about transformation, we are talking about this kind of metamorphosis into something healthier, more evolved, more effective, and quantitatively different from what went before.

Four Stories of Transformation

Following are four stories of transformation from my own experience that explain why I believe in transformation. One is at the personal level, one at the group level, and one at the systems level. The final story demonstrates the connection between personal and organizational transformation.

Personal Transformation

As a child, I was painfully shy and very much an introvert. It didn't get any better when I became a young wife and mother. In fact, it became much worse. We moved from the town where I grew up in Hawaii, left family and friends, and moved to Virginia. I developed agoraphobia and would not leave my house unless I absolutely had to. It was painful to be in public and to interact with strangers. When the mailman came each day, I would sit by my living room window and watch until my neighbor had picked up her mail and gone back in. Only then did I feel safe enough to leave the house for a minute to get the mail, knowing that I wouldn't have to interact with her.

One day I heard that a nearby neighbor named Cindy was a guitar player. I love playing the guitar and am passionate about music, and so although it was extremely difficult for me to do, I forced myself to leave my house to visit her. I was so glad I had the courage to go there; our kids enjoyed playing together, and we had a wonderful time sharing our songs. I was so glad I had the courage to go there, and I began to visit on a regular basis, even though it was still uncomfortable for me to leave my house. Cindy mentioned that there was a music store called Ramblin' Conrads that had a weekly open mike – a place where amateurs could go and share their music – and I decided to go with her, because I loved music so much. One thing led to another, and soon I was taking guitar lessons at Ramblin' Conrads and going out of the house every week. I was no longer agoraphobic. When my family moved to Branford, Connecticut, the next year, I could not find a place to play music and be with other musicians, so I decided to start the Branford Folk Music Society. I had never led anything in my life, but I learned step by step with help from friends. The Branford Folk Music Society is still active after more than 40 years, although I am no longer involved.

I had transformed from a person who wouldn't leave my house to a person who started an organization and built a community of like-minded people. Since that time, I have gone on to create other organizations, with the focus on workplace spirituality. I travel internationally and have friends almost everywhere I go. I experienced deep personal transformation by overcoming my fear. My life has been so much the better for it.

I am a strong believer that people can transform because I went through my own chrysalis-to-butterfly story. The key to my transformation was that my desire to be involved in music was so strong and intense that it overcame my deep introversion and my agoraphobia. In a relatively short period of time, the fear of people and open spaces melted away, and my primary focus became the joy of expressing myself through music and being in community with other like-minded people. The desire for something I wanted was stronger than the fear of something I didn't want. I have seen this pattern unfold in my life several times since then, as well as in the lives of many others.

Key Principle: Vision and passion are stronger than fear and provide a driving force for taking risks that can lead to transformation.

Group Transformation

In the 1980s, I worked as a facilitator in an 11-person organizational development (OD) team at a Honeywell computer plant in Phoenix, Arizona. The team was led by Bill Van Horn, the best boss I ever had. Before we would introduce a new management approach to the plant, we always tried it out on ourselves. One of these approaches was a personality assessment called the Myers-Briggs Type Indicator (MBTI). We learned that eight of our members were "Intuitive Feeling (NF)" types and one person was a "Sensing Thinking (ST)" type. Eight of us came from human resource-related backgrounds, and Russ, our lone ST, was from engineering.

We were a rather high functioning team before we took the MBTI. But when we understood why Russ seemed so different and saw what gifts he brought to the team, something important shifted in our way of working with each other. Rather than thinking of him as our geek and the one who would manage details while we were off in our creative imagining, we listened much more closely to what Russ had to say because we realized he brought a perspective that was not natural to the rest of us. In our discussion about the assessment results, we also learned that Russ was tired of being the one who always did the detailed and technical work, so we began looking for ways that we could all share that kind of work. The group cohesiveness became significantly higher, and our performance, creativity, and effectiveness leapt to a whole new level.

The key to this particular group transformation was a higher level of group self-awareness, greater authenticity, and a sense of wanting the best for each other and for the team as a whole. With exercises such as the MBTI, and other team-building approaches, our group cohesion and bonds grew so strong that several of us still stay in touch more than 30 years later.

Key Principle: Self-awareness activities in teams, and a sense of compassion and trust for team members, can lead to deeper understanding of one another and can result in greater group cohesion and higher productivity.

Organizational Transformation

Our Honeywell OD team worked on a systems transformation approach that we called "employee involvement." The Thunderbird plant we worked with built circuit boards for the large frame computers that Honeywell sold at that time. Our team worked with this plant of 200 employees on the individual, team, and systems level. We conducted assessments; put everyone in teams; taught the team members group dynamics, conflict resolution, and problem solving; and had them set goals for productivity, quality, and quality of work life. Each area of production had a team, and there were also supervisor teams, an engineering team, cross-functional teams, and a management team. Every team met for at least an hour per week using Quality Circle methods to work on specific improvements. Each team had a facilitator from our OD group. We also facilitated quarterly events with the entire plant to ensure that all voices were heard and that there was an alignment in goals.

At first the measures of productivity, quality, and quality of work life decreased from the baseline measures; we expected that because of the time it takes to learn a new way of operating. But after about 6 months, things coalesced, and all of the measures began to improve steadily. And, while you couldn't measure it, something felt different in the plant. Employees were more empowered and taking initiative. There was a greater sense of oneness instead of everyone living in silos. And there was a greater sense of energy and pride about the work and about the collective accomplishments.

This plant became a model for other Honeywell plants that were incorporating employee involvement approaches. Then, about 4 or 5 years later, Honeywell Corporate decided to outsource production, and they closed the plant. On the face of it, this would fit the definition of change – a system that reverted to the old way of managing. But our boss, Bill Van Horn, reminded us that none of those 200 employees had been permanently transformed by their experience working in this employee involvement system. It was a kind of diaspora. Wherever these managers, supervisors, engineers, and employees went, they knew the power of involving employees in decision-making and they knew the power of teams. They would not be able to settle for less, and they would have an impact on whatever system they became a part of. The members of our OD team would also never be the same. We keep in touch, and each of us knows that systems transformation is possible, and we each continue in our own way to support transformations that matter.

Key Principle: Systems transformation is much more complicated than personal transformation. It requires a model and a plan (such as the employee involvement model we implemented), lots of resources (our team had 11 change agents), and a visionary and dedicated leader who understands the politics of the situation and knew how to protect the transformation process in its fragile early stages of development.

From Personal to Organizational Transformation

Chet Kendricks was the plant manager of Honeywell's Chandler facility near Phoenix, Arizona, in the 1980s. He was known as an effective manager, but not very approachable. He was all business and very task-oriented. The organizational development team I described above was working with the Chandler plant before I came to Honeywell, and the story of Chet's transformation and the resulting organizational transformation had become something of a legend. The leaders of the Chandler plant all attended a Leadership Effectiveness Training (LET) program at the beginning of the engagement of the OD team with the plant. This program was developed by Thomas Gordon (2001) and is based on authentic communication skill development. During the training, a role-play experience awoke Kendricks to realize that he had one set of behaviors and values for his family and a different set for his employees and the workplace. The dissonance between the two "Chets" became very uncomfortable for him, and he made a choice to be his authentic self wherever he was. That authentic self was "more compassionate, caring, and fun loving, and he began to express that at work. Chet became more trusting of his employees and saw them as members of his extended family" (Neal 2006: 136). As a result of his transformation and his new trusting relationship with his employees, Chet embraced the principles and practices of employee involvement, and a large measurable shift occurred in product quality and quantity, as well as in employee morale and job satisfaction. Even though this plant paid a lower wage than other plants nearby, Chet was overwhelmed with job applications from within and outside of Honeywell after word got around about what a great place this was to work.

Key Principle: A system cannot achieve a higher level of consciousness than that of the top leader (Barrett 1998). Personal transformation in a leader creates the potential for organizational transformation in the system he or she leads.

Three Sources of Transformation

Transformation can happen three ways: (1) a normal evolutionary process such as the caterpillar turning into a butterfly; (2) unintended consequences, such as the shifting in worldview of soldiers who fought in Europe in World War I; and (3) intentional transformation interventions such as the employee involvement process we were involved in at Honeywell. This third, intentional transformation process is the focus of this chapter and this *Handbook*.

Overview of this Chapter

I will present a summary of key concepts that run throughout the *Handbook* chapters and the transformation literature. As mentioned in the introduction, these key concepts are: (1) transformation, (2) transformational leadership, (3) transformative learning, (4) spirituality, and (5) consciousness.

There are many lenses through which you can view the field of transformation including levels of analysis such as individual, group, system, and global; fields of study, for example, stages of human development, organizational development, theology, and sociology; and practitioner models, for example, Bridges Transition Model (1991), Barrett's seven levels of corporate consciousness (1998), and Beck and Cowan's Spiral Dynamics Model (1996). Each of these perspectives is explored in this *Handbook*, and this chapter emphasizes commonalities, connections, and theoretical underpinnings across levels and disciplines.

The first transformation model I was ever exposed to was in a management class, and it looked like this (Fig. 1):

Fig. 1 Basic model of transformation

In the context of the classroom, this model was used to describe manufacturing processes. Inputs equaled raw materials, machines, and labor. Outputs equaled products that could be sold. The transformation process was referred to as the "black box" of all those things that happen to convert materials into products, such as design, quality control, machine operations, specific manufacturing processes, training, and so on. An online search reveals that this basic model of transformation is alive and well in such varied fields as software coding, chemical processes, economics, brain function, and human resources. This *Handbook* is an attempt to peer into the black box of transformation with a focus on efforts to create individual and collective human wellbeing.

Discussion of Key Concepts

You will see many definitions and discussions of key terms in this *Handbook*, terms such as transformation, consciousness, and spirituality, and in this chapter I will summarize what I consider core concepts. We will focus on definitions and discussions of the following terms, because these concepts are central to a large majority of the chapters and because they are interrelated:

- Transformation
- Transformational leadership
- Transformational learning
- Spirituality
- Consciousness

After the discussion of each concept, there will be a summary of key points drawn from *Handbook* chapters, literature review, and my own experience as a change agent.

Transformation

One very practical definition of transformation comes from Kwiecinski's (2018) *Handbook* chapter titled "Whole System Transformation with Music":

> Transformation is the evolution or revolution of an operating paradigm to one that is more encompassing of realities not allowed, considered, accounted for, or contained in the previous frame of reference. It generally occurs when we bump up against the limitations of our current frame of reference. Things are happening that we can't explain, or we see that we are consistently re-creating events and situations that we don't like because of the decisions we make.

This definition points to an expansion of consciousness, a way of seeing the world from a new perspective, one that allows for more possibilities and a more effective way of operating. Similarly, Adams (1984) defines transformation as "profound fundamental changes in thought and action which create an irreversible discontinuity in the experience of a system. Generally the result of the emergence of radically new belief systems (paradigms)."

As you will read over and over again in this book, systems transformation must begin with personal transformation. Schuyler et al. report in their chapter ► "Bringing Mindfulness and Joy to Work: Action Research on Organizational Change" on the results of personal transformation using mindfulness in a university setting. Their description provides a very operationalized example of personal transformation:

> When people's underlying attitudes shift from wanting fixity to accepting that being alive means being immersed in ongoing change—that is a meaningful transformation. What evolves is not complicated or complex. It means that gradually, through paying attention to being present and to one another, people start sensing one another's *basic goodness* and the presence of what is often called the *nature of mind*—an appreciation we may feel for simply being human and connected with other beings and life itself. Note that we did not teach or preach these values. We simply asked people to notice moments in their lives when they were more present.

In this university study, the authors were able to demonstrate how individual transformation through mindfulness practices can lead to a culture of mindfulness.

Jironet (2018), in her chapter "Global Transformation: Visions of an Imminent Future," describes the relationship between personal and organizational transformation and the role that fear, lack of trust, and attachment to control play as obstacles to transformation. She also describes the necessity of overcoming these obstacles for organizational survival:

> Transformation at a personal level is an absolute prerequisite to organisational agility and success. Individual leaders must relinquish fear as their base motivation for behaviour in order to let go of its many manifestations – jealousy at the success of others, doubt about their own competencies and those of their colleagues which leads to excessive desire for control, the notion of being under threat. Know someone who works at an extremely senior level but stills spends evenings and weekends tapping away at their computers on assignments they could much better delegate to a subordinate, but are unwilling to do because 'it's faster if I do it myself'? This kind of mentality – an absence of trust and an attachment to control – is still rife in the culture of many organisations. But it will very soon become not just optional but essential to the survival of these companies – even large, international corporations, law firms, NGOs, banks, you name it – that they embrace consciousness and insist that their employees manifest this through trust, love and a new definition of power.

In their chapter on "Transformative Leadership," Montuori and Donnelly (2018) provide a global and long-term context for their definition of transformation:

> Transformation means change is not just occurring on the surface, but at the level of the basic tenets of an age's worldview, what we might call its "deep structure." Much of the confusion and polarization at the beginning of the 21st century, not just in the U.S. but all over the world, is arguably due to the tectonic rumblings of this shift.

Additionally, according to Freire (1973), the more conscious we become, the more commitment to transformation we assume.

To summarize, here are some key principles of transformation:

1. Transformation is an expansion beyond one's current worldview, frame of reference, or way of thinking.
2. Transformation requires a shift in consciousness that is provoked by some event that cannot be understood or acted upon by the current level of consciousness. It is an experience of "bumping up against our limitations" (Kwiecinski 2018).
3. Transformation is a change that is an "irreversible discontinuity." You can't put the genie back in the bottle.
4. Transformation requires an openness to change and an acceptance that change is a way of life. There are practices such as present moment awareness and mindfulness that help to create a greater openness to change.
5. Mind-sets based on fear, mistrust, and the need for control provide obstacles to personal and organizational transformation.
6. The sciences, such as quantum physics, cellular biology, chemistry, and neurobiology, provide insights into the transformation process.
7. All religious and spiritual traditions have a mystical branch with teachings of practices, theology, and philosophy that support transformation.
8. Transformation is an essential human and organizational process and is necessary for survival.

In the scholarly literature on transformation, and in practice, two of the most commonly used terms are "transformative leadership" and "transformational learning." The term "transformational leadership" is used to describe the qualities, skills, and characteristics of leaders who create transformation. The term "transformational learning" is used to describe the context, approaches, and processes for creating learning environments that are transformative.

Transformational Leadership

James MacGregor Burns founded the field of leadership studies with the publication of his book *Leadership* in 1978. Two of his major contributions were (1) a shift away from studying the traits and actions of great leaders toward the study of the interaction between leaders and their constituencies and (2) delineating two forms of leadership: transactional leadership and transformational leadership. Transactional leadership is the exchange of rewards for compliance. Burns defined transformational leadership as when "leaders and followers make each other advance to a higher level of morality and motivation" (Burns 1978: 19). It was his contention that transformational leaders seek to raise the consciousness of followers by appealing to higher ideals and moral values.

Bernard Bass (1985) built upon Burns' work, describing characteristics and behavior. His transformational theory states that follower performance can be transformed to higher levels of performance through reordering needs by transcending self-interest. The leader brings about these reordered needs through intellectual stimulation, individual consideration, and charisma.

Since those early beginnings of transformational leadership theory, there has been a significant maturing of the field including more sophisticated models of antecedents and outcomes, as well as a growth and sophistication of measurement tools.

Our examination of the relationship of spirituality to the concept of transformation will follow shortly, but first, I want to point out that the largest body of research work on transformation and leadership has been published by Louis (Jody) Fry and his colleagues. The main terminology Fry uses for his body of work is "spiritual leadership," with a focus on the use of his spiritual leadership model as a guide to creating organizational transformation (cf. Fry and Cohen 2009; Malone and Fry 2003). Among their significant contributions is the development and testing of a valid and reliable Organizational Spiritual Leadership Survey, which has been used in numerous organizational settings with profound and important outcome measures. This survey measures three qualities of spiritual leadership: vision, altruistic love, and hope/faith.

Fry and Egel, in their chapter ▶ "Cultivating a Global Mindset Through "Being-Centered" Leadership," point out that to be successful in today's globalized business environment, organizations that will be successful must have the ability to interpret this dynamic environment quickly and to make decisions and take actions based on this understanding of the world community in which it operates. They argue that a commitment to the spiritual journey is essential to developing the five levels of knowing and being (Fry and Kriger 2009) that are necessary for the kind of consciousness that allows for a global mind-set and for being-centered leadership. Here is a brief excerpt delineating the global mind-set at each level of being (with Level I the highest and rarely attained by individuals, much less organizations):

Level V Global Mindset: Leadership focuses on "having" and "doing"; on the traits, competencies and styles leaders possess that determine the way he/she should lead and respond to organizational challenges.

Level VI Global Mindset: At this level, the focus is on socially constructing a common organizational reality through the use of images and imagination to create a compelling vision and establish a strong and distinct organizational culture.

Level III Global Mindset: A Level III, global mindset focuses on "being." This is the level where global mindset transformation through the expansion of consciousness, self-awareness and a commitment to self-transcendence begins to manifest.

Level II Global Mindset: Remembering that the levels of being are holonic and incorporate and transcend the lower levels, leadership at Level II builds upon the leader's commitment to conscious awareness and self-transcendence in Level III to further recognize the dignity and commonality of the human experience and love and serve others. In doing so the leader experiences a deeper sense of purpose and connection with all things in the universe.

Level I Global Mindset: At this level, leadership is based on Oneness and constant reconciliation of apparent opposites (chapter ▶ "Cultivating a Global Mindset Through "Being-Centered" Leadership" by Egel and Fry).

This model of global mind-set is congruent with models of the evolution of consciousness, such as the work of Kegan (1982), Beck and Cowan (1996), Torbert and Associates (2004), Cook-Greuter (2004), and Wigglesworth (2014) discussed. Wilber (2001) provides an integral theory that combines stages of evolution of consciousness with states of consciousness. Wilber's integral theory is generally considered the most comprehensive and integrative approach to understanding the evolution of consciousness.

Montuori and Donnelly (2018) describe the mind-set that distinguishes the newest thinking on transformational leadership from the foundational work of Bass and Burns. They term this "transformative leadership" and describe it as an "everyone, everywhere, everyday" leadership that "actively embraces the psychological and spiritual as well as the social world and the quest for social justice." Three key aspects of the transformative leadership mind-set are: (1) leadership is more than a role – its potential resides in each one of us; (2) it requires a higher level of consciousness than traditional leadership; and (3) small everyday acts and incremental actions can be transformative.

> The basic premise of Transformative Leadership is that everyone can lead, and that particularly in this transformative moment, everybody contributes to, and in fact co-creates, the world we live in, whether conscious of their agency or not. Every choice, every action, every discussion, every interaction is a reflection of how we are leading our own lives. Our every word and every action may be perceived as leadership by others to the extent that it influences them, whether consciously or unconsciously. Transformative Leadership invites everybody to ask what kind of a world they are creating through their thoughts, beliefs, actions and interactions, and to compare that with the kind of world they would like to create, and the kind of person they would like to be. Transformative leadership is, at its heart, a participatory process of creative collaboration and transformation for mutual benefit. It is not confined to heroic individuals making large dramatic actions and gestures. (Montuori and Donnelly 2018)

A different, but compatible approach to understanding transformational leadership comes from the work of Heinzkill in his chapter "Leadership Convergence: The Dawn of Practical Wisdom" (2018). He looks at the three largest neural networks in the human system – the cognitive (head), cardiac (heart), and enteric (gut) – to understand the full potential of transformational leadership. When these three systems are integrated, they set up a virtuous cycle of wisdom, which Heinzkill terms "convergent leadership." He offers several ways to develop the capacities of convergent leadership:

- Adopting internal practices such as coherent breathing and contemplative practices such as mindfulness.
- Encouraging the mastery of high-level competencies such as relations, self-awareness, authenticity, systemic awareness, and achieving.
- Understanding that the creation of internal policies will not suffice to encourage transformation. People need the freedom to explore options. Highlighting the interconnectedness of people can promote a collective coherent environment that

fosters the pursuit of interpersonal growth and competency development in a culture that allows working with a purpose.
- Encouraging high-quality conversations based on dialogue rather than debate. (Heinzkill 2018)

One of the common traits of transformational or transformative leaders is a high degree of integrity and morality (Bass 1985; Neal 2006; chapter ▶ "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey" by Banner and Frizzell). Miller and Miller (2018) found in their research on innovation that successful leaders exemplified certain human values. "…[O]ne of the most vital human values is the unity of thought, word and action. When leaders are guided by human values, where they 'talk the thought' and 'walk the talk,' they exemplify the wholeness and oneness of personal integrity."

Richard Major, for his dissertation work, studied leaders he calls "Exemplars." These are leaders with a strong inner life who are aware of their values and who consciously cultivate a life lived according to virtue ethics. "Exemplarity as perceived by employees - and citizens – per the current results of our research would cover moral, virtuous, ethical, and perhaps idealized qualities we expect from our rulers, business leaders and public figures" (chapter ▶ "In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations" by Major). Like most of the authors in this *Handbook*, he strongly states how imperative it is that our society and our workplaces undergo a profound and collective renewal of consciousness and integrate the dimensions of virtue back into business education and into the development of leaders. This is essentially a call to create transformational learning, which will be discussed below.

There is so much that can be said about the field of transformational leadership, and there are countless books and research articles written on the topic. Here is my brief summary of key points:

1. The field of transformational leadership has a long and illustrious history beginning with Burns (1978) and Bass (1985) and is continuing to expand today. There are specialized journals, such as *Leadership Quarterly* and the *Journal of Management, Spirituality and Religion*, providing the latest theory and research and numerous courses and workshops, as well as academic and practitioner conferences.
2. In the field of transformational leadership, we all have the potential to be transformative. Transformational leadership is not limited to those in formal roles.
3. To be a transformational leader, you must be willing to be transformed yourself. It is a journey that requires intentional inner work, vulnerability, intuition, and a trust in your inner guidance. Transformational leaders learn to discern the difference between ego and a commitment to something larger than themselves.
4. Transformational leaders have a sense of calling that often attracts others to their mission.

5. Transformational leaders have some kind of contemplative or reflective practice such as prayer, meditation, journaling, or being in nature that allows them time to reflect on what is unfolding within them and around them.
6. It is common for transformational leaders to have a trusted spiritual advisor or spiritual director to go to when their own reflective practices are not enough for them to understand dilemmas they may be facing.
7. Transformational leaders are committed to being whole persons – body, mind, emotion, and spirit – they are integral.
8. Some of the common qualities of transformational leaders include integrity, authenticity, vision, compassion, and being challenging.
9. Transformational leaders naturally help others to become transformational leaders.

Next, we explore the concept of transformational learning, which includes processes and approaches for creating personal transformation, for developing transformational leaders, and for creating transformation in groups and organizations.

Transformational Learning

The term transformational learning is primarily used to describe educational processes that occur in classrooms in academic settings. However, the term has also been used in the corporate world as an approach to leadership development and more generically to describe personal growth approaches. Mezirow (1981) is credited with coining the term and with developing transformative learning theory. The theory is based on the premise that in order for transformation to take place, there must be a change in perspective and that there are three dimensions to "perspective transformation": psychological (changes in understanding of the self), convictional (revision of belief systems), and behavioral (changes in lifestyle) (Clark 1991). Mezirow believes that perspective transformation is a rare occurrence and often is caused by a "disorienting dilemma."

In my own research on a stage theory of spiritual and career development (Neal 2013a: 29), I found this to be true. Disorienting dilemmas include personal crises such as divorce, death in the family, or a life-threatening experience or illness. Disorienting dilemmas can also include professional crises such as being passed over for a promotion, the failure of a major project or program, and losing one's job. I also found a few rare examples of disorienting dilemmas that resulted from transcendent experiences. These transcendent, often mystical, experiences led the individuals to reexamine the nature of reality, of self-identity, and to make major life changes.

Banner and Frizzell, in their chapter titled ► "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey" build upon the work of Mezirow (1997). They distinguish between two types of human development – horizontal and vertical – with "vertical development" utilized as another term for transformational learning. They also talk about the importance of disorienting life events.

> Horizontal development, or conventional learning, refers to the acquisition of general knowledge or skills (e.g., learning how to create a company budget). Vertical development or transformational learning refers to shifts in perspective to more complex and inclusive views or structural changes within intelligences or developmental lines. Vertical development may assume a proactive and voluntary approach to the actualization of human potential. However, it often results from disorienting life events because such events disrupt or "unfreeze" underlying worldviews, beliefs, assumptions, and identities thereby creating space for alternative ways of seeing and thinking.

They make a very strong case for the need for more balance in education and leadership development, since currently there is a very heavy bias toward horizontal development, with scant attention paid to vertical development or transformational learning.

London and Van Buskirk, in their chapter ► "The Co-created Classroom: From Teacher/Student to Mentor/Apprentice" make a very similar argument. They argue that parents (who are usually the ones paying the bills), and students themselves, tend to focus on employment and career concerns (horizontal development) above all else. The pressure on faculty to publish or perish can lead faculty to questioning the value of teaching as they focus on scholarly pursuits to further their own careers. Yet, a growing number of faculty are feeling called to make a more powerful difference in the development of their students and to make the classroom come alive. London and Van Buskirk, in their chapter ► "The Co-created Classroom: From Teacher/Student to Mentor/Apprentice" state "As educators we know the value of helping our students to learn the essential facts and concepts that are the vocabulary of our academic disciplines. But beyond this, our larger challenge is to make the classroom come alive and to create the potential for "transformational learning", which we define as an enthusiastic experience that causes students' lives to be different or better in some way that feels important." Their chapter offers specific examples of what can be done to create a transformational classroom through transformational teaching, which they define as "always looking to connect to the intrinsic motivations of the students and the energy in the group that is potentially there." Congruent with a theme in this book that personal transformation must precede systems transformation, London and Van Buskirk underscore the importance of self-awareness and groundedness in the transformative teacher. They also recommend a deep reexamination of the teacher/student role and provide specific examples of how this relationship can be transformed into one of mentor/apprentice – a much less hierarchical and controlling approach.

DeAngelis (2018) helps us to understand another important transformative teaching perspective in her chapter "Clarifying the Relationship Between Transformative Teaching and Transformative Learning." As a complement to the chapter by London and van Buskirk – which is practical and applied – the chapter by DeAngelis provides theoretical underpinnings supported by a thorough literature review of the field. She emphasizes that a major shift needs to occur in curriculum design from a program aimed only at imparting skills to a program aimed at encouraging participants to become more self-aware. She also provides a sample introductory section of a syllabus that can be used as a template for courses designed from a transformative teaching approach.

There is a strong link between transformation and spirituality, as we will explore in the next section, and French (2018) integrates this perspective in her chapter on "Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology." She utilizes Rosebrough and Leverett's (2011: 16) definition of transformational teaching as "an act of teaching designed to change the learner academically, socially, and spiritually." A longitudinal study of college students and their connection spirituality and meaning by Astin, Astin, and Lindholm (2010) found that more than half of college students attend college with the goal of discovering their purpose and meaning in life. Being in college seems to enliven this interest. Over 76% of students report that they are actively searching for meaning in life while they are in college. This research shows strong support for the need to create more transformative learning in the classroom.

French draws upon neurobiology to provide greater understanding of how transformative learning takes place through the experiential learning cycle. She explains that this can happen both through an outer focus and an inner focus:

> As an approach to teach spiritual meaning, the experiential learning cycle is helpful when the concept being studied relates to self-transcendence and finding personal purpose in something larger than the self. When students learn about events happening in the world, causes that inspire other people to rally, and the plight of those who struggle with conditions beyond their control, it can give them inspiration to think about attaching themselves to a larger cause. Conversely, the work of going "all the way down" (Palmer 2000, p. 56) through self-exploration to discover one's authentic self can by spurred by learning about purpose in life, existentialism, and introspection to teach spiritual meaning.

She states that typically, students do not have much of an understanding of how their brains work and that teaching them how the brain processes input helps students to develop more reflective prefrontal cortex control over their reactive lower brains.

There are several common themes in the transformational learning literature and in the related chapters in this *Handbook.* They are:

1. Transformational learning requires a significant shift in worldview.
2. Transformational learning leads to more inclusive, open, self-aware, and reflective ways of being.
3. Learners who experience transformational experiences in the classroom tend to be more open to change in the future.
4. The goal of transformational teaching is to create transformational learning in a way that supports the learner in being more effective and in experiencing greater personal meaning in life.
5. It is essential that the faculty who is committed to transformational learning do his or her own inner work and is willing to grow as a result of interaction with students.
6. It is extremely important to create safe and trusting environments in transformational learning classrooms. This requires that the faculty member has some level

of personal openness, authenticity, and vulnerability and is modeling transformational learning values.

7. Transformational teachers are those who have shifted their mental model of their role of "faculty," "professor," and "expert" to the role of "mentor" and possibly even "spiritual guide." They also shift their pedagogy from "curriculum development" to "co-creating the classroom."
8. Humor is both a precursor and a success measure of transformational learning. Humor (except for sarcastic humor) creates trust, awakens the whole brain, and allows for increased problem solving. In classes where there are frequent outbursts of laughter, there is a high likelihood that transformational learning is occurring. In my own experience in the workplace, laughter and playful humor are almost always signs of group cohesiveness, creativity, collaboration, and breakthrough thinking.
9. Some of the common approaches to creating transformational learning experiences include:
   (a) A trusting and open relationship with the faculty member based on a reduction of hierarchical differences.
   (b) Student input into the course design.
   (c) Students provide feedback to each other.
   (d) Self-awareness models, including neurobiology of the brain.
   (e) Assignments that take students outside the classroom and/or are connected to current events.
   (f) Reflective experiences and assignments such as mindfulness training, contemplative practices from different spiritual traditions, and journaling.
   (g) Group assignments that not only have a task but also a self-reflective component, such as "what role did you play in your group and how could you have been more effective?"
   (h) The use of nontraditional and multimedia approaches in the classroom such as poetry, music, art, and inspirational videos.
   (i) Drawing upon nature as a teacher through experiences such as modified vision quests.

There is a great deal of overlap in the theory and practice of transformation, transformational and transformative leadership, as well as transformational learning and teaching. Each of these concepts begins with a focus on the individual, and each has implications for teams, organizational systems, and society as a whole. Many of the scholars and practitioners who address these concepts and practices also discuss the importance of spirituality, so we will explore some definitions and concepts of spirituality next.

Spirituality

The terms "spirituality" and "religion" are often used interchangeably, causing confusion among scholars and practitioners. For instance, Delio (2015: 1) states, "religion is about the deep-rooted energies of the spirit yearning for ultimate meaning and fulfillment." Karakas (2010), after examining more than 70 definitions of workplace spirituality, defines "spirituality" as:

> . . .the journey to find a sustainable, authentic, meaningful, holistic and profound understanding of the existential self and its relationship/interconnectedness with the sacred and the transcendent. Spirituality is distinguished from institutionalized religion by being characterized as a private, inclusive, non-denominational, universal human feeling; rather than an adherence to the beliefs, rituals or practices of a specific organized religious institution or tradition. (2010, p. 91)

His Holiness the Dalai Lama draws the distinction between religion and spirituality in this way:

> Religion I take to be concerned with faith in the claims of one faith tradition or another, an aspect of which is the acceptance of some form of heaven or nirvana. Connected with this are religious teachings or dogma, ritual prayer, and so on. Spirituality I take to be concerned with those qualities of the human spirit – such as love and compassion, patience, tolerance, forgiveness, contentment, a sense of responsibility, a sense of harmony – which brings happiness to both self and others. (Dalai Lama 1999: 22)

In this *Handbook,* you will see religious, spiritual, scientific, and secular perspectives on transformation. Each of these perspectives has something valuable to add to the conversation. There are six chapters specifically focused on specific religious approaches. Dienberg and Warode (2018) offer an in-depth analysis and application of Franciscan spirituality in their chapter "Franciscan Spirituality as a Source of Personal and Organizational Transformation." Whittington (2018) offers a New Testament Biblical perspective on "Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership." Ul-Haq (2018) provides a "Sufi View of Human Transformation and Its Organizational Implications." Takeda, in their chapter ▶ "Transformative Connections Between Culture and Finance," explains Confucianism and Neo-Confucianism as basic underlying assumptions in Japanese management practice. Dhiman (2018) discusses the need for self-knowledge in personal transformation and introduces the philosophy of Advaita Vedanta from the Indian wisdom texts. And Nussbaum, in their chapter ▶ "Finding US in Music™: A Method for Deeper Group Engagement That Integrates MUSIC with Ubuntu, Contemplation, and Reflection" demonstrates how the African spirituality of Ubuntu is used in creating group transformation through music.

Mindfulness practices are discussed in many of the chapters in this *Handbook* and in other works on transformation. Mindfulness is a good example of how difficult it can be to classify a transformational process. For example, mindfulness practices could be considered religious (they are based on Buddhist tradition), spiritual (they are usually approached as a pathway to deeper self-awareness and meaning), or secular (as stress reduction or creativity). However, there is strong research evidence of the positive benefits of mindfulness for both personal and organizational transformation. The chapter ▶ "Bringing Mindfulness and Joy to Work: Action Research on Organizational Change" authored by Schuyler, Taylor, and Wolberger provides a detailed description of the positive outcomes that resulted in an organizational intervention using mindfulness. While the authors were careful to design the intervention as a secular approach, there were clearly spiritual benefits for some of the individual participants as well.

Two elements common to most of the definitions of spirituality are (1) connection and (2) meaning and purpose (Sense and Fernando 2011; Mitroff and Denton 1999; Neal 2013). Wilber (2001) distinguishes between two forms of spirituality – horizontal spirituality, which is narrow or shallow or translative or legitimate, and vertical spirituality which is broader, deep, transformative, or authentic. Either type of spirituality can be experienced within religion but is not necessarily tied to religion.

I define these two terms differently. Horizontal spirituality is a connection to others through a sense of service, whether the "others" are people, plants, animals, the environment, or the planet as a whole. I equate horizontal spirituality with meaning and purpose and with a focus on and connection to who and what we serve. I define vertical spirituality as a connection with the Divine, the Transcendent, God, higher states of consciousness, or something mystical that is greater than ourselves. Whereas Wilber tied transformation only to his definition of vertical spirituality, I believe that both dimensions of spirituality have the potential for transformation. I also believe that both are required for a full and mature embodied spirituality.

Dienberg and Warode (2018) in their chapter on Franciscan spirituality describe the relationship between spirituality and transformation:

> Spirituality is the ongoing transformation of a human being in engaged and responsible relationship with oneself, the other, the world and God (Waaijman 2007; Dienberg 2016). In the center of this definition stands the term 'transformation'. It is right at the heart of spirituality, whatever the origins of the actual spirituality of the person could be. Transformation includes in this definition change and dynamic. Spirituality is a dynamic process, a lived reality that concerns the whole human being, not just a certain part or time in life. Transformation takes hold of the whole person. (Dienberg and Warode 2018)

This "lived reality" is expressed not only at the individual level; there are many examples of spirituality as a lived reality at the corporate level as well. Dr. H. P. Kanoria is the Founder and Chairman of SREI, one of the largest corporations in India. This company received the International Spirit at Work Award from the Center for Spirit at Work that I founded. They were honored for the many ways in which they integrated spiritual values and practices in the workplace, making them a model for other companies around the world. Some of their practices include interviewing candidates for employees to determine if their spiritual values are aligned with those of the organization; having an interfaith temple area in the main office where many employees stop and begin their days with a prayer, an altar space for work team; and beginning meetings with silent prayers. To further inspire employees and keep everyone focused on the sacredness of life, there are spiritual quotations from all major faith traditions and other wisdom teachers in each employee's day planner, in the elevators, and in every team meeting room (Neal 2013a: 173).

Dr. Kanoria spoke at the Globysn Business School's International Conference on Spirituality in Management Education in July 2017, describing the behavioral outcomes of spirituality.

> Spirituality is a life skill making. Life becomes worthy and filled with love, compassion, creativity, wisdom, selflessness and forgiveness. We become free of ego. We become receptive, humble and restrained, striving for large scale welfare of humanity. Spirituality make us committed to the welfare of ourselves and all, we observe harmony. We follow justice and discipline. We develop the spirit of commitment and universal unity bringing social justice. (Kanoria 2017)

The key point Dr. Kanoria makes is that spirituality provides meaning and purpose not only to the individual but also has an impact on society.

Several common themes can be found in the *Handbook* chapters and in the related literature addressing spirituality:

1. There are no commonly accepted definitions of words such as spirituality and religion. Some of the definitions overlap and others are contradictory. This makes it difficult for theory development, measurement creation, and meta-research. At the same time, there is growing interest and acceptability in many fields (e.g., management, psychology, biology, and quantum physics) that previously would have considered topics such as spirituality and religion as undiscussable.
2. A significant majority of the authors in this *Handbook* see a connection between spirituality and transformation.
3. Many of the personal transformation processes utilized by transformational leaders and transformational teachers have their roots in spiritual and religious traditions, most notably, the mystical branches of those traditions.
4. Mindfulness practices are among the fastest growing transformational processes in both academic and organizational settings.
5. Spirituality is a journey or an evolutionary process, not a destination or end point. Rabindranath Tagore, Nobel-laureate Indian poet, wrote "my pilgrimage is not at the end of the road; my temples are there on both sides of my pathway" (Tagore 1978: 214).
6. Spirituality does not necessarily mean religious, but it does mean a connection to something transcendent. There are unlimited terms for this transcendent, including God, Allah, Buddha Mind, Christ Consciousness, the All, Cosmic Intelligence, and the Universe, for example.
7. A mature spirituality includes some form of compassionate action in the world, whether that action is inward and mystical, such as the loving-kindness meditation and the practice of Tonglen, or is outward directed such as volunteering to work with the dying or involvement in social action for justice.
8. Spirituality has application in all spheres of life. It is not just relegated to going to the temple, mosque, cathedral, or sweat lodge. It guides us in how we live our daily lives, how we interact with others, and in our major decisions.

Two concepts that are highly correlated are spirituality and consciousness, and both concepts are central to the process of transformation. This next section talks more specifically about theories and models of consciousness.

Consciousness

Sri Aurobindo, a yogi, guru, and poet from India in the first half of the twentieth century, directly makes the link between spirituality and consciousness. "It is spirituality when you begin to become aware of another consciousness other than the ego and begin to live in it or under its influence more and more. It is that consciousness wide, infinite, self-existent, pure of ego etc. which is called spirit" (Aurobindo 2010:362).

The *Merriam-Webster* online dictionary (2018) provides several definitions of consciousness including "the quality of state of being aware especially of something within oneself," "the normal state of conscious life," and "the upper level of mental life of which the person is aware as contrasted with unconscious processes." When I talk about transformation and consciousness, I am referring to "stages of consciousness" in a developmental or evolutionary sense. This perspective is aligned with the *Webster* definition of "the upper level of mental life." However, most authors in consciousness studies go beyond just a focus on "mental life," to talk about spiritual consciousness, awareness of subtle energy, and nondual consciousness.

> Consciousness is a reality inherent in existence. It is there even when it is not active on the surface but silent and immobile; it is there even when it is invisible on the surface. . .Consciousness is usually identified with mind, but mental consciousness is only the human range which no more exhausts all the possible ranges of consciousness than human sight exhausts all the gradations of colour or human hearing all the gradations of sound – for there is much above or below that is to man invisible and inaudible. So there are ranges of consciousness above and below the human range, with which the normal human has no contact and they seem to it unconscious, –supramental or overmental and submental ranges. (Aurobindo 1995: 234)

Some authors define consciousness in terms of quantum physics. "Consciousness is the pattern of active relationship, the "wave side" of the wave-particle duality. Consciousness is relationality that includes communication and the flow of information. The flow of information is the creative relationship made possible by overlapping waves or perhaps, we can say, overlapping energy states" (Delio 2015: 61). She continues, "What we are saying is that the whole of life, from the big Bang onward, is the emergence of mind or consciousness. A system is conscious if it can communicate or process information that, in turn, serves as its organizational function. Anything capable of self-organizing possesses a level of consciousness" (Delio 2015: 64). Her definition encompasses both qualities of "awareness" in the dictionary definition and alludes to a higher order of consciousness that sees beyond separation and experiences the oneness of all existence.

Self-awareness is a key element of any developmental model of consciousness. Kay (2018), in her chapter titled "Self-Awareness in Personal Transformation," states that a large percentage of high performers score quite high in measures of self-awareness. Her chapter draws on the field of psychology and describes many benefits of self-awareness including:

- Acknowledging strengths and weaknesses
- Managing relationships
- Making better choices
- Taking responsibility

She summarizes these benefits by saying:

> Self-awareness will make you more effective as you develop skills that will help you work toward your goals. You will know your strengths and weaknesses to do your best work, as you also develop intuitive decision-making skills. People who are highly self-aware are better able to use their instincts to guide them to better decisions. You will have less stress with a job that you're more compatible with, and you'll be motivated to seek out a sense of accomplishment, additional responsibilities, a flexible work schedule, and help others. (Williams 2003)

Kay's chapter also provides very concrete actions one can take to increase self-awareness, including increasing the number of "human moments" and decreasing time with technology, being aware of your personal prime time and scheduling important work accordingly, meditating regularly, journaling, and/or making mindfulness a part of everyday activities.

Consciousness is a topic that can be explored through many different disciplines. Historically the disciplines that have paid the most attention to the study of consciousness have been philosophy, psychology, and theology. More recently, the "hard sciences" have begun exploring consciousness, particularly quantum physics (c.f. Delio 2015) and neurobiology (c.f. Taylor 2008). Stanford and Stanford (2018), in their *Handbook* chapter titled "The Neurobiology of Personal Transformation," state that unlike most neuroscientists who take a brain-first approach to understanding consciousness, essentially equating the mind and the brain, they instead take a mind-first approach because many of the functions of consciousness are not well accounted for as simply brain activities. In exploring the role of the mind in personal transformation, they focus on three things: (1) the mind's involvement in reflective interpretation of situations, (2) conscious self-evaluation, and (3) applied intentionality. Their chapter contrasts the mind's *growth response* to challenges with the mind's *protection response* to challenges. Clearly the growth response leads to more beneficial outcomes. They provide several strategies and principles based on neuroscience for developing the mind's propensity to choose the growth response.

Many of the chapters in this *Handbook* discuss consciousness and present models of different levels of consciousness. Meyer-Galow (2018) devotes his whole chapter to a discussion of the relationship between consciousness and transformation in his chapter titled "An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life." Meyer-Galow defines transformation as "the process of learning to experience the consciousness of transcendence in body, mind and soul, through body, mind and soul, and beyond body, mind and soul." He continues, "Our consciousness, which is primarily based on our body and mind, is necessarily limited to our thinking and our emotions. Most of us have lost the connection to our soul. It is only through a personal transformation that we can regain it." His chapter delves deeply into many pathways to personal transformation and then discusses the practical implications of high levels of consciousness for such practical business issues as ethics, mergers and acquisitions, supply chain management, customer relations, environmental sustainability, innovation, and resilience in the face of change. The bottom line, as he demonstrates, is that a personal transformation of consciousness is essential to collective transformation of organizations.

Barrett (1998) very much agrees that a shift in personal consciousness, particularly in leadership, is a precursor to organizational transformation. Barrett defines consciousness as:

"A state of awareness of self (thoughts, feelings, ideas) based on a set of beliefs and values through which reality is interpreted. A shift to a higher state of consciousness involves a change in beliefs, values, and behaviors. The values at the higher level of consciousness promote greater inclusiveness and connectedness and less separation and fragmentation" (Barrett 1998: 56).

Mindfulness practices are among the most researched approaches to developing higher states of consciousness, particularly in the domain of personal and organizational transformation. In her research, Frizzell et al. (2016) identified 10 developmental themes from 20 diverse manager-leaders with a regular (at least 3 days a week) mindfulness meditation practice for at least 3 months. She reports results which are similar to the findings of the university case study mentioned earlier in this chapter (▶ "Bringing Mindfulness and Joy to Work: Action Research on Organizational Change" by Schuyler et al.). The developmental themes included (a) more integrated/balanced leadership, (b) greater self-regulation, (c) commitment to the practice, (d) enhanced self-awareness, (e) improved work relationships, (f) greater inner calm and peace, (g) greater self/other empathy and compassion, (h) deeper listening and being present, (i) being motivated by a personal or professional crisis, and (j) more tolerance for ambiguity and uncertainty. These developmental themes are similar to the description of behaviors indicative of higher levels of spiritual intelligence (Wigglesworth 2014).

Frizzell and Banner, in their chapter ▶ "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey," pointing to the work of Wilber (2001), make the distinction between temporary "states" of transcendent spiritual experiences and "stages," which are permanent developmental stage progressions. An individual can have a transformational or spiritual experience at any level of development, but when we talk about higher levels of consciousness, we are referring to that person's stage of development. Wilber has developed what is probably the most widely accepted integral model of stages of development. Frizzell and Banner, in their chapter ▶ "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey," offer the following table in their chapter, based on Wilber's analysis of "over 100 developmental theorists and frameworks; and determined that they could all be generalized in a nine-stage model, which he later reduced to a two-tier, eight-stage model. Adapted from Spiral Dynamics, Wilber's uses unique colors and descriptive terms to distinguish each stage within the overall model" (see Table 1).

Table 1 Select developmental stage conceptions

Theory – theorist(s)	Integral theory – Wilber	Cognitive – Kegan and Lahey	Spiral Dynamics – Graves, Beck, and Cowan
Tier 2	Turquoise: Holistic	Self-transforming mind	Turquoise: Holistic
	Yellow: Integrative		Yellow: Integrative
Tier 1	Green: Sensitive self	Self-authoring mind	Green: Communitarian
	Orange: Scientific achievement		Orange: Achievist
	Blue: Mythic order	Socialized mind	Blue: Purposeful
	Red: Power gods		Red: Impulsive
	Purple: Magical-animistic		Purple: Magical
	Beige: Archaic-instinctual		Beige: Survival

Note: From: Wilber (2001), Kegan and Lahey (2009), and Beck and Cowan (1996)

Korten (2006) also studied a number of developmental stage theorists and posits this five-stage model of consciousness:

First order: Magical consciousness
Second order: Imperial consciousness
Third order: Socialized consciousness
Fourth order: Cultural consciousness
Fifth order: Spiritual consciousness

Korten describes the highest level, spiritual consciousness, as "the consciousness of the elder statesperson, teacher, tribal leader, or religious sage that supports an examined morality grounded in the universal principles of justice, love, and compassion common to the teachings of the most revered religious prophets. It approaches conflict, contradiction, and paradox not as problems to overcome, but as opportunities for deeper learning" (p. 47).

The study of consciousness has been ongoing for thousands of years, in every culture on the planet, and through multiple disciplines. The summary presented here is in no way a summary of all of the thinking on consciousness, but instead is an attempt to highlight some key themes that reoccur across different perspectives and that have relevance for personal and organizational transformation.

1. Most theories or models of consciousness are based on hierarchical stages of development.
2. Each stage of development transcends and includes (Wilber 2001) the stage before it, moving toward greater and greater wholeness for the individual or system.
3. Movement between stages can be gradual (evolutionary) or sudden and disruptive (revolutionary).

4. Movement from one stage to another is transformation. Once you have seen yourself and the world through a new perspective, you can't unsee it.
5. As a person or system develops through higher stages of consciousness, the sense of "self" expands. The concerns move from ego-centered or self-centered to an increased concern for the greater good.
6. A shift in consciousness results in changes in values, beliefs, behavior, as well as sense of meaning and purpose.
7. It is important to distinguish between states (a momentary state of consciousness) and stages (a permanent developmental way of being).
8. It is very difficult to describe the highest levels of consciousness because words are limiting, and naming things causes dualistic thinking and perceiving. The highest levels are given names such as Unity Consciousness, Oneness Consciousness, Nondual Consciousness, Christ Consciousness, and Buddha Mind.
9. Individuals are able to reach higher levels of consciousness more easily than groups or organizations.
10. An organization cannot be at a higher level of consciousness than its top leader.
11. Over time, humanity (and perhaps other sentient beings) is slowly but steadily evolving toward higher levels of collective consciousness. This evolution does have setbacks, but the general trend is toward a more humane and compassionate world that works for all.

Interrelatedness of Five Key Concepts

The field of transformation studies is complex because it draws from many disciplines as well as from ancient wisdom and modern science. Therefore, it is impossible to present one definition, theory, or model for any of our five key terms: (1) transformation, (2) transformational leadership, (3) transformational learning, (4) spirituality, and (5) consciousness. There are significant overlap and interrelatedness, and it is fairly common for some of the terms to be used interchangeably. It is not the goal of this chapter to provide one definitive model, definition, or description of any of these concepts but rather to paint a rich and varied tapestry that may inspire further exploration, research, and application by the reader.

Figure 2 shows a diagram of the three primary overlapping concepts: transformation, spirituality, and consciousness. Transformational leadership and transformational learning are secondary concepts and are in the center because these two concepts are the integrated application of transformation, spirituality, and consciousness.

Transformation theory arises primarily out of the social sciences, spirituality theory arises primarily out of theology and religious studies, and the field of consciousness studies primarily arises out of hard sciences such as quantum physics and neurobiology, but also from the ancient wisdom traditions.

The key point here is that there are many ways to explore the phenomena of transformation, and the study of spirituality and consciousness is an important "way of knowing" (Waddock et al. 2016). There are also many applications and fields of

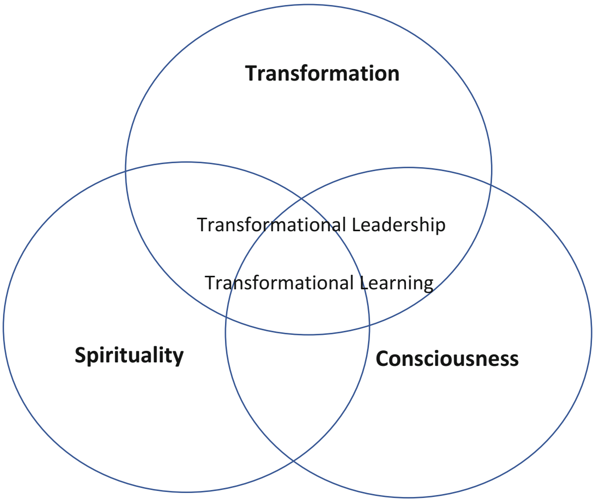


Fig. 2 Interrelatedness of key concepts

practice residing at the intersections of these three primary concepts. The two applications most relevant to personal and organizational transformation are leadership and learning, but clearly there is much that can be added to this model.

In the next section, I offer a sampling of commonly used transformation theories and models at the individual, group, and systems level. For a more detailed discussion of these theories and models, you are invited to explore other chapters in this volume.

Examples of Transformation Theories

Theories of personal and organizational transformation are developed by scientists, scholars, practitioners, and theologians. These theories and models are based on research and on practical experience. As the world becomes more complex and interconnected, there is an increasing need for understanding how to transform ourselves and our organizations up to a higher level of functioning. At the same time, there is a growing interest in faith and spirituality (Neal 2013b) and consciousness (Meyer-Galow 2018), both on a personal and an organizational level, both of which are centrally focused on transformation. In this section, a few theories at each level of analysis (individual, group, and organizational) will be provided as examples, with the understanding that this only scratches the surface of scholarly models and practitioner approaches. The main purpose of presenting these theories is to demonstrate that transformation theory is being used on a regular basis, and, going back to Roger Bannister and the four-minute mile, it is my hope that these examples will encourage others to embrace these kinds of approaches. One thing to note is that many of the individual theories of transformation can be scaled up to group and system-wide approaches.

Individual Transformation Theories and Practice

All human systems transformation begins with the individual. If we want to help create positive transformation in the world, we must begin within. Jack Gibb (1978), one of my earliest mentors, termed this *proximo-distality.* Transformation begins close in (*proximo*) and radiates outward to a distance (*distality*). In quantum physics, there is a similar metaphor of the "butterfly effect," meaning "small changes can have larger effects." The scientific terminology is "sensitive dependence on initial conditions." The metaphor is of a butterfly flapping its wings in Kansas causing a tornado in Tokyo. Fichte (1987) has a more mystical perspective on this same phenomenon: "you could not remove a single grain of sand from its place without thereby, although imperceptibly to you, changing something throughout all of the parts of the immeasurable whole" (Fichte 1987: 26).

Living from your True Nature

One approach to individual transformation that has profound implications for organizational transformation is Daryl Conner's, in their chapter ► "It's Not What You Do, It's Who You Are" work on character and presence for change practitioners. Conner, in his chapter ► "It's Not What You Do, It's Who You Are" has found from his years of change management consulting that leaders tend to think of change facilitators in one of three ways: (1) inept and adding little value, (2) adequate and providing acceptable value, or (3) high impact and "delivering implementation assistance to *strategically* important endeavors and have proven *invaluable* in reaching full realization." This third category of "high impact" is estimated to be only about 10% of change practitioners. Inept change facilitators lack the basic skills required to facilitate transformation. Both adequate and high-impact facilitators have the necessary experience and skills to bring about some level of change or transformation in a system.

The key factor that distinguishes high-impact practitioners is what Conner refers to as the "character presence package." The character presence package is a focus on your true nature more than your skills and competencies. According to Conner:

> Underneath what you do is who you are. It is here that your optimum impact resides. Of all the things you can draw on to create leverage for your clients, your true nature is your greatest asset. Only when practitioners can stay centered on this and see it as core to the value they provide will they be able to live up to their full potential and help others do the same. (chapter ► "It's Not What You Do, It's Who You Are" by Conner)

Miller and Miller (2018), in their chapter "Enabling Innovation with Human Values: A Recipe for Transformation," also discuss the importance of character, particularly as it relates to innovation, values, and transformation. They write:

> While teaching at the Motorola University's Vice President Institute, William once heard Bob Galvin, then chairman of the executive committee on Motorola's board of directors, describe the primary job of leaders as: "*Inspiring acts of faith (things are do-able that are not necessarily provable), spreading hope, and building trust*." When a VP asked how these

> values relate to the "real world of business," Galvin replied that executives must develop strong character in themselves and others, not just good technical or financial skills. Then he concluded: "*Faith, hope, and trust... Theology is very practical business.*"

Similarly, Heermann (2004) speaks of the importance living out of the Essential Self in order to live one's noble purpose in life. Many spiritual teachers also refer to the true self or related concepts such as real self, authentic self, original self, and original face (c.f. Rohr 2013; Kornfield 2017; Wilber 2001). O′ Neal (2018), in her chapter titled "The Truth About Transformation: One Person Can Change the World," presents a model of transformation that has as its foundation our "way of being." She quotes Erhard (1984) as saying, "This is the work of transformation: this revealing of ourselves to ourselves, which occurs in a profound way that alters the very possibility of being that we are: Inescapably. Decisively. Forever."

The Hero's Journey

The goal of the transformation journey on the individual level is to understand our character, essence, and true self. If this is the goal, what is the process? Three of the chapters in this *Handbook* focus specifically on Joseph Campbell's (1968) archetype of transformation – The Hero's Journey. Grant (2018) writes about "Re-Visioning the Way We Work: The Untapped Power of Imagination in the Workplace." Campbell had six major stages to the Hero's Journey: innocence, the call, initiation, ordeal, reflection, and celebration. Grant has added two more stages in order to make the model more directly applicable to individual and organizational transformation: telling the story and revisioning. This chapter provides practical tools and models for each stage of the journey.

Racionero's (2018) chapter, "The New Leader as Spiritual Hero: The Way of Awakening," also draws upon Campbell's work and used ancient myths and heroes such as Perceval, Ulysses, and Gilgamesh, as well as modern heroes from movies including Star Wars, the Wizard of Oz, and the Matrix, as an approach to helping leaders clarify and strengthen their own spiritual identity and vision. This is another way to explore the concept of exemplarity (chapter ▶ "In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations" by Major).

Drawing on the work of Carl Jung (1960), Cavelli (2018) also refers to the Hero's Journey as a metaphor for the stages of individuation and development. Her chapter is titled "Identity and Meaning in Transformation," and she explores the connection between the concepts of identity, meaning, synchronicity, collective unconscious, and archetypes. She demonstrates how these concepts which are usually applied to the individual can have great meaning and usefulness when applied to organizational transformation.

Self-Awareness, Self-Development, and Meditation

A common theme in the chapters of this *Handbook* is the importance of meditation in transformation and self-development. Frizzell and Banner, in their chapter titled "Leader Self Development, Maturation and Meditation: Elements of a

Transformative Journey," identify meditation as the only evidence-based technique for fostering vertical development and transformation in individuals. They distinguish between two categories of meditation: concentration and awareness practices. "Concentration practice is an essential element of the Buddhist Eightfold Path and other contemplative traditions, East and West. While concentration practices may differ across traditions, typically they include an object of attention (e.g., breath, an image, a sacred word, a word or phrase called a mantra) to which the practitioner returns, repeatedly, gently, and nonjudgmentally" (Walsh 2000).

Mindfulness practice, on the other hand, is an awareness practice. "Formal mindfulness practices orient around the *Four-Points of Mindfulness* (body, feeling tone, thoughts, and senses) and include breath-awareness meditation (also referred to as sitting meditation), walking meditation, and body-scan meditation. Informal practices include bringing one's attention to the current task (Siegel 2010, 2014)" (chapter ▶ "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey" by Frizzell and Banner).

In my workplace spirituality research for Fetzer Institute (Neal 2018), I created an annotated list of organizations that have some form of workplace spirituality practices or programs. I discovered a growing trend in implementing mindfulness-based practices in organizations. The driving force of the majority of these programs is stress reduction and cost reduction in healthcare costs. The organizational motivation for implementing these programs is not a desire to support individual transformation to higher levels of consciousness, but we can only hope that a critical mass may be forming that would create a collective leap to greater levels of compassion and wisdom. Frizzell and Banner, in their chapter ▶ "Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey," conclude:

> As evidenced by studies highlighted in this chapter, mindfulness meditation has salutary and transformative potential for individual leaders who regularly, consistently, and skillfully practice. Although one transformed leader may not be able to transform an entire organization, "transforming individuals through leader development efforts also transforms organizations" (Day et al. 2012, p. 11). Whereas one transformed leader with greater self-awareness and self-regulation can make a positive difference in an organization, investment in mindfulness training for multiple leaders or leadership teams might transform entire organizations. In turn, transformed organizations have the potential to transform societies and the world.

Dhiman (2018) draws on the Indian wisdom tradition of Advaita Vedanta in his chapter titled "Self Knowledge: Master Key to Personal Transformation and Fulfillment." Advaita Vendanta is an approach to nondual consciousness. One of the primary practices is self-inquiry, a contemplative exploration into "Who am I?" Dhiman recommends having a close association with a teacher who is well-versed in this teaching tradition because of the subtlety of the methodology. This is a journey of discerning what is real from what is unreal, what is "I" and what is "not-I," what is eternal, and what is ephemeral.

Spiritual Leadership

Spiritual leadership has already been discussed above as a subcategory of transformational leadership. But I would like to add one more theory from my own research. In the 1990s I interviewed a large number of business and industry leaders, leaders who had an explicit commitment to their own spirituality. These leaders represented all of the major religious traditions. There were also those who would define themselves as spiritual but not religious. I discovered five qualities that were shared by all of these leaders, and several of these will sound familiar: (1) self-awareness, (2) passion, (3) integrity, (4) vision, and (5) playfulness. It is not unusual to find one or more of the first four qualities in other theories of transformational leadership, but I rarely see anyone discuss playfulness. However, playfulness showed up over and over again in these spiritually based leaders. I asked leaders to tell me about the skills that helped them to live in two worlds – the world of business and the world of spirituality. These were the most common skills described: (1) knowing the future, (2) risk-taking, (3) manifesting, (4) focusing, and (5) connecting. Every one of these leaders had some kind of contemplative practice and a real commitment to making a positive difference in the world (Neal 2006).

Group Transformation Theories and Practice

T-group methodology, also known as sensitivity training, was the first transformation process to be studied and implemented at the group or team level. National Training Labs (NTL) is one of the most widely respected professional growth and organizational development training organizations, and it was originally created as an organization to study small group dynamics (Bradford et al. 1964). Congruent with many of the themes in this *Handbook*, members of small groups were encouraged to be self-aware, authentic, as well as aware of others' behavior and the impact on self and others.

Just about every management textbook that has anything on group dynamics is likely to reference Tuckman's (1965) model of the stages of group development: forming, storming, norming, performing, and adjourning. This model is widely taught in universities as well as in corporations. Teams find it helpful to realize that there are predictable stages that groups go through and that there are methods to help the group move more quickly to the desirable stage of performing.

In the 1990s, Heermann (1997) developed a team-building methodology called "team spirit" that integrated the best of group dynamics theory, organizational development approaches, and spirituality. Through the use of experiential exercises, teams are guided through six steps of the Team Spirit Spiral: (1) initiating, (2) visioning, (3) claiming, (4) letting go, (5) celebrating, and (6) service. Service is at the heart of the spiral and provides the sense of meaning and purpose that creates highly cohesive and effective teams.

Three chapters in this *Handbook* offer very innovative and cutting-edge approaches to group transformation. One of them is focused on energy healing and two are focused on music.

Dunow (2018), in her chapter titled "The Use of Energy Healing to Transform Emotional Obstacles in Leaders and Teams," points out that resistance to transformation in teams can come from unresolved emotional traumas and blocks and that healing these unresolved emotional challenges through transformational energy healing tools can help individuals in the team and the team as a whole. Drawing upon the sciences of morphogenic resonance and cellular biology, she describes what happens with energy healing: "In terms of physical and mental health, energy healing practices are based on the idea that disturbances in the energetic or morphic field are what create disturbances or disruptions in well-being. Rebalancing the energetic field(s), individually and collectively can then help to restore health." Her chapter provides several energy healing tools that Dunow has used in teams, with a description of the transformation process that occurred, and the positive results achieved.

Cotter-Lockard's (2018) chapter is based on her research work with classical chamber musicians: "Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians." She describes collective virtuosity as the result of reflexive process that results from members' own peak performance. Through observation of rehearsal practices, she observed that various techniques helped members to "expand and embody awareness, mirror gestures and entrain energies, enter into a mutual tuning-in process, and to ultimately form a *We Presence* in which musicians experienced collective virtuosity" (Cotter-Lockard 2018). This *We Presence* is very much like the unitary consciousness that is at the highest levels of the stage models discussed earlier. Like Dunow's chapter, this chapter provides very concrete group transformation approaches that can be used in organizational teams.

From South Africa, Nussbaum, who is an expert on Ubuntu in organizations, describes the details and outcomes of a program she developed called "Finding US in Music." This group transformation method is designed for deeper group engagement through integrating music with the African spiritual philosophy of Ubuntu and with contemplation and reflection. After contemplative activities that help to create a safe environment, participants share music recordings that have meaning for them, telling the story about what the music means to them and why. Participants are taught conscious, subtle, and refined ways to listen to each other, and both the sharing and the listening have the potential to be transformative. Nussbaum underscores the special impact that music brings to this experience:

> Music has the potential to dissolve and transform the hardness of the heart and create the possibility for human beings to own the paradoxes, the ambiguities, the dreams and the fears in their lives to engage in profound connection. It is in the offering of self through music in a relational setting that the wounds that still hurt can be owned and shared and be transformed. Music is a language which is large and generous enough to hold the spiritual and the secular, dissonance and harmony, paradox and ambiguity. Music expresses the universal, the sacred and the profane, the revolutionary and the conservative, power and vulnerability, the sublime and the ridiculous, the gross and the subtle, the beautiful and the ugly. As a mirror of life music is profoundly accurate and the potential for the truth it offers in sowing the seeds for transformation is relevant to organisations. (Chapter ► "Finding US in Music™: A Method

for Deeper Group Engagement That Integrates MUSIC with Ubuntu, Contemplation, and Reflection" by Nussbaum)

There are an infinite number of approaches to group transformation, including approaches drawn from the arts, from spiritual and religious practices, and from traditional organizational development approaches. Some examples from the arts include the use of improv theater, the use of creating visual artistic expressions, and storytelling. Vision quests, labyrinth walks, time in nature, African drumming, and group meditation are examples of spiritual practices that have been adapted for group transformation experiences. Some traditional organizational development approaches include assessment tools such as the Myers-Briggs Type Indicator, the Enneagram, and numerous team effectiveness instruments. Nontraditional approaches often include creating a shared team experience in a non-work setting, followed by a debrief that helps to integrate the learning back to the work environment. For example, teams have gone to a cooking school for a day and learned how to cook a gourmet meal together, teams have gone on Outward Bound wilderness types of adventures, teams have done service projects at soup kitchens or in prisons, and teams have gone together on visits to admired organizations to learn best practices.

The key factors that support the likelihood of transformation from any of these kinds of approaches are (1) facilitator competence and self-awareness (chatper ▶ "It's Not What You Do, It's Who You Are" by Conner; Neal 1987; chapter ▶ "Finding US in Music™: A Method for Deeper Group Engagement That Integrates MUSIC with Ubuntu, Contemplation, and Reflection" by Nussbaum), (2) relatively high levels of trust in the team, (3) some level of interdependency, and (4) a shared goal.

Organizational Transformation Theories and Practice

Two seminal works in the field of organizational transformation are a book of readings titled "Transforming Work," compiled by John Adams (1984), and an organization theory textbook by David Banner and Elaine Gagne titled "Designing Effective Organizations: Traditional and Transformational Views" (1995). Interestingly, both books incorporate spirituality and consciousness in their approaches. Despite these early beginnings, I believe that organizational transformation work still has not become mainstream. It is not taught in business schools and is seldom implemented in organizations or other systems. On the other hand, it is not a fad and has lasted from the 1980s to the present. The models and examples in this *Handbook* are testimony to the importance and sustainability of this field.

Transformation theory and practice at the organizational level includes both individual and group transformation theories and practice, and it transcends them, building on Wilber's concept of "transcend and include" (2001). As mentioned at the beginning of this chapter, transformation can happen three ways: (1) as a normal evolutionary process, (2) from unintended consequences or unplanned crises, and

(3) as intentional transformation interventions. Intentional interventions tend to take one of two strategies. The most common strategy is top down, working with the top leadership first and then cascading through the levels of the organization. The second strategy is to select a unit of the organization that seems ripe for transformation and to focus intensely on that unit for the purposes of creating a pilot project that can then be replicated and scaled up through the organization. Both strategies have their pros and cons, but critical to both is top management commitment and change agent competence and presence (Neal 1997; chapter ► "It's Not What You Do, It's Who You Are" by Conner 2018).

Following is a high-level review of a few of the models and approaches, from three perspectives: (1) scaling up, (2) breakdown to breakthrough, and (3) focus on values. This is followed by a brief description of some of the case studies in the *Handbook* that provide concrete examples of transformation in action.

Scaling up

The Face the Music (FTM) process described in Kwiecinski's (2018) chapter "Whole System Transformation With Music" describes a top-down approach to organizational transformation but has also been used as a pilot project approach. It is also a great example of scaling up a process like Nussbaum's "Finding US in Music" approach, taking a transformation process from the group level up to the systems level. The FTM process takes the data (organizational dilemmas, undiscussables, authentic stories, and expressions of feelings) that comes out of a songwriting and performing experience and creates structure and processes that can lead to changes in behavior, beliefs, norms, leadership styles, and organizational policies, practices, and strategies.

Fox (2018) examines the mystical traditions of awaking the soul and scales these up to an approach to organizational transformation, a process he calls "Activating the Corporate Soul." He describes three essential elements of corporate soul that must be activated in order for transformation to take place. They are (1) the *purpose* of the organization, (2) the *values* that represent the unquestionable foundation of the organization, and (3) the *volition* of the organization – the subjective driver that leads to engagement that is not accessible for external motivational means. Two elements that support the tangible expression of these elements of the corporate are (4) *capacities* – the skills and abilities, attitudes, behavior, and spiritual insights to deliver the purposes, values, and volition of the organizational function – and (5) *action frameworks*, the products and services that flow out of the purposes, values, and volition. Central to Fox's approach is the development of soul-driven leadership.

In a separate chapter titled "Creating a Flow Organization to Lead into the Future," Fox (2018) presents the Gross Corporate Happiness® model and uses a scaled-up version of the Hero's Journey to guide the implementation of an approach that creates a lasting shift in traditional mental models. This approach emphasizes the movement from ego-centered organizational relationships to a culture that supports intrinsic motivation. Fox states:

> Such a shift requires three vital steps within an organization: Firstly, expanding the motivational context from an individual to a collective space in order to allow each employee the possibility to connect to a shared purpose. Secondly, the purpose of that space needs to reach out beyond the pure interests of the organization, so that motivation can naturally transcend it and evolve beyond reward driven self-optimizing behavior. And thirdly, it needs to be consistent and authentic in order to allow the individual to naturally relate his personal contribution to it, to allow the development of an aligned drive. (Fox 2018)

Breakdown to Breakthrough

Several organizational thought leaders describe transformation as resulting from a tipping point (Gladwell 2002), as a bifurcation leading to a macroshift (Laszlo 2001), or as a dynamic of breakdown and breakthrough (Land and Jarman 1993). Land et al. describe three overriding principles in creating a dynamic tomorrow:

1. Creating what has never existed before, not depending just on improvements to what already exists
2. Making deep and powerful interdependent connections with one another, not excluding people based on difference or separating functions
3. Being pull to a new kind of future, not being pushed by the past
   (Land and Jarman 1993: 13)

Toomey in his chapter on ▶ "Organizational Integration" posits that you cannot have breakthrough without breakdown. He says:

> What makes organizations unique as fields is that they exist in two states at the same time: a *default state*, where it works to *maintain continuity*, and a *generated state*, where it works to *create and integrate discontinuities.* The dominate norm for most organizations most of the time is the first state. On occasion, an exception to the norm appears, one that does not displace the norm, yet can cause considerable disruption. This is a *generated state* in which something outside of the norm becomes real for the organization. That something may be seen as good (a *breakthrough*), or as not good (a *breakdown*). In either case, something is present that is a major deviation from the norm and is unexpected. How the discontinuity is seen, as *breakthrough* or *breakdown*, can be very misleading, because a breakthrough is a breakdown in continuity.

Ricardo Levy is a successful Silicon Valley entrepreneur. He is a board member for several high-tech companies and describes a very difficult breakdown experience in one of those companies as entering into the "crucible of anxiety." A crucible, he writes, "is a container that can withstand severe conditions, usually high temperatures, which is often employed to conduct chemical reactions under harsh conditions. As I consider some of the most difficult leadership situations I have dealt with, many of which have involved personnel issues, I can picture stepping into such a crucible and standing there with a great 'churn' in the pit of my stomach – and the sensation of being ripped apart by the process" (Levy 2018). Levy is a regular meditator, and he focused on the complexity and challenge of this company into his meditation, visualizing it all in this crucible. In his meditation, he suddenly experienced the crucible outside of himself instead of being immersed in it, and this new perspective led to overwhelming feelings of love and compassion for all those that would be affected by the difficult decisions the board needed to make. In that moment he saw the crucible transform into a "chalice of change" and found the simplicity on the other side of complexity. From this place of love, and the sense of sacredness that came with it, he could clearly see the actions that needed to happen.

Focus on Values

Richard Barrett's (1998) work, mentioned earlier, presents a model of organizational transformation that is based on identifying, clarifying, and activating shared values throughout the organization. His "corporate tools" include a Values Audit that measures values at seven levels of corporate consciousness and provide a structured, action-oriented approach to living these values more consistently. These seven levels of corporate consciousness are based on the chakra system and are scaled up to describe chakra energies at the organizational systems level. The process includes an assessment of values in different parts of the organization, including looking at current values as well as aspirational values. From this analysis, the organization is guided to take action toward creating policies and practices that are congruent with aspirational values. His research has been able to demonstrate measurable improvement in corporate outcomes when an organization is highly aligned with its values.

Nearly every chapter in this *Handbook* talks about the importance and centrality of values. At the organizational level, this is especially clear in Fox's (2018) approach to Global Corporate Happiness® and Miller and Miller's (2018) approach to "Enabling Innovation with Human Values." Miller and Miller provide a recipe for transformation that is values-based (as opposed to value-based). The ten ingredients are comprised of five principles and five practices that are suffused with human values:

Five Principles

- *Inclusion*: Embracing the fact that every person has the potential to be creative and innovative
- *Strength-based*: Building the self-awareness, self-esteem, and confidence for being innovative
- *Coherence*: Integrating the resources for building and applying innovation competencies
- *Purposeful leadership*: Stretching boundaries while consciously co-creating the future
- *True wealth*: Measuring values, new knowledge, and achievement as outcomes from innovation activities

Five Practices

- *Common ground*: Promoting a unifying language and understanding for being innovative in everyday work
- *Heartstorming*: Using human values and innovative thinking to stimulate creative ideas and produce comprehensive solutions

- *Disciplined freedom*: Practicing the "art and discipline" of innovation with wisdom and ease
- *Synergy*: Sustaining a positive team climate for innovative collaboration and versatility
- *Summoning the culture*: Invigorating and institutionalizing the norms, values, policies, and practices for enabling innovation with human values (Miller and Miller 2018)

The authors go into detail on how to implement these five principles and practices, offering their experience, perspectives, and guidance to those who wish to create transformation with individuals, teams, leaders, and the entire organization. They conclude their chapter by challenging our traditional understanding of the purpose of business and offering a model of "whole innovation," which has the characteristics of "whole prosperity," "whole persons," "whole planet," and "whole principles."

Case Studies

There are a significant number of case studies throughout this *Handbook*. Three of the chapters are specifically focused on going into depth about transformation approaches in organizations, two from health care and one from higher education. All of the processes and principles in these cases are transferrable to corporate settings and to other types of organizations.

Schuijt (2018), in her chapter titled "A New World is Already Here: Lessons from Radically Different Organizations," describes a major paradigm shift that is leading to fundamentally different ways of designing organizations. She calls these "undercurrent organizations" and delineates nine characteristics that set them apart from hierarchical, bureaucratic organizations, such as mind-set, purpose first, and autonomy and self-organization. She then applies each of these nine characteristics to a company called Buurtzorg, a home healthcare organization in the Netherlands. The results of the transformational process at Buurtzorg led to a 50% reduction in hours of care, improved quality of care, and higher work satisfaction. Compared to other home healthcare organizations in the country, Buurtzorg achieved high quality at lower than average cost and received awards for the most satisfied workforce of any company with more than 1000 workers. It is Schuijt's belief that the only way transformation in the organizational paradigm can come about is through the creation of radically new forms of organization, essentially replacing the old forms that no longer work effectively in today's world. This concept is reinforced by the work of Sherman et al. (2018) in their chapter titled "Examining the Transformational Power of Entrepreneurship."

Ellis (2018) demonstrates the use of her INTOUCH model for organizational transformation in her case study of an eye clinic. The title of her chapter is "The Transformation to Open-Heart Skills and Mindfulness in Healthcare using the INTOUCH Model." This chapter describes six integrative practices and seven open-heart skills that lead to personal and organizational transformation. The practices include assessments, customer care, a focus on values and purpose, the creation of mastermind groups, leadership coaching, and viewing work as a vocation/calling. The open-heart skills are self-discovery, emotional intelligence, compassion, self-awareness, courage, and vulnerability. The results of this systematic transformation process were measured both quantitatively and qualitatively. Among other results, this organization experienced a 45% increase in new patient ratios and a 44% decrease in absenteeism. 81% of employees reported experiencing personal transformation, and 72% reported experiencing organizational transformation.

The third case study in the print version of this *Handbook* takes place in a 1000-person Student Affairs organization of Utah Valley University. (There will be additional case studies and theoretical chapters in the electronic version of the Handbook.) The chapter is titled ► "Bringing Mindfulness and Joy to Work: Action Research on Organizational Change." The transformation approach used was action research. This chapter was co-written by Schuyler et al., and they describe action research as:

> . . . a participatory process concerned with developing practical knowing in the pursuit of worthwhile human purposes. It seeks to bring together action and reflection, theory and practice, in participation with others, in the pursuit of practical solutions to issues of pressing concern to people, and more generally the flourishing of individual persons and their communities. (Reason and Bradbury 2008/2013, p. 4)

As the title of their chapter states, the aim of the transformation process in this university was to enhance levels of mindfulness and joy in employees. Most organizational mindfulness programs are based on individual practice and are focused on stress reduction and productivity. The intervention in this case study aimed to create a cultural change. Qualitative data from interviews pointed to an increased sense of connection with one another, with nature, and with the meaning of their work. If you revisit the earlier discussion on spirituality in this overview chapter, you will see that their findings are quite consistent with literature review definitions of workplace spirituality.

This section has provided models and case studies at the individual, team, and organizational level. One topic that deserves much more study than this chapter or book provides is global transformation. Despite what I read in the news, I deeply believe that the world is going through a global transformation, one that builds on the collective shift in consciousness that arises from individual transformational experiences, from group practices that lead to group transformation, and from intentional organizational transformation efforts. Jironet (2018) provides a thoughtful and inspiring approach in her chapter mentioned earlier, "Global Transformation: Visions of an Imminent Future." She says:

> In order for humanity to thrive during this phase of global transformation, they must urgently embrace interconnectivity, place value in relationships based on trust, intuition and respect, implicitly understand the implicate order of things and revise outdated definitions of power. This is not just about 'leadership' as a nebulous or stand-alone concept. Leaders can pro-actively benefit themselves, their organisation and the world at large enormously by integrating psycho-spiritual aspects into their approach – but only if they are ready to act with the courage to discard old, habitual fears in favour of conscious awareness of the power of interconnectivity and interdependence. (Jironet 2018)

Conclusion

Ervin Laszlo, in his book *Macroshift* (2001), included an appendix titled "About the Club of Budapest: A Call for Planetary Consciousness." The closing words of this document are: "Planetary consciousness is knowing as well as feeling the vital interdependence and essential oneness of humankind and the conscious adoption of the ethic and the ethos that this entails. Its evolution is the basic imperative of human survival on this planet" (Laszlo 2001: 214). I believe this imperative is true, given the political instability, climate change, economic inequality, the increase in hate crimes, and the rise of hate groups around the world. As mentioned in the beginning of this chapter, it is essential to believe that transformation is possible, perhaps now more than ever. There is a huge body of work by scholars and practitioners that attest to the very real possibility that we humans – whether individually or collectively – can transform. This does not mean that transformation efforts are always successful or that you can follow a formula to achieve transformation in any situation.

Quinn and Quinn (2005) talk about the difficulty of facilitating transformational change and the necessary consciousness or mind-set to be an effective transformational change agent:

> On the other hand, transformation is not an easy business. It requires a great personal price. It is always met with resistance. Many people have designed their lives so they never have to leave their comfort zones; they become hostile when threatened by the presence of a person who is truly committed to change. . ..It is also possible to corrupt the transformation model. Many people can get themselves into a self-absorbed and purely internally driven state, while thinking they are serving others. They then become very dangerous. . ..The challenge is to become both internally driven and other focused without imposing one's beliefs on others. At that point, we put the good of the community first, and then the system has a better chance of moving where it needs to go. At such times, we experience transformation and increased understanding of how to become transformational. (Quinn and Quinn 2005: 266–267)

Once again, there is this shift in consciousness that is required in order to focus beyond our self-centered needs and put our energy into serving the greater good. Ironically, this shift of focus to putting the good of the community first can be one of the most rewarding things to do, providing a great sense of meaning and purpose.

Alan Harpham was my dear friend, and my co-author on a book on spirituality and project management (Neal and Harpham 2012). He said of the interfaith gatherings he attended that the mystics of all of the various traditions – those who sought higher levels of consciousness – had more in common with each other than did people within particular faith traditions. It is my hope that after reading this chapter, you feel something similar. This chapter has aimed at providing an overview of the field of personal and organizational transformation, through examining five interrelated concepts that are important to understand: (1) transformation, (2) transformational leadership, (3) transformational teaching, (4) spirituality, and (5) consciousness. There is no way to do any of these topics justice in just one chapter, or even in just one book, but I think it is valuable to show their interconnectedness. Each of these has relevance for creating what has never existed before, whether we are looking at individual transformation, group transformation, systems transformation, or global transformation. The many authors in this *Handbook* have a great deal in common with each other, despite their differences. They come from different countries and cultures. They come from different academic traditions. They come from different organizational backgrounds and professional fields. But they all see the possibility of a better world, and they are called to actualize that vision through writing, teaching, research, leading, and consulting. They are edgewalkers, shamans, radicals, and rebels. Like the mystics that Alan Harpham talked about, they love to band together in collaboration when they meet like-minded people.

This chapter is my attempt to summarize their wisdom, as well as to share my perspectives and insights from years of study of and practice with transformation. At the end of it all, transformation is still pretty much a black box. While we can be rational and linear about setting up the preconditions for transformation, and while there are several methodologies that are likely to lead to positive outcomes, there is still a sense of mystery about the deeper causes of transformation, what we refer to as "grace, magic, and miracles" (Neal et al. 1999). There are phenomena that cannot be scientifically or logically explained. There are sudden moments, critical thresholds, when everything shifts, and the individual, team, or organization suddenly sees the world in a new way. There is a quantum leap in consciousness to a new and more complex way of sensing and of being. There is something spiritual, transcendent, or divine about these moments, and it is important to honor the sacredness of these occurrences. It is my hope that this chapter and this book will encourage scholars and practitioners to continue the exploration of these mysteries.

To conclude, here is a list of key principles of transformation that have been discussed in this chapter:

1. There can be no systems transformation without personal transformation.
2. The importance of contemplative practice is central to individual transformation. Contemplative practice can be focused on discovering what your inner self wants or needs. Or it can be a way of tapping into your intuitive knowing. It can also be a way to connect to spiritual guidance.
3. A key shift in personal transformation is the shift from egocentric to other-centric and world-centric.
4. Vision and passion can be stronger than fear and provide a powerful force for taking risks that can lead to transformation.
5. Self-awareness activities in teams, and a sense of compassion and trust for team members, can lead to deeper understanding of one another and can result in greater group cohesion and higher productivity.
6. A system cannot achieve a higher level of consciousness than that of the top leader. Personal transformation in a leader creates the potential for organizational transformation in the entire system.

7. Stage models help us to understand some of the more predictable steps of individual, group, and organizational transformation. However, not all transformation occurs in stages. Transformation can also be sudden and discontinuous.
8. As a person or system develops through higher stages of consciousness, the sense of "self" expands. The concerns move from ego-centered or self-centered to an increased concern for the greater good.
9. A shift in consciousness results in changes in values, beliefs, and behavior, as well as sense of meaning and purpose.
10. Transformation is the result of a breakdown which leads to a shift in perspective. That shift in perspective can lead to breakthrough.
11. Mind-sets based on fear, mistrust, and the need for control provide obstacles to personal and organizational transformation.
12. Transformation is an essential human and organizational process and is necessary for survival.
13. Over time, humanity (and perhaps other sentient beings) is slowly but steadily evolving toward higher levels of collective consciousness. This evolution does have setbacks, but the general trend is toward a more humane and compassionate world that works for all.
14. The possibility exists that there can be a collective quantum shift to a higher level of consciousness, as a result of grace, magic, and miracles.

Since all transformation begins with personal transformation, I want to close with a quote from Patanjali, the compiler of the yoga sutras from about 150 BCE:

> When you are inspired by some great purpose,
> some extraordinary project,
> all your thoughts break their bonds;
> your mind transcends limitations,
> your consciousness expands in every direction,
> and you find yourself in a new,
> great and wonderful world.
> Dormant forces, faculties and talents become alive,
> and you discover yourself to be a greater person by far
> than you ever dreamed yourself to be.

Cross-References

- ▶ A New World is Already Here: Lessons from Radically Different Organizations
- ▶ A Sufi View of Human Transformation and Its Organizational Implications
- ▶ Activating the Corporate Soul
- ▶ An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
- ▶ Bringing Mindfulness and Joy to Work: Action Research on Organizational Change

- ▶ Clarifying the Relationship Between Transformative Teaching and Transformative Learning
- ▶ Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians
- ▶ Creating a Flow Organization to Lead into the Future
- ▶ Cultivating a Global Mindset Through "Being-Centered" Leadership
- ▶ Enabling Innovation with Human Values: A Recipe for Transformation
- ▶ Examining the Transformational Power of Entrepreneurship
- ▶ Finding US in Music™: A Method for Deeper Group Engagement That Integrates MUSIC with Ubuntu, Contemplation, and Reflection
- ▶ Global Transformation: Visions of an Imminent Future
- ▶ Identity and Meaning in Transformation
- ▶ In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations
- ▶ It's Not What You Do, It's Who You Are
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ Leadership Convergence: The Dawn of Practical Wisdom
- ▶ Management and Franciscan Spirituality as a Source for Personal and Organizational Transformation
- ▶ Organizational Integration
- ▶ Personal Transformation: The Next Big Risk
- ▶ Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership
- ▶ Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology
- ▶ The Co-created Classroom: From Teacher/Student to Mentor/Apprentice
- ▶ The Neurobiology of Personal Transformation
- ▶ The New Leader as Spiritual Hero: The Way of Awakening
- ▶ The Transformation to Open-Heart Skills and Mindfulness in Healthcare Using the INTOUCH Model
- ▶ The Truth about Transformation: One Person Can Change the World
- ▶ The Untapped Power of Imagination in the Workplace
- ▶ The Use of Energy Healing to Transform Emotional Obstacles in Leaders and Teams
- ▶ Transformative Leadership
- ▶ Whole System Transformation with Music

References

Adams J (ed) (1984) Transforming work: a collection of organizational transformation readings. Miles River Press, Alexandria

Astin AW, Astin HS, Lindholm J (2010) Cultivating the Spirit: how college can enhance students' inner lives. Jossey-Bass, San Francisco

Aurobindo S (2010) Essays - human and divine. Sri Aurobindo Ashram, Pondicherry

Auribindo S (1995) Letters on yoga, vol 1. Lotus Press, Sri Aurobindo Ashram, Pondicherry

Banner D (1995) Designing effective organizations: traditional and transformational views. Sage Publications, Thousand Oaks
Barrett R (1998) Liberating the corporate soul: building the visionary organization. Butterworth-Heinemann, Cambridge, MA
Bass B (1985) Leadership and performance beyond expectations. Free Press, New York
Beck D, Cowen C (1996) Spiral dynamics: mastering values, leadership, and change. Blackwell Publishing, Malden
Bradford LP, Gibb JR, Benne KD (1964) T-group theory and laboratory method. John Wiley, New York
Bridges W (1991) Managing transitions: making the most of change. Addison-Wesley, Reading
Burns JM (1978) Leadership. Harper & Row, New York
Campbell J (1968) The hero with a thousand faces, 3rd edn. Princeton University Press, Princeton
Clark CM (1991) The restructuring of meaning: An analysis of the impact of context on transformational learning. Unpublished doctoral dissertation, University of Georgia, Athens
Cook-Greuter SR (2004) Making the case for a developmental perspective. Ind Commer Train 36(7):275–281
Crum A, Phillips DJ (2015) Self-fulfilling prophesies, placebo effects, and the social–psychological creation of reality. Emerging trends in the social and behavioral sciences: an interdisciplinary, searchable, and linkable resource. Wiley, Hoboken
Dalai Lama XIV (1999) Ethics for the new millennium. Putnam, New York
Day DV, Harrison MM, Halpin SM (2012) An integrative approach to leader development: Connecting adult development, identity, and expertise (E-book version). Retrieved from https://play.google.com/store/books/details?id=JcN4pZOAFLAC
Delio I (2015) Making all things new: catholicity, cosmology, consciousness. Orbis Books, Maryknoll
Dienberg T (2016) Um des Menschen willen. Wirtschaften geht auch anders. Camino, Stuttgart
Erhard W (1984) A way to transformation. www.wernererhard.com/heart.html. Accessed 24 Mar 2017
Fichte JG (1987) The vocation of man (German: die Bestimmung des menschen), originally published in 1799, translated into English by William smith, 1848. Hackett Publishing, Indianapolis
Ford H (1947) The readers digest, (filler item), vol 51: 64. Readers Digest Association, New York
Freire P (1973) Education for critical consciousness. Palas Athena, São Paulo
Frizzell D, Hoon S, Banner D (2016) A phenomenological investigation of leader development and mindfulness meditation. Journal of Social Change 8:14–25
Fry LW, Cohen MP (2009) Spiritual leadership as a paradigm for organizational transformation and recovery from extended work hours cultures. J Bus Ethics 84:265–278
Fry L, Kriger M (2009) Towards a theory of being-centered leadership: multiple levels of being as context for effective leadership. Human Relations 62(11):667–696
Gibb J (1978) Trust theory: a new view of personal and organizational development. Guild of Tutors Press, Los Angeles
Gordon T (2001) Leader effectiveness training (L.E.T.). TarcherPerigee, New York
Gladwell M (2002) The tipping point: how little things can make a big difference. Back Bay Books, New York
Heermann B (1997) Building team spirit: activities for inspiring and energizing teams. McGraw Hill, New York
Heermann B (2004) Noble purpose: igniting extraordinary passion for life and work. QSU Publishing, Fairfax
Kanoria HP (2017) Plenary session. International conference on spirituality in management education proceedings, July 2017. Globsyn Business School, 40–42. Kolkata
Karakas F (2010) Spirituality and performance in organizations: a literature review. J Bus Ethics 94(1):89–106

Kegan R (1982) The evolving self: problem and process in human development. Harvard University Press, Cambridge, MA
Kegan R, Lahey L (2009) Immunity to change: how to overcome it and unlock potential in yourself and your organization. Harvard Business Press, Boston
Kornfield J (2017) No time like the present: finding freedom, love, and joy right where you are. Atria Books, New York
Korten D (2006) The great turning: from empire to Earth economy. Berrett-Koehler, San Francisco
Jung CG (1960) On the nature of psyche, The structure and dynamics of the psyche, C.G. Jung, 8, trans. R.F.C. Hull. London: Routledge
Land G, Jarman B (1993) Breakpoint and beyond: mastering the future – today. Harper Business, New York
Laszlo E (2001) Macroshift: navigating the transformation to a sustainable world. Berrett Koehler, San Francisco
Levy R (2018) Dealing with uncertainty: From the crucible of anxiety to the chalice of change. https://ricardolevy.com/2017/04/ Accessed 31 Jan 2018
Malone P, Fry LW (2003). Transforming schools through spiritual leadership: a field experiment. In: Annual meeting of the academy of management, (1–6 August). Seattle-Washington
Merriam-Webster Online (2018) Consciousness. https://www.merriam-webster.com/dictionary/consciousness. Accessed 14 Jan 2018
Mezirow J (1981) A critical theory of adult learning and education. Adult Educ Q 32:3–24
Mezirow J (1997) Transformative learning: theory to practice. New Direct Adult Cont Edu 1997(74):5–12
Mezirow J (2000) Learning as transformation: critical perspectives on a theory in progress [Kindle version]. Retrieved from http://www.amazon.com
Mitroff I, Denton W (1999) A spiritual audit of corporate America: multiple designs for fostering spirituality in the workplace. Jossey-Bass, San Francisco
Neal J (1987) Managerial commitment to planned organizational change. Unpublished dissertation. Yale University, New Haven
Neal J (1997) Spirituality in management education: a guide to resources. J Manag Edu 21(1): 121–139
Neal J (2006) Edgewalkers: people and organizations that take risks, build bridges, and break new ground. Greenwood, Westport
Neal J (2013a) Creating enlightened organizations: four gateways to spirit at work. Palgrave Macmillan, New York
Neal J (2013b) Handbook of faith and spirituality in the workplace: emerging research and trends. Springer, New York
Neal J (2018) Annotated list of workplace spirituality organizations. Fetzer Institute, Kalamazoo
Neal J, Harpham A (2012) The spirit of project management. Gower, Surrey
Neal J, Lichtenstein B, Banner D (1999) Economic and spiritual arguments for individual, organizational and societal transformation. J Org Change Manag, Special issue on spirituality and work 12(3):175–185
Palmer P (2000) Let your life speak: listening to the voice of vocation. Jossey-Bass, San Francisco
Quinn R, Quinn S (2005) On becoming a transformational change agent. In: Greiner L, Poulfelt F (eds) Handbook of management consulting: the contemporary consultant: insights from world experts. Thomson-Southwestern, Mason, pp 266–267
Reason P, Bradbury H (2008/2013) The sage handbook of action research: participative inquiry and practice, 2nd edn. Sage, Los Angeles
Rohr R (2013) Immortal diamond: the search for our true self. Jossey-Bass, San Francisco
Rosebrough T, Leverett R (2011) Transformational teaching in the information age: making why and how we teach relevant to students. Association for Supervision and Curriculum Development, Alexandria
Sense A, Fernando M (2011) The spiritual identity of projects. Int J Proj Manag 29(5):504–513

Siegel RD (2010) The mindfulness solution: everyday practices for everyday problems. Guilford Press, New York

Siegel RD (2014) The science of mindfulness [MP3]. The Teaching Company, Chantilly

Tagore R (1978) Rabindra-Rachanabali, vol 7. Viswa Bharati, Kolkata

Taylor JB (2008) My stroke of insight. Penguin, New York

Torbert B et al (2004) Action inquiry: the secret of timely and transforming leadership. Berrett-Koehler, San Francisco

Tuckman B (1965) Developmental sequence in small groups. Psychol Bull 63(6):384–399

Waaijman K (2007) Spirituality: forms, foundations, methods. Peeters, Leuven

Waddock S, McIntosh M, Neal JA, Pio E, Spiller C (2016). Intellectual shamans, wayfinder scholars and edgewalkers. Intellectual shamans, wayfinders, edgewalkers, and systems thinkers: Building a future where all can thrive. A special theme issue of The Journal of Corporate Citizenship (Issue 62), 35

Walsh R (2000). Essential spirituality: the 7 central practices to awaken heart and mind (Kindle Edition). Retrieved from http://www.amazon.com

Wigglesworth C (2014) SQ21: the twenty-one skills of spiritual intelligence. SelectBooks, New York

Wilber K (2001) A theory of everything: an integral vision for business, politics, science and spirituality. Shambhala Press, Boston

Williams S (2003) Self-awareness and personal development. http://www.wright.edu/~scott.williams/LeaderLetter/selfawareness.htm. Accessed 10 Nov 2016

The Truth About Transformation: One Person Can Change the World

Peggy O'Neal

Contents

P. O'Neal (✉)
Peggy O'Neal Global, Dallas, TX, USA
e-mail: peggy@peggyonealglobal.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_20

Abstract

This chapter distinguishes transformation from change and explains how one person can transform an organization or department. The definition of an organization illuminates that relationships and the conversations people have with one another are key. A process and a model for transformation are described and illustrated with specific examples. A contrasting example of what is not transformation is offered. Sample exercises and overview of others' application of the model and process are included. Distinctions that are relevant to transformation are described; they are choice, the often unconscious approach to business as a machine, speech acts, relationship with commitment, and advising others in the organization of changes before they are made. Challenges to be prepared for are illuminated, and the development of certain competencies is outlined and encouraged. An effective coaching or consulting relationship for transformational work is described. It is proposed that transformation is actually the opportunity to listen to what one is being called to do in the world and bring it forth.

Keywords

Leader · Transformation · Organization · Relationships · Conversations · Model · Coach · Speech Acts · Trust · Practices

Introduction

Transformation is for those leaders in organizations called to a possibility that they can't quite yet see, but they *know* it has to be possible. Transformation has occurred when a person experiences themselves, their relationships, and the world around them in a way that is consistent with the knowing that called them to this path to begin with. The work of transformation includes surrendering to the calling; choosing the focus, thinking and emotion, and development of the body that aligns with the knowing; developing intuition and therefore using the whole brain in leading; and being compassionately and rigorously honest with one's self. The capacities of trust, patience, sitting with uncertainty, and self-awareness are essential to successfully pursue this path.

There is common agreement among quantum physicists that everything exists in relationship with everything else (Laszlo 2008; Schäfer 2013). Transformation assists us in living consistently with this discovery, so it is invaluable to integrate this knowledge in working with people in organizations. We become more aware of ourselves, why and how we do what we do, while becoming the leader – or person – we truly want to be, creating the relationships that reflect our true selves and meeting the future that we seek. It isn't easy, because it takes letting go of first base to get to second, when second base is not yet defined. It can't be, because the person we are at the beginning of the transformational process is not the person we will be in a few months or years. However, through transforming, we are better prepared to lead ourselves and our organizations, as we meet the challenges and opportunities of this precious life.

Transformation

What Is Transformation?

In some ways, the personal transformation of a key individual can actually be the easiest way to alter an organizational culture and its results, i.e., sales, profitability, products, impact on the environment, and making the desired difference in the world. The reason is that it actually does take just one person to transform for the organization to transform. It also takes patience, acute self-awareness, courage, and faith – in himself and his relationship with his world.

The words organizational transformation have been applied when referring to major change or new organizational efforts in an organization. It has been used ubiquitously in the coaching, consulting, and training domains. I have been guilty of using the words in marketing materials when I knew what I was offering wasn't actually worthy of the word "transformation," as I define and explain it below. I feared that if I explained what I meant by transformation and offered that as my approach, that would keep me from getting clients. I also believe many people haven't actually experienced transformation as I define it, so they use the word in ways other than I do.

As a result of the overuse of the word, the work of what I call true transformation has become confusing for those who may actually desire that transformation. Many change and improvement efforts are just that: changing and improving what is already being done. And, there is absolutely nothing wrong with that; it's just different from transformation.

I will use this definition of transformation: "A complete or major change in someone's or something's essential nature, including a change in structure and outward appearance as well as the way they think, feel and behave." This definition was arrived at after visiting Merriam-Webster.com and reviewing the definitions of transformation, form, transform, and character.

Transformation purists would probably require that a new level of consciousness be attained to call it transformation. For purposes of this chapter and the models I offer, I am not making that a requirement.

Defining Organization

I will also be defining organizations in a particular way. Most people I've worked with have never really thought much about what an organization actually is. I have found they unconsciously think there's an organization because of the visible signs and experiences of one: buildings, logos, a brand, television commercials, products, clients, customers, services, providers, systems, departments, equipment, employees, invoices to be paid, and so on. However, if every person in the organization walked out today, there would be no organization!

I define an organization as "the people, their relationships, and the conversations in which they engage."

This is worth pausing and reflecting on if you have never thought of organizations this way.

An apt metaphor for transformation is what we know occurs when a caterpillar becomes a butterfly. This description comes from the web site of Elisabet Sahtouris, an evolution biologist and futurist:

> A caterpillar can eat up to three hundred times its own weight in a day, devastating many plants in the process, continuing to eat until it's so bloated that it hangs itself up and goes to sleep, its skin hardening into a chrysalis. Then, within the chrysalis, within the body of the dormant caterpillar, a new and very different kind of creature, the butterfly, starts to form. This confused biologists for a long time. How could a different genome plan exist within the caterpillar to form a different creature? They knew that metamorphosis occurs in a number of insect species, but it was not known until quite recently that nature did a lot of mixing and matching of very different genome/protein configurations in early evolutionary times. Cells with the butterfly genome were held as disc like aggregates of stem cells that biologists call 'imaginal cells', hidden away inside the caterpillar all its life, remaining undeveloped until the crisis of overeating, fatigue and breakdown allows them to develop, gradually replacing the caterpillar with a butterfly!
>
> Such metamorphosis makes a good metaphor for the great changes globalisation, in the sense of world transformation, is bringing about, as Norie Huddle first used it in her beautiful book *Butterfly*. Our bloated old system is rapidly becoming defunct while the vision of a new and very different society, long held by many 'imaginal cell' humans who dreamt of a better world, is now emerging like a butterfly, representing our solutions to the crises of predation, overconsumption and breakdown in a new way of living lightly on Earth, and of seeing our human society not in the metaphors and models of mechanism as well-oiled social machinery, but in those of evolving, self-organizing and intelligent living organism.
>
> If you want a butterfly world, don't step on the caterpillar, but join forces with other imaginal cells to build a better future for all!
>
> (Sahtouris 2016)

How the Caterpillar to Butterfly Metaphor Relates to Organizational Transformation

Each of us has imaginal cells, metaphorically speaking, within us. We have a nagging sense that the world and the world of organizations could be metamorphosed in some way. Or, we have that sense about our own organization, or department. One can transform a department, specific issues, such as a disastrous relationship, or one's self. Usually, people don't even think about transformation as a possible route for what to do next in a situation they would like to be different, unless there has been a crisis or challenge that has seemed impossible to address. They usually want to learn a new skill or ask the other person to do so, and that is often appropriate.

To realistically enter the transformational realm, one must be done with the way things are in their organization, department, or life and ready to transcend what is currently happening.

Transformation is not a process of taking a caterpillar and attaching wings so that it looks like a butterfly and then inserting an engine so it can fly. That is change. This chapter is about transformation in the sense of the essential nature of the thing, not just appearance and enhanced abilities.

The caterpillar is like many of us in our organizations, head to the ground, close to the ground, inching along, a sense of heaviness, fullness. It reminds me too of an army troop, all in lock-step.

The butterfly, on the other hand, emerges and enters the world in a whole new way, able to fly around and leave the ground behind. It can see and go to places unimaginable and unknown or even unknowable before. It appears lighter and more beautiful and can inspire us with awe and wonder and grace.

Scientists have estimated that there are 15,000 to 20,000 different species of butterfly. How many different types of organization might be available if we allow ourselves to trust the process of transformation?

An Example of Organizational Transformation

I worked with a privately owned multimedia licensing company that was being managed by two people who were not the owners. These executives were concerned about the direction of the organization, because the owners were not focused on the organization, profitability was declining, and some stellar employees had left. The writing was on the wall. These two executives contacted me to see if I could help them. We chose the path of transformation.

At first they resisted, questioning if they could actually alter the direction of the organization since they weren't the owners. Given that they were the people actually leading the organization at the time, I knew we could accomplish what they wanted. They had a vision for the culture. They described the emotional qualities and mood they wanted. They spoke of those organizations that we know attract and retain stellar employees: dynamic, energizing, engaging, and challenging. They also knew that they wanted people at all levels to be involved, contributing and participating.

Since income was also an issue, we worked with a spending plan system for them to decide how much money they wanted to generate. This way of thinking and feeling about money can be critical to the transformation of an organization, as the focus becomes one of how much money they actually want to spend and why it matters to them. This usually evokes excitement and anticipation, whereas budgetary thinking tends to focus on limitation and reliance on the past. Using spending plans is actually a sound transformational focus for an organization. We also engaged in various exercises and discussions to help uncover beliefs and emotions regarding money and how they made money.

By definition, the focus of a spending plan is what those involved want to spend money on, and is not based on prediction or forecasting. People are encouraged to declare what they truly want and develop plans and approaches that support it. They relate to past experience as information and a reflection of their current thinking and practices, which will need to change if the spending plan is a radical departure from the past.

As they designed their spending plan, they were asked to observe which items they had negative or positive feelings about paying and why. Then, with regard to the items with negative feelings attached, they were to reflect on them and to develop a way of thinking about them until they could actually feel at least neutral about paying them. Although this takes work, it is key to fueling a desire to make more money and do what is necessary.

There was resentment around paying one of their debts. Usually, where there is resentment, there is an unconscious desire to hold onto the money. We don't want to let the money go to the person or organization. This can impact an ability to bring money in, due to this internal conflict: "the money is owed and I want to pay my debts, but I really don't want to pay this debt." It took some time, but eventually the executives created a conversation that was true for them so that they actually were happy to pay the once-resented debt. They realized the value that had been brought by the person they owed and were excited about paying her so that they could end the ties to this person. In addition, they realized that they had resented this debt because they believed it was keeping them from using the money for other purposes. By allowing themselves to grasp that they could have both the debt paid and the other spending they wanted, they could release the resentment.

Having a coach or some other outside counsel can provide invaluable assistance, because the coach is not captive to the interpretations of the situation that the client has. As they engaged in the process of observing their relationship to various items and altering their thinking and feelings, it became easier to do it on their own. They also added new categories of spending and increased the line item for salaries, which were expenditures that were really important to them. They had not allowed themselves to imagine what they really wanted to pay, since income had decreased. However, to bring in more money, they needed to decide what they truly wanted so that a plan could be put in place to bring in the money needed to fund the spending plan. We were using a speech act called a declaration. “A declaration is an utterance in which someone with the authority to do so brings something into being that wasn’t there before” (Budd and Rothstein 2000) (Brothers and Kumar 2015) (Flores 2015).

Another exercise invited them to observe their relationships with the other members of the organization and the owners. One of the most critical realizations was that they were thinking about all of the other people as idiots and would often talk to each other about all the idiots they were working with. Obviously, they were very annoyed with everyone, including themselves. They had plenty of justification and evidence and were certain that everyone else was an idiot.

The two executives were already fairly self-aware and understood principles related to language, focus, and relationships (which are addressed below). Therefore, once they acknowledged this way of relating to others in the organization, they knew immediately that transformation of their thinking, way of relating, and way of feeling about themselves and all of the other people was required. This sounds easy. However, once we’ve embodied our beliefs about others and engaged in interactions over any length of time with these beliefs, our entire experience is cemented in the often unconscious belief that this is the way it is and they are the way they are. We do this with everything and everyone all the time. It’s natural and necessary to function in the world. The challenge is to constantly remind ourselves of this habitual thinking, especially if the relationships and situations aren’t working well for us, or if they are working well, and we’d like something different.

The executives reviewed how they saw their coworkers and created how they wanted to think about and experience them that would be consistent with their envisioned future.

They also had to move into the chrysalis stage, where they reconfigured their activities, beliefs, emotions, structures, focus, and conversations so that a different organization could emerge. During that time, there was a deliberate letting go of the past by focusing on thinking, emotions, conversations, and actions that were consistent with the desired future and no longer indulging in conversations about people being idiots. At the same time, there continued to be uncertainty about the future as they allowed the process to reveal what wanted to emerge. They began behaving and being with the others in ways that were consistent with their imagined future. This was neither positive thinking nor a defined picture. They had to actually work with themselves until they could truly believe what they wanted to believe and embody those beliefs for the organization to thrive. They also had to feel differently about the people, so that when they spoke to them and were near them they would bring those fresh qualities to the interaction. They continued to explore how they could work with others and discover new ways of being and new systems.

They reminded themselves how smart, hard-working, talented, and creative their coworkers were, all of which were critical attributes given the nature of the business. They changed the focus of staff meetings from talking about things that weren’t working to talking about financial goals and how achieving them would impact everyone in a positive way. They asked different staff members to assist in the planning of meetings, so that more and different people were involved over time.

The offices of these executives were in a building separate from everyone else. They began daily walks through the building to have brief, upbeat conversations while listening, to ensure feelings of connection and respect.

Most employees worked in cubicles, yet they sent emails to people who sat in the one next to them. That practice was discontinued, and emails were used to convey and verify information, not to carry on conversations. People were asked to get up and go to the person to talk. The mood of the organization began changing very quickly.

The sales team were having conversations that sales were down due to a recession. Obviously, continuing those conversations would not result in sufficient sales to fulfill the new spending plan. New ways of seeing themselves, their clients, and the economy were key to enhance sales. They began to relate to their clients as partners to explore how the image the client wanted to license could help the client sell more of their products.

After about nine months of consistent and determined practice, the culture was transformed, profits were dramatically improved, and spending was consistent with the plan they had designed, without an increase in expenses.

One might ask why people don't do this more often. Good question. The two people who were ultimately responsible for the future of the organization were the ones who did most of the work of transformation. They had to transform themselves. They changed how they thought, felt, and behaved.

Before these clients hired me, the focus of the people who worked in this organization was only to do their jobs every day. Work became stale and boring. Employees thought of the organization as a family business and talked about it that way, leading people to tolerate one another. The focus for the transformation was to articulate and embody direction while rallying full engagement of everyone as a viable member of the organization. They wanted to experience aliveness, care, and expansion, as the well-being of all was enhanced. There had been a fear that they would lose the qualities of familiarity and care that they associated with being a family business. These weren't lost and were in fact enhanced during the process.

These ideas came from the two executives, and they needed the support of an outside consultant or coach to articulate what they were sensing, to see and experience possibility and to help them become the people who could lead in the way they truly wanted. That was the work in the chrysalis, using the caterpillar to butterfly metaphor. People learned, changed ways of being, and engaged in new personal practices as well as new business practices and systems.

For people in some organizations, this might seem like what you're already doing and being, so what could transformation offer in that situation? If the organization is already an ideal place to work, so-to-speak, yet the leader wants to explore transformation, we know that she has that hunger for what is next. Through asking the leader to explore what she is curious about or what that future is that there's a fire in the belly to create, we can learn whether the route of transformation is possible or if the approach is one of improvement.

If I had simply advised these two executives that they needed to evolve beyond the family-owned approach to one of self-direction, there probably would not have been transformation. When one takes the advice to make changes without experiencing the internal drive, it is less likely that their way of being and relating to themselves, others, and their organization will change. They might merely have added new behaviors and processes to the current situation, like gluing wings onto a caterpillar.

One of them had already spent about two to three years involved in her own personal development, so she trusted the principles and me, her coach. Therefore, for other organizations, the process would more-than-likely take more time. Also, most leaders are very busy and want others and/or the systems to change, thinking that the problem is other people and systems. Even these two executives began their engagement certain that the problem was everyone and everything else. There was also a recession at the time. Employees were idiots. If a leader holds to the stance that it's everyone and everything else that needs to change, there will be no transformation.

Before the Transformational Process Begins

The Leader Must Be Fully Committed

The leader or person who desires the transformation must commit to the path. The transformational process can occur organizationally, departmentally, or individually. If the client is the owner, CEO, or department head, that person must be committed to their own transformation if they want the organization or department to transform (McGuire et al. 2015; Knapp 2005). The organization is the way it is as a result of the person who leads the organization (Anderson and Adams 2015; Barrett 2014).

It is possible for a department to transform or a person to begin transformation efforts even if the leader higher up doesn't transform and if the person who desires the transformation is committed to the process and is willing to assume the challenges that go with the fact that they're engaged in the process, but the organization as a whole is not (Block 2002). Those challenges are addressed below.

At some point, if the transformational approach is possible, the key people involved will experience a strong desire for a future they may not be able to completely describe. Sometimes, they experience the longing before they begin the process with their coach or consultant. Other times, as the leaders are going through a change process or change caused by environmental pressures, there awakens a desire for something beyond what can be seen as possible.

Typically, the key person will be either terribly frustrated with the way things are or will have an incredible vision that they feel compelled to listen to and manifest. By listen to, I mean that they are sensing a direction they would like to go in, which we sometimes refer to as a calling, or being called, or simply a very strong desire. It's the sense that "there is something I have to do."

Either way, the person who seeks transformation will have an imagining of what he would like the organization to be. As is often the case, it could start with a conversation about what he doesn't want but eventually what the vision is will be revealed. It will probably have the feel of a calling or an incredible drive of some sort. Many will be unable to speak about it in this way, but the coach or consultant who is working with a client will listen for this. It might just be a spark, which can be fanned through conversation, inquiry, reflection, and allowing oneself to dream. A fire in the belly starts with a spark. The fire in the belly is required.

The vision I'm referring to is not goal-setting, responding to market changes, or seeking to have the organization be more profitable or create a new line of products. If the focus is on the members of the organization becoming better at meeting goals or more skillful at being prepared for the future, that is wonderful – but it's just not transformation. The leader will need to have a focus other than goals from the beginning. That is, many times, what is wanted is more profitability or substantial, rapid growth. If the focus has always been profitability or growth, doing something to enhance that will be more of the same focus, so can't by definition be transformation.

And, for many seeking transformation, if higher profits and speedier growth were important, that can still occur. They are not mutually exclusive. As with the example above, my clients wanted more money, as they wanted to increase salaries and pay down some debt, among other things. However, the main focus was how people engaged with each other and with the work product of the organization. And, without knowing it ahead of time, they became prepared for a huge expansion that came by way of another business using their product.

The opportunity for the leader is to listen to that call, respond, and live it. Their inner knowing is calling to them like the caterpillar knows when it is time to prepare the cocoon. For most of us, listening to the calling and following through are easier said than done.

It takes time and nurturing. It takes time because our biology, emotions, thinking, and listening have to catch up to the imagined, and unknown, future.

The undertaking of transformation is to become the imagined butterfly. We notice there is no similarity in appearance between the caterpillar and the butterfly. In organizations, the change in appearance probably wouldn't be as dramatic as the insect's, as you would still have people and desks, customers, clients, products, services, and so forth.

The leader may not have a major shift in outer looks as we might normally think of it, yet the nature of their presence and actions will shift. Some people have had profound alterations in outward appearances, as some lose weight, begin to dress differently, and at a minimum stand, sit and talk differently.

However, the appearance that would be different would be the experiences of the people involved, how they interact with each other, how they participate, the character of the relationships, and possibly the products or services themselves or the delivery thereof. The conversations would be different. The focus of conversations, topics, and outcomes would be different. The perspectives taken, as with the butterfly, would be different. The world appears differently after transformation, so the ability to engage with the world changes.

And, similarly to the butterfly, which emerges from new cells, we actually create new neural pathways as we think and focus on things in a new way (Siegel 2017).

How Do We Get At the Organizational Butterfly?

The leader may, and probably will, start by talking about change, meeting goals, improvement, or being more effective, because that is what most people are used to talking about. That is the language of organizations. An education about transformation as described herein must occur so that the leader can make a choice and that education can also help her become freed up to share what she would truly like, in her deepest imagination, to pursue.

A way to explore what is calling the leader is to explore what the experience is that she desires. This includes addressing these questions:

- What do I want to create?
- How do I want people to be with one another?
- What sorts of products or services do I imagine?
- What experience will I be having when we make more money?
- What in my wildest dreams would I like to have and experience?
- Who and how would I, in my deepest longing, like to be?
- Why does this matter to me?

The imagined future must be challenging and far-reaching to the leader. If that potential isn't grand enough, it will probably be impossible to undergo transformation, because the people in the organization can simply get better at what they're already doing.

As we probe deeper, we usually find that leaders have incredible aspirations for themselves and the people with whom they work as well as their products and services. They want someone to help them believe in what they sense they really want to do.

With my clients, as I probed more, I found how much they cared about the people with whom they worked and that they wanted them to be around and work together for a long time. They wanted them all to enjoy their work and come alive at work. Things had become too routine. They wanted more passion, and yes, growth, but growth from all of the changes, not growth required to meet goals. If the focus had been to meet financial goals alone, some of the things we did might have been the same, but the flavor of the business would not have changed. There might have been some new energy with new processes and skills, but that would subside over time. The new focus was one that would be a long-term focus, with a commitment to maintain and continue to enhance the enjoyment of working and being there.

Checking for Commitment

The leader must be fully committed. Commitment is a somatic experience. That is, we *know* in all our being whether someone means what they say, as I *know* in my being whether I mean what I say. The challenge for coaches and consultants is to be present and aware enough ourselves to know if the client is actually making the commitment. And leaders want to be honest with themselves. That being said, it doesn't mean there might be doubts, concerns, or hesitation. We've all been fully committed to an exercise class or a marriage, for example, and a few weeks in we are ready to quit. But we don't. We don't quit because we revisit why the commitment matters to us, and we recommit. This is an ongoing part of any meaningful endeavor, but it is critical to pay attention to commitment at the beginning of an engagement to pursue transformation.

Besides exploring what the leader wants via transformation, the process must be explained before seeking commitment.

Overview of the Process of Transformation

It is invaluable to explain to clients the model being used. The one I typically use is described below.

Model for Coaching Leaders and Others

How the leader sees, interacts with and experiences the people in the organization and their work in general will be metamorphosed as he is transformed. How he sees, interacts with, and experiences the world around him is determined by his way of being (See Fig. 1).

Our way of being determines our way of doing, or what we do and how we do what we do, which includes the actions we take or don't take and what we say or don't say. As a result of what we do and how we do it, we have the outcomes and experiences that we have. Many who want things to be different in their life focus only on making changes to their way of doing. Sometimes that is all that is needed. For example, if I'm disorganized, I might merely need to learn a system for organization, and once I learn and use that, I stay organized. However, if I can't stick with this new system, my way of being is probably not consistent with staying organized.

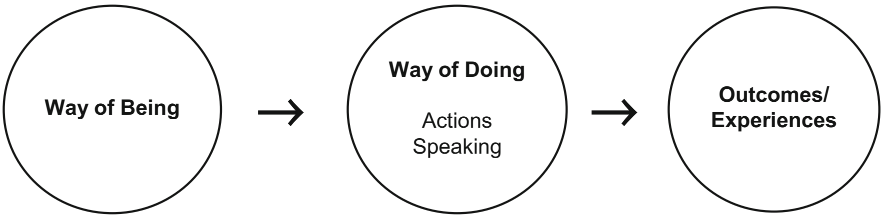


Fig. 1 Interrelationship between way of being and outcomes

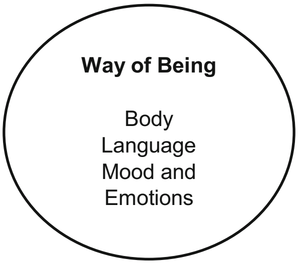


Fig. 2 Elements of way of being

Our way of being is determined by our:

- Body
- Language, which includes our thinking as well as our speaking and listening
- Mood and emotions/feelings

Each of us is always unconsciously doing what we can to keep our body, language, mood, and feelings in alignment (see Fig. 2). Our way of being must be consistent with the outcome and experiences we wish to have, or we won't be able to realize them.

Therefore, to alter our way of being, we alter our body, language, mood and emotions to align with the outcomes and experiences we desire.

There are numerous models available to illuminate a person's way of being. This is not the only one, by any means. Practitioners, however, will want to engage with one or more models in order to support a client in being able to observe his or her way of being and to design practices to support the shifts that will need to take place for transformation. Some of the models I recommend are from Integral Coaching Canada, Newfield Network, and New Ventures West. Practices are specific activities and exercises designed to support the development of new capacities, skills, ways of being, and ways of observing.

Body

Body means our biology; posture; breathing; tension; flexibility; health; stamina; physical sensations, such as aches; and how we move. For example, if a leader desires to experience others she works with as fully engaged and inspired, but her posture and movements are lackadaisical, that can explain at least partially why others aren't engaged. One aspect of posture that has been important for me personally is to ensure that my head and heart are aligned. My head tends to be ahead of my heart, as it is for many in Western cultures. However, this can create stress and the inability to listen to the intelligence of the heart (Pearce 2012).

The leader wants a body that is consistent with what is desired.

Language

Language means what we think, what we say, and how we listen. It impacts what we do and impacts ourselves and others emotionally.

Say these two statements out loud, pause after each, and notice the difference in your body and emotional state:

> I have too much to do today and no time to meet with Bob. I dread that meeting. Tell him I will get back to him when I can.

> I have many fascinating things to do today. Bob wants to meet. I want to support him. Please tell him I will call at 3 today to schedule it.

What do you observe in your experience? What would you want to do next after making each of these statements? Also, imagine the impact of those two statements on the person who heard them.

Besides becoming aware of our current thinking and speaking, we want to learn a language that is consistent with the new future we desire.

To be effective in any domain, we must know the language of that domain. Bird watchers have names for different birds and, as a result, can see birds I can't. I know a cardinal and a hummingbird and that's about it. All other birds are just birds to me. I have incredibly limited ability in the domain of birds.

Whatever organization you are in also has a language unique to it. If someone new wants to be successful in your business, they would have to learn its language.

To be effective in the domain of transformation, there is a language to learn and use. Language as used here doesn't mean a foreign language. It means knowing distinctions, such as those in this chapter, and talking in ways that support transformation. For example, we're looking at mood and emotions, body, and language in ways you might not have thought of before. In addition, depending on the imagined future, there may be other language related to that future to be learned. Conversations with people will include activities and topics that haven't been discussed before or will be addressed in new ways.

Thoughts are a component of language. Many aren't aware of the thoughts they are thinking all the time.

If you aren't yet skillful in observing your thoughts, here's a quick exercise to reveal the thinking that is occurring. Pause for about 20 seconds right now before you read the spoiler alert in the next paragraph. Just pause and listen to that little voice we all have talking to us ***all the time***. Pause for 20 seconds.

Did you hear it? It's that little voice that was saying things like, "What little voice? This is silly. I already know this." It is critical for the leader to become acutely aware of his thinking. It will inform him of his focus of attention, thoughts, and beliefs about people, situations, himself, the organization, sales, expenses, limitations, opportunities, and mood, for example.

Our speaking reflects how we experience the world and what matters to us. What we say has incredible influence on ourselves and others. Our speaking generates mood, emotion, and action, including non-action, and it influences relationships.

The leader's conversations reveal her relationship with her organization and the people with whom she works.

We can only listen for that which is consistent with our way of being. Here's a fun example. I love Diet Coke. Several years ago, I was with some colleagues ordering lunch; there were about 15 of us. The waiter was standing right next to me. I asked if he had Diet Coke. He answered me; I heard noise, but could not understand what he said. I had to ask him to repeat his answer as I focused on what he was saying. The person across the table from me and about four seats down heard him. The waiter clearly said, "I have Diet Pepsi." I couldn't hear him because it wasn't in my listening. My colleague drinks Pepsi, so easily heard what he said, because he was listening for Pepsi!

This selective listening is going on with us all day long; we hear what we are listening for. It takes practice to expand our listening.

Mood and Emotions

Mood is the underlying mood we bring to life over a consistent period of time. It is like the climate. An underlying mood might be resentment, resignation, peace, or curiosity, for example.

Emotions are like the weather and vary throughout the day. We can be excited about a new possibility 1 minute and then hear something that causes our emotions to shift to anxiety. Our emotions (also called feelings) and moods predispose our doing. We can only take actions and speak consistent with our mood and emotions.

Our organizations (since they are actually all of the people and their conversations) also hold a mood. You may have noticed when you've walked into your own workplace that you experience a change in the quality of feeling in that environment from where you were a few minutes before. Or, you've been in a store where you feel really comfortable or another one where you can't wait to get out. That's what we mean by the mood of the organization.

Example in Relationship to Model: This Is Not Transformation

Now that we've looked at our models, we can see that if the leader of an organization wants it to grow from a $20 million to a $30 million company, he can do that without transformation. He can focus on the way of doing and merely hire more people, come up with better products, and start marketing initiatives, for example. He can train people to be more effective leaders, managers, and employees.

I once worked with the owners of an organization who had engaged in some workshops that involved transformational processes. Those owners wanted to bring some of what they had experienced to the employees and managers in the organization. We did that, and the work we did was quite successful; profitability and market expansion continued. We did some transformational processes in the workshops, but they resulted in short-lived transformational experiences as distinct from ongoing transformational change.

The managers became more skillful at managing their coworkers. The owners eventually sold the company, and the new owner told them a few months later that one of the things he liked best about the company was the management. All in all, quite a success.

However, I realized some years later as I was examining what is and isn't transformation, that we hadn't done transformational work. As we worked together, the owners became much more skillful leaders, but the focus on leadership and management improvement was to increase growth and enhance the management, not transformation. The owners would have had to have undergone transformation in relationship to the people and the organization, and that was not the focus.

Practices

The work of transformation involves ongoing practices and conversations designed to facilitate the transformation. Practices are customized, purposeful exercises, and reading that impact the way of being, i.e., the body, language, mood, and emotions (see Fig. 2). They are used to develop specific capacities or abilities necessary to move into the desired future. This leads to a change in focus, actions, and speaking, which results in the desired transformational outcomes and experiences. Some are short-term, and some are long-term or possibly lifelong practices. All have an element of observation and reflection. They must also be designed in a way that the leader will actually want to do them.

Practices might include embodied reading, new forms of conversation, meditation, yoga, aerobics, writing, or skill development, such as listening or having difficult conversations.

Discussions with a skilled practitioner, such as a consultant or coach, focus on ensuring that what is being learned and practiced is integrated over time. Conversations should be focused on assuring the leader is able to observe the changes he is making and that the changes are becoming a natural way of being. Borrowing from Wilber (1996), as we develop, we want to transcend and include. We of course retain all that we know and are up until this moment, i.e., include, and then apply ourselves to our development in a way that we go beyond where we are, i.e., transcend. Some current abilities go into the background, yet are still available to us, and as we alter our way of being, the new aspects will be in the foreground.

Practices are designed throughout the process taking into consideration the time they will take to do in relationship to the person's other responsibilities. The coach will also want to ensure that the leader actually embraces their value and desires to follow through. The design of the practices is informed by both what is occurring for the person now and what will assist the ongoing transformation.

The transformation is ever-evolving: as the way of being is expanded, new possibilities, discoveries, ideas, processes, and systems will arise that could not have been foreseen.

After reviewing the models and process with the leader, she can choose if she wants to pursue that path.

If she is ready to begin the work of transformation, the leader would have accessed and connected with a fire in the belly for transformation, experienced commitment, and understood the process. Now we begin with one of our first exercises, the self-observation exercise.

Applying the Process

Awareness

The first step is for the leader to become aware of her language, body, emotions, and mood. Through awareness, new possibilities and choices become available.

Without awareness, we are engaging in behavior and conversations that are habitual and automatic, usually based on what we've always done and what we've learned from others and our culture. Unless we have practiced self-reflection, we won't have the awareness to make these choices (Almaas 2008; McIntosh 2007; Brothers and Kumar 2015).

Here is an example of what can happen when we take some action and think that will resolve a situation, without being aware that our way of being was what contributed to the situation in the first place.

A leader might fire an employee who reported to him, due to poor performance, and hire someone else. If the fired person had been performing poorly for some time and much energy had been focused on the situation, there is a likelihood that a similar circumstance will develop either with the same position or elsewhere in the organization. The people in the organization have experienced this negative situation for a period of time, so they will likely find – unconsciously – some way to continue to have a focus for their negative conversations. The odds are very high that either the new person will not perform well, create some disturbance to merit being fired, or that something else will develop in the organization that gets the same attention and feeling qualities. We tend to maintain the status quo unless we are aware and vigilant. I will discuss this more in the section entitled Homeostasis.

Because the person newly hired is different, or the situation is different, we might come up with explanations for why it's not working out that are unrelated to what had gone on before. That is why it can take a long time to catch on to the reality that we keep having the opportunity to have a disturbance that needs addressing.

The manager of the fired employee will want to reflect on the impact his way of being had on the situation involving the fired employee.

We can think of it like a closed loop. As long as my way of being remains as it is, I will only be able to have outcomes and experiences that are contained in that loop. They might be more, better, expanded, or contracted but will be similar in the lived experience.

The work of becoming more aware prohibits many people from considering the transformative path. People are afraid of what they might learn about themselves. I have heard that expressed many times from potential clients or people who have become clients who told me later why they had never pursued coaching. This fear was never one I had personally. But, rest assured, I have never worked with anyone – and I've worked with thousands of people – who ever revealed anything to themselves that they didn't already know or that was horrifying. Quite the opposite, really. I find people are truly inspired by the awareness, possibility, freedom, and control they experience as they become more aware. The control they experience isn't over situations or other people but with themselves. It actually brings an incredible ability to focus and feel empowered. It is really quite beautiful and liberating.

For transformation to occur, we have to look at and study ourselves. Many times we think we want transformation in order to get away from how things are; we want things to change out there, or we want other people to change. We can't change other people; we can only change how we experience them and relate to them. This doesn't mean we can't ask others to do their own personal development work. But, as noted before, we want to stay vigilant that our own way of being with the person had some influence on how they are in our environment.

Like the caterpillar, we have to get in there and be messy. We get to be messy with ourselves and with others. We get to examine what we're really up to, what we want, and who we want to be. Transformation is all about the person or persons seeking transformation, and not anyone else. I promise you: if you are seeking transformation, what you are seeking is seeking you (Huber 1990).

We observe that what we focus on via our body, thoughts and emotions impact what we do and the outcomes we experience. Our way of being causes us to focus our actions and speaking a certain way. Whatever we focus on expands. Another way to put this is that energy follows our attention. An element of transformation, then, incudes focusing our attention in ways other than our norm, toward desired outcomes and experiences.

And with awareness comes responsibility. Once we become aware of our way of being and realize we can make choices, we can be responsible.

Sometimes I work with middle managers of an organization engaged in transformational work. When I offer that an organization will mirror the leaders of the organization, they invariably ask if they can blame everything on their superiors. The question is asked somewhat in jest but with a bit of hope to hear that they might be able to abdicate the responsibility of which they were becoming aware. My response is that now that they are aware of this, they have the choice to be responsible, being with their managers as well as those who report to them, to create the organization they truly desire!

Once the leader has decided to pursue transformation, becoming skillful at self-observation is key. Here is a sample exercise.

Self-Observation Exercise Example

Practices are always designed taking into consideration what the designer believes the ability of the client is to engage with the practice. For purposes of this sample, I am assuming the leader seems fairly self-aware.

I would ask the leader to observe himself in conversations throughout the day for two weeks with these three questions in mind:

1. What is the purpose of your conversation?
2. What is your experience (feelings and physical sensations)?
3. What do you observe about how the other person or persons respond?

At the end of the day, or at other times, the leader would bring to mind two or three conversations and write his responses in a small notebook that he would carry with him. Some people prefer to use their computer to capture their thoughts. At the end of each week, he would be asked to review his notes from that week and write his responses to these questions:

1. What did you learn about the focus areas of your conversations?
2. What patterns of your experience do you notice?
3. What are you aware of now that you weren't before about how others respond to you?

At the end of the two weeks, we would discuss what was learned and what that made possible. We will have insights into the client's ability to observe and reflect as well as what he is paying attention to and what, at this point, seems important to him. All of this is taken into consideration when designing the next exercises and practices.

Practices

Over time in my coaching approach, the leader will engage in various practices, as described above.

I was working with an executive who was concerned that the team of people he was leading were not as engaged and creative as he would like. He knew his coworkers were very intelligent and had a great deal to contribute, but they were merely doing their everyday work without striving to enhance or advance their department's way of delivering services to the rest of the organization. He wanted them to participate by offering ideas for improvement and innovation, and he couldn't understand given the caliber of people why this wasn't happening. During our first meeting, I noticed that he sat in his chair in a slouched position and that he talked in a cautious manner, so I asked if he led staff meetings that same way. He said he did; the person who had preceded him had been somewhat intimidating, and he wanted people to feel safe. He had embodied that really well; people loved working with him and the others in the department.

I offered metaphors that could illuminate his current way of being and what a new focus could be to create the work environment he envisioned. I proposed that he was being a guardian of the community, much like the Jimmy Stewart character in the movie, *It's a Wonderful Life.* His new focus would be that of the Mel Gibson character in *Braveheart*, emphasizing his ability to communicate in a way that others were inspired to be their best and pursue a powerful vision. We designed practices and activities that would support the development of the capacities of determination and urgency as well as the abilities to challenge others and evoke inspiration. At the office, one would see him sitting up straight, on the edge of his chair, and speaking more quickly and enthusiastically. Some of the practices to support these actions to become embodied and natural included going to the gym, doing aerobics, practicing the mountain pose, and using free weights. His body became more energized, and he became comfortable with the new posture and way of interacting.

Other practices included having conversations with employees about what mattered to them, taking perspectives of others and articulating a vision. He cultivated an entirely new relationship with challenge as a way to actually support others in growing and experiencing his care and belief in them, without being intimidating. He also became skillful at observing his emotions and modulating his emotional state to support the experiences he intended with others.

The practices of this executive impacted the body but also the emotions, mood, and way of speaking. The reflective part of the practice invited him to observe and write in a journal what he was thinking, feeling (physically and emotionally), and learning as he did the practice. As he transformed, so did his department.

The body is often ignored when seeking change in organizations. Yet, the leader will want a physicality that is consistent with the transformed organization she seeks. A simple example is one where the CEO knows she wants people in the organization to talk with her about issues and ideas. The CEO moves her head, arms, and hands quickly, walks hurriedly, and bounds out of the chair ready for action at the end of a meeting. When someone moves quickly, others can get the message that there is no time for communication that is exploratory. A practice might invite the CEO to walk more slowly and pause a few seconds at the end of a conversation before leaving the chair.

Practices or conscious habits don't have to be complicated or take a lot of time. Paying attention to what is experienced in the body and what messages the movement of the body sends is key. Over time, a leader who has the fire in the belly for transformation will begin to come up with her own ideas for practices as she builds the language and understanding of transformation.

If I want major change, such as transformation, I must have a body that is filled with life, vibrant, alert and strong, as well as capable of stillness and patience. The leader or coach will want to ensure there are practices that support the development of this body. You will find more about these capacities in the section on Challenges.

Specific Distinctions, Skills, and Capacities Critical to Successful Transformation

Choice

When we become aware of our current way of being, we want to remain vigilant, so we can make choices that align with the future we desire. We can only make choices when we are aware that we can make choices and aware of the ones we are making. If a person believes they don't have a choice, then they don't for practical purposes. However, once we become aware, as anyone reading this now is that we always have a choice, we want to remember that (Koestenbaum and Block 2001). I might not like the possibilities that I am choosing, but I still have a choice. In business, people often say they don't have a choice but to lay people off. Yes, they have a choice; the consequences and other possible choices would just be different.

Way of Thinking of Business

Many people think of business as a machine. It will be revealed in the way the leader talks about the organization and the people who work there. "We have a well-oiled machine," or "we need to become one" is often mentioned. One can't transform a machine, so from my perspective, it's not a useful metaphor for the business. The leader will find it valuable to explore various models or metaphors that allow for transformation (Morgan 2006). Possibly thinking of the business as people working together or a community or an organic process will be more suitable.

The leader will also want to examine her relationship with coworkers. Many people unconsciously consider those who work with them as tools to support them to get their work done. And, we tend to relate to people as fixed, rather than evolving. None of us is the same person today that we were yesterday. We have had 24 hours of new experiences, received information, and gotten older. Nothing is the same, yet we tend to relate to each other and the world as if they are the same today as yesterday.

Since an organization is actually the people and conversations, the leaders will want to relate to others as they relate to themselves, as human beings, not as mechanical objects. Transformation doesn't involve changing some things and moving things around. It actually requires relating to and being in the world in whole new ways.

Speech Acts

We coordinate activities with others through our language, in speaking or writing. Attributing the work of John Searle, J.L. Austin, and Fernando Flores, Brothers and Kumar state:

> " . . . [N] o matter what, when human beings are thinking or speaking, we are always involved with one or more of the following:
> 1. Assertions
> 2. Assessments (a special type of Declaration)
> 3. Declarations
> 4. Requests
> 5. Offers
> 6. Promises" (Brothers and Kumar 2015, p. 181)

Being skillful in the application of these speech acts is key to experiencing the relationships, work environment, and results we desire. Sieler provides these descriptions:

- *"Assertions* deal with deciding what is and is not factual in our world. This is not a trivial matter as we base much of our reality and daily living around what we know to be factual.
- *Declarations* are statements with the force of some authority behind them, which immediately bring about a change in circumstances and the generation of a different reality.
- *Assessments* are our opinions and judgements.
- *Requests* are attempts to have people do things for us.
- *Offers* are when we put ourselves forward to do things for others.
- *Promises* are when we commit ourselves to do things for others." (Sieler 2003, pp. 140–141)

I will go into more depth here with regard to assessments, because being aware that our assessments are opinions and judgments is supportive as we work to transform an organization. Most of us treat our assessments as facts or assertions.

There is nothing wrong with assessments; in fact, they are necessary to be able to get through the day. If I am considering hiring someone, for example, eventually I have to rely on my assessment that they are the person I want to hire for the position.

In our everyday work, we have made assessments of people, probably without realizing we have done so, and we engage with the person consistent with those assessments. As mentioned with the above "Example of Business Transformation," the leaders had assessed their coworkers as idiots and were relating to them as if factually they were idiots.

For transformation to occur, one can't just say, "I won't think that way anymore" but must engage in an inquiry into the validity of that assessment. The validity is determined by grounding the assessment. An assessment is grounded if the standards being used are clear, and there are actions, events, or behavior that the person making the assessment has observed. The clients who had assessed people as idiots, for example, realized that they had never asked themselves what their definition, or standard, for idiot was and what actions therefore would qualify as idiotic behavior. Although characterizing people as idiots may seem overly dramatic and easy for us to dismiss as unusual, we are always making assessments ourselves, and we want to be skillful at distinguishing grounded assessments from assertions.

If a negative assessment is grounded and valid, then there might be decisions to make. I might decide that what I want to do is pay attention to other valid positive assessments that support us in working more effectively together or work with them to improve. If the assessment is ungrounded and, therefore, not valid, I will want to focus on other, grounded assessments of them.

Once I have made a new choice, I want to be aware that my emotions and physicality may take a while to catch up with it. The next time I see them, my habitual way of relating will probably automatically be engaged, so consciously planning how to relate to them prior to seeing them will be extremely useful.

During the transformational process, it will be key for the leader to become aware of the assessments she has made about herself, her organization in general, the employees, and so on. Many people make an assessment when there is a recession that business will not be as good as it has been. That is not a fact. Once the leader makes that distinction, she has much more freedom to choose and create what is next for her and the activity of the organization. Then it takes vigilance to remember the choice. Again, emotions and physical responses will be automatic, so being mindful of this is critical to being able to stay focused on what is really wanted.

Commitment

A healthy relationship with commitment is essential to the successful transformation of an organization. We always know what we're committed to, based on the results we have in our lives. If the organization is not as the leader would like, then the leader will want to accept and own the fact that he ***is*** committed to the way it is. If the person is new to the organization, he could proclaim that someone else caused the organization to be where it is (Conner 2006).

I received wonderful advice from a superior when I was the executive responsible for transformation at an office of a training company in New York City. When I first became the Area Director, he said I could do whatever I wanted to the first three months: hire anyone, fire anyone, and realign staff, and during that time, I could use as the excuse that someone else had made all of the decisions related to the choices I was making. However, after those three months, I should relate to the situation as if I had made every hire and every other decision related to the business up to that point.

Let's say something catastrophic has occurred, and the leader cannot see how anything they did caused the situation, such as a flood or the loss of a major client. We can either let those situations and the assumptions we have about their effect on us and our organization determine what we do next, or we can remind ourselves of our commitment and bring that commitment to our experience and actions going forward. I can choose how I wish to relate to the circumstances in front of me and the experience I desire to have. Yes, there might be a time for grieving, sorrow, and regret, but if I dwell there, I will not be able to transform.

For transformation to occur, the person wants to acknowledge that what they experience and have as results are due to something related to them: their way of being, their way of doing, their focus, and their choices. Transformation will not allow excuses or justifications.

I am not saying we create our own reality or that we caused the catastrophic event. Life is too complicated and mysterious to say that. What I am saying is that we can choose how to relate to the situation and what action to take next.

When I embody that "I created this," there can be great power and incredible freedom in that. If I created what I have, I can create something else. Even though I didn't create a recession, I create my relationship to the recession, i.e., how I talk about it and what I do in my organization as a result of it.

One of the keys of transformation is acting in accordance with commitments. However the leader wants the organization to be, it is imperative that she models that behavior at all times. And, when having a bad day, she consciously attends to herself and all interactions, including emails, correspondence, and writings rather than let the bad day govern her behavior.

I have found that most people judge themselves harshly for results they have in their lives with which they aren't satisfied. When we judge ourselves in this way, we tend to take further action consistent with that negativity. Remember that our mood and emotions are our predisposition for action. We are human and will experience various emotions. When we are aware of ones that aren't supportive of the future we'd like to experience, we want to acknowledge them and then bring compassion and forgiveness to ourselves and others.

Another distinction that is useful is to acknowledge that a person is not the same as their behavior. I am a unique human being, whole and complete and beautiful as I am. I do and say things. However, the human being I am is not what I do and say. The two are separate. Remembering that distinction is supportive in accepting what is in front of me without assessing myself as wrong (or right) or bad (or good). Otherwise, the assessments about myself and others will not be supportive of transformation. We are much more resourceful and effective when we accept what is in our lives, without judgment. I'm not right or wrong or good or bad because I have what I have. It just is what it is, and I'm committed to it, or my experience of it, because it is the way it is and/or I'm experiencing what I'm experiencing. The results and experiences are information. I repeat: the results and experiences are information. Now what?

This is also not a flippant way of relating. It's one that allows for the most responsible and creative response to a situation.

At the time of the events of 9/11, I was working with a client in a tourism-related business who had 12 offices responsible for sales and client service on the east coast of the United States and in Canada. Eleven of the 12 managers declared that there was no way they could make their sales numbers after the event. We discussed the assessments and commitments they were making, but each of them was determined in their commitment to succumb to the prevailing conversation about their industry. The twelfth sales manager, on the other hand, was committed to meeting his goals in spite of the events. He wanted his bonus! By being creative in how he packaged his services, securing new clients, and focusing on his commitment, he met his numbers. None of the other eleven did.

There can be times that we think we are committed to something, yet not able to accomplish it. It may be that we have competing commitments of which we are not aware. For example, the sales manager who succeeded at reaching his goals realized early on that he had a commitment to be a team player with his eleven counterparts, which would have meant that he would have followed along with their decisions to abandon their goals. He had to decide which of these two commitments would prevail.

Discussing Transformation with Other Members of the Organization

Some people choose to let other members of their organization know what they are doing from the very beginning. However, that is not necessary. What is required, however, is that before any specific changes are made, the leader has a conversation with people that there will be a change, what that change is, and why it is being made. For example, if some of the language that has been used is no longer appropriate, the leader will want to educate others about what has been learned and what will change. If people aren't informed of the change prior to acting on it, they become fearful or uncertain. They will make up a story about it, so it is better that the leader fill in that blank.

The leader will want to be sure to walk their talk. Nothing is worse than saying things will change and not making the change. The leader will be seen as not credible. If mistakes are made, or things get messed up, acknowledge it and recommit. There will be mistakes. It will get messy. No doubt about it. The leader will want to be honest and vulnerable.

Challenges

Challenges can lead to breakdowns that can be discouraging or result in a person wanting to abandon the process. However, by being aware of the potential for breakdown, which is natural in any change effort, transformational, or otherwise, we can be prepared and/or be less surprised. We find challenges with our conversations, internal and external; relationships that can withstand the stress of change; systems that are out of alignment with transformation; our instinctive need for homeostasis; our demand for control and predictability; our erroneous belief that others need to change, but not us; and the humanity revealed through emotions.

Conversations and Stories

We go about creating the organization, anew, every day, through our conversations. However, most of the time, the people have the same conversations with the same people every day, proverbially. Our conversations are both internal and external, i.e., what we think and what we say. Therefore, most of the time, we keep creating the same day over and over.

One way we hold the organization in place and stop or hinder transformation is by having the same conversations, internal and external. Sometimes, we call that a story. We all have stories to explain how and why things are the way they are. For the leader to transform, many conversations – and stories – must change to align with the desired future for the organization.

I have never worked with an organization where there wasn't a great deal of water cooler conversation about people and what is happening in the work place, i.e., gossip. Those behind-the-scenes conversations will be the glue holding the old organization in place if not acknowledged and new conversations begun to replace them.

Leaders want to be sure their conversations relate to what matters. I worked with an executive in an international consulting company, and there was concern about the level of upselling by the consultants, as they weren't meeting goals. I asked her if they talked about it. They did not. She was emphatic that everyone knew what their goals were. I reminded her that what we focus on expands and that an organization is only the people and the conversations. If it's not talked about, it unconsciously seems unimportant or people don't remember. The organization was experiencing rapid growth, and the people were concerned about the management of it. Their weekly phone meetings evolved from general discussions about what was happening with clients and sales to asking specific questions related to upselling, relationships, and account management. As the conversations became more focused, people came to the calls prepared to talk about the goals. Mechanisms for reporting and metrics were created, and they were amazed at how quickly this new structure for conversations and reporting became integrated. Revenue climbed, and they effectively managed the expansion, which some had been very anxious about their ability to realize.

Internal conversations include what we tell ourselves all day long about others, ourselves, how to make money, relationships, business in general, our organization, the future, money and sales, for example. That influences what and how we say and do what we say and do. We want to choose what we want to think about and focus on. That sentence makes it sound easy; it is not. It requires awareness and discipline.

Relationships

Often people don't have relationships with others in the workplace that are strong enough to withstand the challenges and discomforts of the transformational process. We build those relationships through caring about each other and knowing what matters to those around us by asking them. What is often overlooked is engaging in the chitchat that we think is trivial, yet strengthens our bonds with others. We ask, for example, "How was the weekend," with curiosity and attention. A practice might be designed to have those conversations with coworkers.

Systems

Organizations have structures and systems that have been created over time. These include things like billing, marketing, meetings, software, and email use. They have a lot of energy and practice attached to them. It is "how things are done around here." They may or may not be supportive moving forward. In any event, they will have a strong tendency to support the status quo. If we keep doing the same thing over and over, we keep having the same outcomes and experiences. Many systems will still be appropriate, but the leader will want to explore the relationship people have with the various systems, the conversations connected with them, and possibly reorient people to them in a way that is consistent with the transformation or make required adjustments.

Homeostasis

All human beings desire homeostasis (Leonard and Murphy 2005). We are most comfortable with the status quo, even if the status quo is scary or extremely challenging; it's what we know. When things change even slightly our whole system goes into red alert: "Something is different, something is different; stop it!" We and the people in our organizations relate to change like a thermostat relates to the temperature in the room. At home, we set the thermostat to 72 degrees. In the summer, when it becomes 73 degrees, the air conditioning comes on to cool back down to 72. Our thinking, biology and emotional systems are very similar.

Obviously, during a transformational process, things change. Relationships change. Systems and structures change. With true transformation, there are many unknowns. We hate unknowns. To be skillful in our work of transformation, we want to be aware that this is natural and bring compassion to ourselves and others during these times. For many of us, it will be appropriate to develop the capacity of compassion, if we are not yet skillful at calling it forth.

Need for Control and Predictability

This need for control and predictability is consistent with our innate need for homeostasis. Yet, transformation is not predictable. We can't plan when we're ready, or when we'll arrive. Obviously, for organizations, this is very challenging because most are oriented toward a mechanistic approach, desiring control and predictability. With too much control, transformation cannot occur. Transformation is an organic, evolving process. The person and organization must be flexible, available and open to what is in front of them and ideas that come to them. Transformation does not occur on our timetable. The timing comes from the intention and engagement of the key people, combined with the mystery and wisdom of the Universe.

Transformation by definition involves going through a chaotic, unknown stage, to something innovative. It doesn't always look chaotic but will feel chaotic.

One of the challenges for both the consultant and the client is that we work with what is in front of us now. The design and practices evolve as those involved learn and grow.

This need can also make it challenging for the leader to let go of how he thinks things should be or what he should do. Most of us have been taught all of our lives that the experts know better than we. We do research and seek the answers out there, from experts. But transformation is an inside job.

The leader must go beyond intellectual concepts or wanting to take someone else's ideas. That being said, research might occur along the way, as the leader or others involved are inspired, but the research is to support the direction, not the other way around.

Leaders Want Others to Change

One of the biggest challenges is that leaders or other senior management want everyone else to change. Top management typically has become so successful in how they currently are and currently do things that they are very fearful (whether they know it or not) of making major change. What do we do about this? Be honest. A person who will pursue transformation as a path will have a big vision and a big heart. He is sensing a calling or greater purpose than what he is doing now.

If he won't do the work of transformation, he can still do work that involves enhancing, improving, developing, and being more effective.

I was working with a team of people who thought they wanted to pursue transformation. We explored what it would take from them and me. They were all in. It became clear over time, however, that they really didn't want to do their own work to transform. This occurred, I believe, because they began reaching income goals and enhancing client relationships. They were busy and wanted the other members of the staff to change. We did continue activities of change management, with success, but the hoped-for (mainly on my part at this point) transformation did not occur.

As long as I've been coaching and consulting, I have not found a surefire way to predict who will and won't stay the course. I have worked with people whom I doubted would do what it takes, and they surprised me. Why do I take them as clients? Because of what I said earlier; sometimes, learning new things and engaging in new practices begin shifting the perspectives, mood, and feelings (predispositions for action) so that they are then able to listen to the strong desire for transformation.

Emotions

The changes that will be made will cause people in the organization to experience fear, doubt, sadness, loss, uncertainty, and possibly even disloyalty – as well as excitement, anticipation and risk (Bridges 2001). All will experience the phenomena of homeostasis, with this sense that something is off, or wrong. In addition, when we let go of old conversations or habits, we experience the loss of them, even if they were what we call bad habits. We become deeply committed to and loyal to the status quo. When we change something about the status quo, even when we are excited about the new possibility, we will experience the pull of wanting to stay with what is, because at some level, we feel we are making the current situation wrong. We aren't, but our orientation is to experience that. As Joseph Chilton Pearce, the author and visionary said, "To live a creative life, we must lose our fear of being wrong."

When I changed careers from that of practicing law to the training and coaching worlds, I was excited and happy with that decision. I moved from Little Rock, Arkansas, to San Francisco, California. I drove three days alone, and knew that if I had made a mistake, it would probably become very clear during that long drive. I never looked back. But, it took over a year for my emotions around the change of careers – from being a lawyer to being a trainer – to catch up. I was proud of being a lawyer and wasn't quite comfortable telling people about my new work, which was not as well-known a field and not as easy for others to understand. My identity had changed. The leader's identity, as well, will change. His relationship with leadership will change.

The feelings of everyone are not to be ignored or dismissed during the process. The people in the organization are human beings, with all that brings. We are not talking heads or robots, although we like to think that.

To humanely tend to the experience of all members of an organization, a way to support people to experience and express their emotion will need to be incorporated. There may be skills to be learned, and a way of gathering and communicating about the changes will need to be in place.

Specific Capacities and Skills to Develop or Enhance Transformation

When we think of change, we often think of taking new actions or doing the same activities in a more efficient or effective manner, i.e., focusing on our way of doing. With transformation, some of that will occur, and there are competencies and capacities in addition to new skills that are key to successful transformation. We're going to explore faith, trust, intuition, relationship with Source and patience.

Faith

There is a requirement to let go of our attachment to the way things are for transformation. We have to let go of first base to get to second. When I was Area Director for the training company in New York, I was charged with meeting some huge goals. I knew commitment. My job depended on me meeting the goals. We weren't meeting the goals. I was frustrated. The staff and other interested parties were frustrated. There was resentment – me of them, them of me. I tried to get better at motivation. I tried to have more inspiring meetings. I tried. . ..

Finally, I was tired. I was done. I didn't like who I was anymore. I didn't like how I was being with others. And, what was interesting was that we all were focused on the same goal. We all wanted IT.

As I engaged in my soul-searching, realizing I was tired of it all, I acknowledged what I did want, though. I wanted to love people. I truly wanted to experience and accomplish creating a working environment where I could experience loving others. That's the reason I was doing the work I was doing in the first place: I was trying to make the world a better place. However, none of the people I was around was having a good time, especially around me. I will tell you, no one was feeling any love. I tried to be a good leader. But, as explained above, my way of being was coming out of frustration, some fear, self-doubt, and desperation. So, no matter how much I was trying to be light or engaging as I was doing whatever I was doing, my emotional state was felt by others. We were all acting appropriately, even if not feeling it.

Loving people didn't mean kumbaya either. It meant deeply caring for others and connecting in a way that they experience the care. As one of my mentors said, "People don't care how much you know until they know how much you care." I still challenged people; believing in people and their highest possibilities is part and parcel of loving them.

I thought, "F— it! I've always wanted to love people. What I'm doing now by trying to drive us, keep people motivated and inspired isn't working, so I'll just be who I really want to be." I didn't know how that might turn out, or how I might go about it, but I decided to trust this strong desire I had to be the person I truly wanted to be at that time.

Yes, you guessed it: I transformed my way of being, and the whole organization, including results, transformed, and we began meeting our goals! It's only in looking back that I'm aware that it was a transformational process. I didn't decide, "I'm going to transform." I had to let go, though, of my primary focus on numbers. I repeat: I had to let go of my ***primary*** focus on numbers.

I didn't totally take my focus off of the numbers. I still wanted a job, ***and*** I wanted all the people around me to experience the success of us meeting our goals.

Here is an analogy of what was occurring. I was playing basketball watching the scoreboard. It's hard to make baskets doing that. I started playing the game – all out – that I really wanted to play and ***occasionally*** looked at the score.

Often in the Western culture, we focus on what we think we ought to be and who we have always been, but if that's not the game we ***really*** want to play, we probably won't be successful at it or will in some way kill ourselves playing it. People do literally get sick living in ways they don't truly want to; sometimes their spirit dies out. Struggling to be successful might be a hint that the person is ready for the work of transformation.

I was already involved in coaching and the personal development field, so I had practices and support during this process. Even though I was clear that I wanted to alter my way of being with people, I woke up the next day feeling the way I did historically. I had been frustrated and concerned yesterday, so I awoke today the same way. I reminded myself how I wanted to be and throughout the day, in every interaction, I chose what to say, what to feel and how to act based on what would be consistent for me to lead with love.

I finally listened to myself.

The commitments weren't competing any longer. I became committed to both: loving people and meeting our financial goals.

When we surrender to what we truly want, or open to meet what seems to be calling us, new ideas will come to us. But, it's taking that step: having faith. The leader has to be able to sit with the unknown.

Faith is critical. I have to have faith in my ability to stick with my journey. That's one reason relationship with commitment is so important.

Trust

We have to have faith in ourselves and other people. To have faith in others, we must trust them. This means understanding trust and how to work with trust. Most people talk about trust, but don't really understand it. Solomon and Flores (2001) describe three forms of trust. They are set forth distinctly in order to illustrate our lack of understanding of trust: simple, blind, and authentic. Simple trust is what we often find when people hire someone new. The person is hired and others trust that they can do the job, even if they've never seen them perform the work. Blind trust involves a situation where someone has promised to deliver something, failed to do so, and then again promises to deliver. It's blind because the experience has been that they failed to deliver, but we blindly accept a new promise without more exploration of their ability and intent to fulfill it the second time. The third is authentic trust, where the parties have a history of agreements made, fulfilled, sometimes broken, but apologies made and clarity around ability and intent to perform is had.

In an organization, when there is intent to transform, we want to be able to trust that we can move into unknown territory and that there are people capable of fulfilling promises. Understanding trust and working with others to build trust is critical. In addition, when we move into the unknown future, those who follow want to know that they can trust the person or persons they are following.

Intuition

We have all experienced our use of intuition, even if we didn't think of it that way. There have been times we just knew we should change jobs or pursue a project. There was a sense we had that it was the way to move forward. Our intuition actually is a very valuable ability that we want to develop and continue to enhance. It's particularly useful in the work of transforming an organization, because we are moving into an unknown and uncertain future, and decisions will be made that require listening to our intuition.

I use listening, even though there are no words or sounds necessarily, as I think of being in communication with the world and universe. One client became very skillful at listening to his intuition about when to talk with one of his partners, what to talk about, and how to open the conversations. They had been having challenges in their relationship. If he had only listened to his rational mind and his emotions, he would have engaged in intense, no-win interactions. His rational mind was telling him he needed to get things resolved immediately. His intuition was revealing that he would be able to sense a time that would be better to have these important conversations. He was able to experience being in more of a dance with his partner, whom he cared for deeply, and having meaningful conversations that moved the relationship forward as they discussed issues within the organization.

Being rational is using only one part of our brain. Intuition, which includes sensing, listening for something beyond our rational thinking, and creativity use another part of our brain. Many business people are working metaphorically with one hand tied behind their backs, because they aren't developing and accessing this other intelligence we all have.

As with any skill it takes practice to improve. Regular meditation is supportive, because that practice includes being still. We become more skillful at focusing our attention which will make us more present and aware over time.

As they're developing this ability, some people keep a journal of ideas and possible decisions or actions they take upon their intuition. Over time, they learn more about the time or situations when their intuition was accurate. As a result, they become more skillful at listening and taking action based on intuitive guidance.

Relationship with Spirit, Universal Guidance, God, or Source

I believe that there is a universal intelligence and wisdom that we are all connected to and have the opportunity to access. You don't have to believe that to utilize everything else that is offered herein related to transformation. However, belief in and relationship with the Universe, or Source, will probably enhance your ability to have faith, trust, and patience in others, yourself, and what is calling you to pursue transformation.

> For the big decisions in life, you need to reach a deeper region of consciousness. Making decisions then becomes not so much about 'deciding' as about letting an inner wisdom emerge.
>
> -W. Brian Arthur, economist and author of *The Nature of Technology* (Jaworski 2012, p. 13)

Including a practice to ask for guidance from Source can be useful. Ideas your rational mind won't be aware of will reveal themselves.

If this doesn't correspond with your beliefs, you can engage in a similar practice relying on your own intuition. Ask questions about issues you have or direction you seek and listen for what comes.

Patience

Patience and faith usually go hand in hand. The leaders in the organization must have faith that their sense of where they want the organization to go is possible and believe in their ability to stay the course. They know they are sailing to the other shore, but they don't know what they'll find there; they've never been there before. They make adjustments to the sailing as they go along depending on the wind and other weather.

The capacity of patience can be nurtured during the evolution. The leaders will engage in practices personally suited for them to develop this capacity. Some might meditate. Some might walk slowly, practice pausing before speaking or do yoga, for example. As has been noted previously, with the design of all practices, the body, mood, emotions, and language are taken into consideration, and an element of reflection is included.

As we develop faith, trust, intuition, and patience, we become more skillful at allowing ideas to come to us and emerge. These are ideas that come from being quiet and still – not those where we use our rational mind and try to figure things out.

Relationship with Client

It is important that the coach or consultant and client have a mutually respectful and mutually trusting relationship, where they both feel free to fully express themselves. Since much of the work of the leader is becoming aware of her automatic thinking and behavior as well as emotions, she will have to be comfortable with being vulnerable and straightforward with the coach or consultant. And the coach or consultant has to know they can be direct, honest, and open with the client while being empathetic. Both have to be able to tell it like it is to each other. Both must be able to be curious and flexible. As the philosopher Ken Wilber (1999, p. 104) offers, "But what if, instead, we make the following assumption: the human mind is incapable of producing 100 percent error. In other words, nobody is smart enough to be wrong all the time."

The coach or consultant must be able to provide a mirror for the client and not be afraid to do so. The coach must deeply care for the client to be able to relate to them in this way. There can be disagreements and tough conversations, and when those occur, the coach will want to do what is necessary to repair the relationship before moving forward. I've had plenty of tough love conversations, and they're uncomfortable for us both, but I remind myself that I was hired to support them in their heart's desires and not to let them off the hook. This is another way to let them know that I believe in them and their ability to succeed on their path.

There are also times that clients have told me things aren't working for them. Even though that is uncomfortable to hear, I am grateful that we have a relationship that allows them to be honest, and we can adjust what we're doing and how we're relating so we can move forward productively.

To do the work of transformation, the coach or consultant must have lived the experience of transformation in their own lives. Otherwise, the coach will probably not be able to advise, appropriately intervene with or coach the leader. Many of us have had transformational experiences in workshops, but those are state experiences that dissolve over time. The coach will want to have been successful at sustaining transformation.

I ask for guidance often from the Universe for how to support clients. One day I had what seemed to be unusual guidance, which was to tell an executive that she was a glorious spirit. Since our relationship was established as I've described above, I knew I could share this with her. She was very moved by the message, immediately sat up straighter, and as light bulbs went off, said, "Oh, I could see my mom this way!" In that instant, she had a transformational experience relating to her mom. To sustain it, she would need to engage in other practices, which for other reasons we didn't pursue at the time. However, it forever changed what she saw as possible for her and her relationship with her mom.

It is also important for the coach or consultant to remain open to possibilities. There is a cultural norm for how a business should be, so we want to remain vigilant about decisions we've made about that. It is critical that we support the leader in discovering and pursuing ideas beyond the norm, if she is open to that. It can be useful as these possibilities are pursued to design criteria that the leader (and coach) can use to assess whether that particular course is working or not.

The coach must have the courage, faith, and trust to encourage the client to let go of first base and go to second. It takes discernment and communication about the capability, emotionally as well as competently, of the client to move forward with their untested vision.

Transformation of Departments and Challenges

Everything described herein can be applied to the leader of a department, even if the entire organization is not undergoing transformation. People often make the assessment that it can't be done because the rest of the organization isn't involved, yet it can. To move forward, the leader must pursue his own transformation. As the leader engages the process, an area of focus will be bridging the changes being made in the department to meet the rest of the organization where it is. As stated earlier, in the section entitled "Discussing Transformation with Other Members of the Organization," you want to talk with people about changes you are making and why and involve them in orienting your changes in ways that meet their needs as well. Just as the leaders of an entire organization will need to consider and address the world at large, meaning customers, providers, and the market conditions, for example, the department head will do the same with people in other departments as well as external customers and providers.

Transformation of Relationships

In addition to an entire business transforming, relationships between individuals or among groups can transform. Whether a relationship is going well or not well, we might want to engage with the other person in an entirely new way.

As with any transformation, we don't know exactly what that relationship would look and feel like. We've never been with each other that transformed way, so it's totally unknown. The first thing to do is a self-observation exercise to become aware of the assessments that have been made about the other person, the relationship, and themselves in that relationship. By themselves in that relationship, I mean who they think they have to be, how they can act, and what they can and can't talk about, for example. Also, she will want to observe the emotions experienced when she's with the person and when she's thinking of seeing them. Finally, she will want to observe her body when she engages: is there tension, relaxation, or something else? Where in the body are those experiences? After becoming aware, she can focus on altering the way of being to align with the relationship she desires.

Watching for Opportunities for Transformation

A person may pursue development because he wants to be more effective in some area or to expand skills or capacities. This engagement can spark an opening to transformation as he experiences new possibilities. For example, I had a client who was becoming more effective at having difficult conversations with people and coordinating activities within his organization. As he experienced his profound ability to affect change, he felt a fire in the belly to become his highest possible self. He had never had any inkling he could be beyond where he was, due to his already incredible success and the fact that those around him were settling in their own lives. He hadn't been exposed to others pursuing their highest ideals of themselves.

In organizations, as leaders begin working more effectively together or expanding their way of being in other ways, they can become confident that a whole new way might be possible.

Conclusion

Transformation is the opportunity to be in the world in the way we're designed to be: listening to and trusting ourselves and Universal wisdom, discovering, and pursuing dreams that are calling us. However, we also realize why transformation doesn't actually occur very often. It's an unknown and takes incredible courage, faith, and trust. We have to let go of who we think we are and what we think we're doing. Yet, as Thoreau (2004, p. xxiii) said, "I learned this, at least, by my experiment; that if one advances confidently in the direction of his dreams, and endeavors to live the life which he has imagined, he will meet with a success unexpected in common hours."

References

Almaas A (2008) The unfolding now: realizing your true nature through the practice of presence. Shambhala Publications, Boston

Anderson B, Adams B (2015) Five levels of leadership. https://leadershipcircle.com/five-levels-of-leadership/. Accessed 8 Feb 2017

Barrett R (2014) The values-driven organization. Routledge, New York, p xxiv

Block P (2002) The answer to how is yes. Berrett-Koehler Publishers, San Francisco, pp 121–135

Bridges W (2001) The way of transition: embracing life's most difficult moments. Perseus Publishing, New York

Brothers C, Kumar V (2015) Language and the pursuit of leadership excellence. New Possibilities Press, Naples

Budd M, Rothstein L (2000) You are what you say. Three Rivers Press, New York, p 137

Conner D (1992/2006) Managing at the speed of change: how resilient managers succeed and prosper where others fail. Random House, New York

Flores F (2015) Conversations for action and collected essays. CreateSpace Independent Publishing Platform, North Charleston

Huber C (1990) That which you are seeking is causing you to seek. A Center for the Practice of Zen Buddhist Meditation, Mountain View, California
Integral Coaching Canada. https://www.integralcoachingcanada.com/. Accessed 5 Sep 2016.
Jaworski J (2012) Source: the inner path of knowledge creation. Berrett-Koehler Publishers, San Francisco
Knapp P (2005) Leading the way. http://www.peterblock.com/_assets/downloads/How405.pdf. Accessed 8 Feb 2017
Koestenbaum P, Block P (2001) Freedom and accountability at work: applying philosophic insight to the real world. Jossey-Bass/Pfeiffer, San Francisco
Laszlo E (2008) Quantum shift in the global brain: how the new scientific reality can change us and our world. Inner Traditions, Rochester, Vermont
Leonard G, Murphy M (2005) The life we are given: a long-term program for realizing the potential of body, mind, heart, and soul. Tarcher/Putnam, New York
McGuire J, Palus C, Pasmore W, Rhodes G (2015) Transforming your organization. http://www.ccl.org/wp-content/uploads/2015/04/TYO.pdf. Accessed 8 Feb 2017
McIntosh S (2007) Integral consciousness and the future of evolution: how the integral worldview is transforming politics, culture, and spirituality. Paragon House, St. Paul
Merriam-Webster.com, Definitions of transformation, form, transform and character. http://www.merriam-webster.com/dictionary/transformation, http://www.merriam-webster.com/dictionary/form, http://www.merriam-webster.com/dictionary/transform, http://www.merriam-webster.com/dictionary/character. Accessed 6 Sep 2016.
Morgan G (2006) Images of organization. Sage, Thousand Oaks
Newfield Network. www.newfieldnetwork.com. Accessed 5 Sep 2016.
New Ventures West. https://www.newventureswest.com/. Accessed 5 Sep 2016.
Pearce J (2012) The heart-mind matrix: how the heart can teach the mind new ways to think. Park Street Press, Rochester, pp 10–26
Sahtouris, E (2016) The butterfly story. http://www.sahtouris.com/#5_3,0,1. Accessed 5 Sep 2016.
Schäfer L (2013) Infinite potential: what quantum physics reveals about how we should live. Deepak Chopra Books, New York
Siegel D (2017) Mind: a journey to the heart of being human. W.W. Norton & Company, New York
Sieler A (2003) Coaching to the human soul: ontological coaching and deep change. Newfield Australia, Blackburn
Solomon R, Flores F (2001) Building trust in business, politics, relationships, and life. Oxford University Press, New York
Thoreau H (2004) Walden. Beacon Press, Boston. (Reprint)
Wilber K (1980/1996) The atman project: a transpersonal view of human development. Quest Books, Wheaton
Wilber K (1999) One taste: the journals of ken wilber. Shambhala, Boston, pp 93–96

Part II

Personal Transformation in an Organizational Context

It’s Not What You Do, It’s Who You Are

Daryl R. Conner

Contents

D. R. Conner (✉)
Conner Academy, Atlanta, GA, USA
e-mail: daryl.conner@connerpartners.com; daryl@conneracademy.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_36

Abstract

In today's turbulent business environment, people from all walks of life are counted on to help guide others successfully through change. The majority of these change practitioners – professional change agents, Human Resources business partners, project managers, and others – do an acceptable job. They are recognized as helpful tactical resources when executing incremental change initiatives and generally have only marginal influence with the leaders they support. A much small percentage of change practitioners, perhaps 10%, are recognized for their invaluable strategic contributions in support of the most difficult change initiatives and enjoy a disproportionate amount of leader influence.

What accounts for the difference in the value these two kinds of practitioners generate? In this chapter, Daryl Conner makes the case that the real difference isn't in the change methodologies they bring to the table. Rather, it's in how they "show up." It isn't *what you do*, it's *who you are*. Highly influential change practitioners are not only exceptionally skilled in the use of concepts and tools, they incorporate an authentic expression of their unique character and the presence it generates as part of the value they provide.

Keywords

Character · Presence · Character/Presence Package · Play Your Music · Sapling/Trunk Metaphor · High Impact · Authenticity

A Perspective on Professional Change Practitioners

When I began my exploration of the world of organizational change in 1974, by today's standards it was relatively rare to encounter major disruptions on a consistent basis. Today it is rare to encounter an organization that is not experiencing one or more significant transitions. Virtually all of our institutions are facing more change that is coming more quickly and is more complex than ever before. And, all the evidence points to even more destabilizing shifts in the future (Aburdene 2007; Taleb 2010).

Leaders responsible for navigating these transitions need access to proven resources that can help guide them through the pitfalls of implementation. People from a wide array of disciplines – change management, project management, organizational design, IT, HR, leadership development, strategic planning, and so on – are called on to fulfill this function. For clarity's sake, I'll refer to professionals in this role as "change practitioners" regardless of what discipline they represent or whether they operate as internal employees or external consultants.

The Eye of the Beholder

Occupying a change practitioner's position is not the same as delivering on the practitioner's responsibilities. Ultimately, whether or not you are effective in such a role is based on how those you serve – your clients – perceive you. Throughout this chapter I will use the term "clients" to mean the recipients of a change professional's efforts. Regardless of what discipline a practitioner represents or whether he/she operates as an internal employee or external consultant, the work being performed is in service to clients.

Leaders tend to think of change facilitators in one of three ways. They are seen as:

- Inept – demonstrating little value and to be avoided at all cost
- Adequate – providing acceptable value and can be relied on to get the basic job done on tactical assignments
- High impact resources – delivering implementation assistance to *strategically* important endeavors and have proven to be *invaluable* in reaching full realization
  - Strategic: Depended upon when the stakes are high; practitioners seen as vital to critically important initiatives
  - Invaluable: Not easily disregarded or replaced; practitioners whose opinions are highly respected and influential

This isn't about the kind of value change facilitators believe they are generating or could deliver under different circumstances. These are the groupings clients tend to place practitioners in after working with them for some period of time. Whether or not they explicitly express these views to their practitioners, they form these opinions and act accordingly.

I have no hard evidence to support the following estimation, but after more than four decades of training, coaching, and mentoring thousands of change practitioners throughout the world and listening to an equal number of executives' comments on the change facilitation they've received, I believe the general breakdown on these categories is as follows.

- Inept: Approximately 25%
- Adequate: Roughly 65%
- High Impact: Around 10%

Think of each category as a continuum. A practitioner could be seen as falling anywhere within the designated range, from displaying early characteristics of a particular category to being on the cusp of the next category.

Different organizations respond to these designations in different ways, but in general here is how it goes.

- Those who deliver little value are usually destined for remedial action or termination
- Those who deliver adequate value remain employed, have modest influence with leaders, and may occasionally receive recognition based on their level of performance
- Those who are seen as invaluable strategic assets are considered key resources, are extremely influential with leaders, and tend to receive special access, acclaim, benefits, compensation, etc.

Three Levels of Value

There is little to be said about inept practitioners. Not only are they detrimental to the clients they support and the projects they bungle; they are also a liability to the entire change profession. Change practitioners in this category should either elevate their skill to the adequate level or find another way of making a living. The greater indictment, however, should be lodged with the managers and peers of people operating at this level who won't take action or voice concerns about such poor performance levels. Ineptitude can't exist unless allowed to do so.

On a more positive note, the good news is that, by a wide margin, leaders perceive change practitioners as providing adequate to high impact value. Though both levels of practitioners create benefit for their clients, the perceived value they deliver is markedly different. The truth is not all practitioners have the capabilities for – or even aspire to be viewed as – high impact. Of those who do, even fewer operate in such a way as to actually foster this kind of respect and admiration – and for good reason. It is incredibly hard to fulfill all the requirements needed to be seen in this light.

The low percentage of practitioners falling into the high impact category is not, however, inherently problematic. It isn't necessary, much less realistic, to expect that most change facilitators will reach this standing. The vast majority are seen as delivering perfectly acceptable results. Some may be viewed as functioning on the low end of the satisfactory performance scale and barely hanging on to their "adequate" designation; nonetheless, they deliver enough of what is expected to maintain their positions. Others are found toward the higher end of proficiency ratings and are thought of as functioning commendably, even though they are not considered to be both strategic and invaluable.

It is clearly preferable for as many practitioners as possible to be on the upper end of the "adequate" continuum, but anywhere within this designation represents a sufficient degree of positive contribution to an organization's change needs. To be seen by clients in this category is a worthy accomplishment. In no way should a pejorative stance be taken toward practitioners doing a satisfactory job in fulfilling their responsibilities.

That said, it is important to recognize the advantages afforded organizations with access to high impact practitioners. Regardless of their areas of expertise, change professionals thought of as strategic and invaluable typically share certain common attributes. They are generally seen as:

1. Having spent an extended period of time working in an area of specialization
2. Having exceptional knowledge and skill relevant to their specialty
3. Having a demonstrated track record of delivering on assigned responsibilities
4. Being aware of and attentive to the broader organizational context outside their area of specialty
5. Providing unique perspectives to critical situations that surface valuable insights
6. Boldly bringing viewpoints/ideas/recommendations forward, at times even in the absence of support for doing so

High Impact Work Isn't for Everyone

Any of these descriptors are cause for distinction, but it is extraordinary when a practitioner is recognized as delivering all six at once. As uncommon as it is, this convergence of perceived value does occur; when it does, it is the basis for an exceptional client/practitioner relationship.

The operative term here is "exceptional." It will become clear in what you are about to read that the requirements on both client and practitioner for an alliance of this nature to unfold are formidable. By definition, the majority of change professionals are neither prepared to deliver, nor positioned to consistently experience, this kind of working relationship. They either lack the necessary predisposition themselves or they are supporting leaders who can't/won't play their part.

It's difficult to precisely pinpoint the percentage of change professionals who are considered both strategic and invaluable. The actual number of high impact practitioners may be higher or lower than 10%, but we can be certain it is a relatively small number. We are talking about only the most influential of those in our field, which means minimal frequency is all that is possible.

There will always be a scarce number capable of extraordinarily productive client partnerships. Our task isn't to try to elevate all or even most practitioners to an uncommon level of impact (mathematically impossible). Instead, we should be attending to the relatively few who have the predisposition for this kind of influence and who want to better prepare themselves in this regard.

It's Not About What You Do, It's Who You Are

The predisposition that I'm referencing is reflected in practitioners with a history of demonstrating all six of the attributes to some degree. While certain ones may be more solidly in place than others, candidates for high impact work must show at least preexisting tendencies toward all six. With evidence to suggest that attaining all six descriptors is feasible, a practitioner can determine which ones are in need of developmental emphasis. While any of the six items may warrant developmental attention, this chapter is focused exclusively on issues related to the fifth and sixth attributes – helping practitioners be better prepared when it is time to offer up unique perspectives and risky recommendations.

The kind of candor and directness I'm referring to only comes from trusted change advisors who are confident in the value they can provide clients if permitted to convey the full extent of what their experience has taught them. Invaluable, strategic practitioners distinguish themselves, in part, by coming forward with unusual but beneficial perceptions and suggestions and by making bold moves that are not always initially well received. In other words, when faced with critical situations, they present a full, unvarnished view of what they see taking place, the implications they believe are relevant, as well as the actions they recommend as necessary.

These change practitioners are not only highly valued and influential with the leaders they support; they achieve this standing on their own terms. Rather than follow conventional standards, they consistently deliver more than is expected, and they do so in their own idiosyncratic manner.

High impact practitioners aren't effective despite being transparent about their individuality; they are valued in large part because of the uniqueness they make so visible. There are plenty of change agents as smart as they are who use many of the same approaches and techniques, yet who aren't able to achieve the exceptional outcomes they typically generate. This is because their "secret sauce" resides not in "what they know or do" (their change toolkit) as much as in "who they are" (their true nature).

A key distinction that separates high impact change practitioners from those seen as adequately fulfilling their duties is how they incorporate into their work their own distinctive signature pattern as human beings. Others may replicate how they gather information; diagnose change risk; the steps they engage when intervening; or the actual tools and nomenclature they employ. The only aspect of a change practitioner that can't be duplicated by anyone else is the way all of that activity is filtered through the unique lens only he/she has to offer. To put it in slightly different terms,

> The source of mastery isn't found in one's outer activities, or in the effective use of tools of the trade. It is found invisibly in the inner stance a consultant takes in relationship to the client world, to knowledge, and to himself. By *inner stance*, I mean the feelings, beliefs, viewpoints, and perspectives that drive one's actions. It is a place we "come from" when we act. (Merron 2005: 10)

High Impact Vs. Adequate Practitioners

Several characteristics distinguish change facilitators seen as having high impact from those viewed as adequate. Here are a few examples:

Different Needs for Acceptance – Change practitioners who are perceived as adequate in their role tend to have greater needs for client approval than those who demonstrate high impact characteristics.

"Masking" is the conscious or unconscious lessening or negating of who we really are in order to gain acceptance by others. The term "masking" was first used to describe the act of concealing disgust (Ekman and Friesen 1975). What is sometimes labeled as fundamental change in a person is really nothing more than intentionally or unintentionally creating a façade to disguise one's true self – fashioning an artificial presence intended to gain favor with clients.Masking is a blight that runs rampant among professional change facilitators. It is so pervasive that many practitioners have never known any other way of operating. They have come to believe that masking their true nature with a facade that is more acceptable to clients is considered an inescapable reality of the profession. Based on years of training and coaching practitioners, I can safely say that the vast majority routinely portray their observations, insights, ideas, etc., in ways that are significantly watered down, if not completely compromised, from their actual understanding of situations. Although this is sometimes done with conscious volition, masking is more typically an unconscious act – they are so used to assuming that hiding who they are is the only option available that they often engage it without being aware of doing so. Masking is the default modus operandi for most adequate change professionals. This is one of the reasons why high impact practitioners stand out so clearly; they come forward with the full force of who they are. When that is matched with clients who value that kind of forthrightness, they are usually seen as strategic, invaluable resources.

Different Scorecards – Adequate practitioners typically operate on the belief that they have to maximize their effectiveness with all those with whom they come in contact. It is common to hear them say something like "I have to hit a home run irrespective of who my client is, what group I'm assigned to work with, who my boss is, or the skill level of others on the team I'm to collaborate with. Whoever I interact with on a day-to-day basis, my job is to always facilitate change exceptionally well. . .regardless of the hand I'm dealt."

While a statement like this accurately describes the performance pressure many practitioners are under, that pressure does not necessarily result in the outcomes it is intended to generate. The ability to succeed at getting the job done, despite who you are interacting with, depends on how "success" and "getting the job done" are defined.When performance benchmarks are calibrated toward "adequate" practitioners, these terms mean accomplishing enough to meet basic expectations on relatively tactical aspects of a project. If performance standards are set at the "high impact" level, the terms mean the practitioner is being assigned to an extremely important initiative, and his/her counsel will be favorably regarded and sought after. Worthy achievements occur with both designations, but one generates far greater impact for an organization than the other. In his research on masterful consultants, Merron (2005) found that they tend to share these four principles of conduct:

1. Always tell the truth, at the deepest levels
2. Commit to learning – for self and for the client
3. Bring my whole self in full partnership
4. Play a big game

Adequate practitioners can and do accomplish a great deal; however, the political weight they carry is typically limited. When assigned to help with projects of a tactical nature, they generally deliver the assistance expected. If asked to serve on high visibility, critically important undertakings, however, the influence they have is usually felt more around the peripheral issues that arise; on more central concerns their views are frequently discounted, and their recommendations are often diluted or ignored.

High impact practitioners measure their success against a different scorecard. As will be discussed later, they are selective about who they work with, and the nature of the work they take on. They are able to exercise greater leverage because leaders depend on them to reach realization with vitally important initiatives, and they have garnered the kind of esteem that allows them to do so. As a result, their observations and suggestions are taken seriously, even when running counter to prevailing opinion.

Different Appetites for Learning – Practitioners who have spent a considerable amount of their professional tenure being perceived as “inept” or “adequate” aren’t likely to advance much in terms of how they are viewed unless they are near the upper boundary of their category. For example, someone at the top of the inept range may be already displaying some elements of the adequate category, making it easier for him/her to transition to the next level.

I’ve noticed that adequate practitioners who aren’t near the upper boundary of their designation tend to plateau in terms of developing their capabilities. They may or may not continue reading books and attending conferences related to managing change, but little of what they are exposed to is actually incorporated into their practice. This is an observation, not an indictment. When adequate practitioners support leaders with needs at that level, it can be a productive match and solid value can be provided. The adequate practitioners who do continue their learning and go on to absorb and apply new approaches and tools into their work are typically at the upper end of their current designation and tend to be advancing to the next level. High impact practitioners are more inclined to approach their role as a calling, rather than a job. This usually translates into an unending pursuit of mastery, seeking out new aspects of their craft as they continue to learn and grow. As a result, they are always incorporating additional perspectives and insights into their work.In this sense, 10%’ers are typically not confined by an upper limit to their development. They seem to be perpetually on the lookout for ways to add value to the clients they serve. By being on an unending quest for more and deeper bits of wisdom, they further strengthen their foothold on providing value. This contributes to them being viewed as critically important to key initiatives, making them difficult to replace.

Different Expectations – Practitioners should be clear about the level of clout they want and expect from themselves as well as what others are holding them accountable for demonstrating.

Being seen as adequate means performing one’s duties in a satisfactory manner and working on change initiatives where the stakes are modest and the level of influence is relatively limited. As long as this profile and the assigned responsibilities are a good match, there is not a problem.When people relate to a practitioner as strategic and invaluable, much more is required – all six of the criteria listed previously must be met at the same time. More to the point of this chapter, high impact change professionals deliver value to their clients through not only what they do (items 1–4), but also by who they are (items 5–6). While the demands are great, the benefits for being seen this way are equally plentiful (i.e., being drawn into situations crucial to the organization's viability and growth, receiving heightened respect for your views and decisions, the possibility for advanced compensation, etc.).

Different Relationships – Practitioners thought of as adequate often busy themselves with second-guessing what others want said or done. Those seen as strategic and invaluable tend to step forward with as much authenticity as they have to offer.

High impact practitioners have come to terms with the fact that when it is time to advance who they really are, one size doesn't fit all. Clients will respond to their authenticity in different ways. Think of it as chemistry, destiny, fate, how the stars line up, or whatever frame of reference works for you. The reality is that some people resonate positively with practitioners who are true to themselves and some do not. Phenomenal change results are associated with atypical practitioners displaying uncommon attributes when working with people who value them for operating this way. This means not only are high impact change facilitators rare; leaders who deeply value their particularity are also scarce. High impact practitioners can have a positive influence on all kinds of people, but their greatest contribution occurs when they are matched with clients who truly appreciate the exclusiveness of what they have to offer.

Different Tolerance for Uneasiness – Adequate change agents often try to avoid conflict at all cost. As a result, they are heavily invested in keeping clients in their comfort zone. This can make them appealing to work with among those who prize the ease of illusions over the struggle of reality.

High impact change agents are catalysts and provocateurs; as a result, they can sometimes be arduous to work with. They are generally more candid when expressing their views and can alienate people who prefer smooth relations to the messiness of fully realized change. They are seen as adding value, but primarily by people who appreciate the benefits of creative tension.While clients may deeply value these practitioners at the level of who they are, their interactions are not always comfortable. In fact, it isn't unusual for high impact facilitators to be characterized as some of the most challenging taskmasters ever encountered and/or as promoting extremely tough standards for leaders to live up to (Neal 2006: 31). A client valuing what a practitioner can accomplish by bringing forward the full weight of his/her core is not the same thing as always "enjoying" interactions with that person.When in the high impact zone, the leader/practitioner relationship is based on a mutual commitment to realization of the change, not ensuring communications are always kept in the comfort zone. Therefore, success for these change professionals is less about selling themselves (i.e., "How can I project an image that is acceptable to everyone?") and more about establishing working relationships with people who naturally respond to the authentic side of who they are. It is about "matching" for a good fit, rather than "forcing" an artificial harmony that relies on pretense instead of genuineness (e.g., leaders politely listening to observations and recommendations but not taking much action).Can a practitioner accomplish a degree of success with clients who don't value who he/she really is? Absolutely. Can they achieve their full potential as highly valuable resources? Not likely.

Different Levels of Political Support – It is important to note that high impact change facilitators are not only exceptional in their own right; they also operate under exceptional circumstances. Olympic athletes don't just rely on their own talent and hard work to set records. They engage in their chosen sport under the best conditions possible.

High impact trusted advisors are able to perform at the level they do, in large part, because they are provided the political air cover to do so. They are in service to leaders who are "true fans" – see value in both what they do and who they are. By comparison, practitioners viewed as adequate in their role tend to work in situations where their political air cover is tenuous, at best. Sometimes its nonexistent – one bit of feedback that comes too close to home for leaders and they are gone.All that said, no amount of political air cover can completely buffer you from the risk that comes with bringing your full self forward.

Different Risk Tolerance – High impact change practitioners learn early not to expect a stress-free ride while standing on their truth. "Comfortable" and "safe" are conditions that have little to do with the pursuit of being who you really are. Choosing to live your life, versus the one someone else has in mind for you, isn't for the faint of heart. It serves no purpose to ask, "How do I find a sheltered environment out of harm's way so I can be straightforward with clients about my unique talents and perspectives and not face any risk for doing so?" Instead, the question is, "How do I find the strength and determination to authentically express the core of who I am even when doing so isn't always understood and/or appreciated?"

Without a doubt, there are some significant struggles to face when functioning this way, but they are impediments, not insurmountable barriers. It boils down to this – if you are committed to practicing your craft as a strategic, invaluable resource, either come to terms with what must be done where you are or take the plunge to go somewhere else.

Change professionals who lack leadership support to operate as high impact resources have essentially six alternatives:

- *Raise awareness*: Stay where you are but find ways to show your *boss how much more valuable you would be if you were encouraged to be who you really are with clients. (*Internal and external practitioners who work for either organizations or consulting firms report to managers, while independent consultants are accountable to themselves. Ultimately, everyone has a boss.)
- *De-victimize yourself*: Remain where you are but refuse to be a victim. Take responsibility for the decision you've made to stay in an environment that doesn't support you leveraging your true authenticity.
- *Be a victim*: Remain where you are with a boss who is unsupportive of you being fully who you are, and continue to complain.
- *Go to sleep*: Stay where you are, but stop aspiring to be a high impact practitioner
- *Establish a new footing*: Find another boss (in the same or a different organization) who is supportive of matching who you are with clients that will value you for being you.
- *Go out on your own*: Establish a new consulting firm or a private practice where you can make your own decisions about who to work with.

Here is the bottom line – bringing forward the reality of your basic nature with clients isn't an alternative to being a successful practitioner. It is a way of being a successful practitioner that comes with its own set of hazards. Operating as a high impact practitioner is the opposite of playing it safe, and not everyone has the ability or willingness to take such risks. Why do you think it is such a respected status? Leaders looking for this kind of genuineness grant unusual access and influence to these practitioners because they know how scarce they are and how important they are to the success of their change endeavors.

> Incorporating who you are into the value you offer is a precarious path, but is likely no riskier than failing to provide what is best for clients. Living an authentic life is dicey and not doing so is dicey. Only you can decide whether you are on a burning platform, whether the cost of maintaining the status quo is too high. (Conner 1993)

Change agents seen as both strategic and invaluable resources are a small percentage of the total practitioner community, yet account for a disproportionate amount of the value clients associate with the change facilitation profession. It is incumbent upon those already in the category and those who aspire to be at that level to understand the distinctions between adequate and high impact practice of this craft. Only with clarity about the boundaries that separate the two can the quest for the upper tier be successfully pursued.

What Are the Implications?

As stated earlier, there are six attributes associated with being perceived as a change practitioner who is both depended upon when the stakes are high and not easily disregarded or replaced. This chapter addresses only the last two:

5. Providing unique perspectives to critical situations that often surface highly valuable insights
6. Boldly bringing viewpoints/ideas/recommendations/decisions forward, at times even in the absence of support for doing so

When practitioners consistently contribute unique perspectives, valuable insights, and bold recommendations, it is usually the result of them being blatantly candid about how they see situations. That kind of transparency and directness is typically associated with people who are not only well grounded in "who they are" but who also see this as a valuable part of their effectiveness on par with "what they do."

If you aspire to be a high impact change facilitator but are working with clients who don't value the essence of who you are, they are likely to be disappointed and you are likely to feel unfulfilled, not to mention less effective than you could be. It is one thing to find yourself in a situation like this occasionally; it is a deeper problem if you spend long periods in such environments. You can make a living disguising who you really are but, over time, it's unlikely you will remain passionate about your work. There are legions of practitioners who have grown hollow after years of attempting to fulfill their responsibilities by catering to who clients thought they should be instead of being valued for who they really were.

Both adequate and high impact practitioners have their place in helping organizations execute needed change. They each provide their respective value and represent honorable work. The key is to know what is expected of you (from yourself and others); what level of support you aspire to provide your clients; and what requirements and benefits are associated with the two options. Only then can you make an informed decision about the match between you and where you practice your craft.

If you are comfortable performing as an adequate practitioner, you may find the remainder of this chapter of interest, but it is unlikely that it will bring significant value to you on the job. However, if you are trying to figure out whether you want to pursue the role of a high impact practitioner, are seeking to move into this role, or are already at this level but want to pursue even greater impact, the following pages offer my thoughts on what is required in addition to your technical competency.

Character and Presence

"Character—A reserved force which acts directly by presence, and without means."
Ralph Waldo Emerson (1884/2009)

The Importance of Character and Presence

There are two aspects to being a change practitioner that contribute to being seen as a strategic and invaluable resource:

- What We Do – The concepts, frameworks, processes, and techniques used when engaged with clients
- Who We Are – Our true nature; the substance of what we have to offer as human beings

Underneath what you do is who you are. It is here that your optimum impact resides. Of all the things you can draw on to create leverage for your clients, your true nature is your greatest asset. Only when practitioners can stay centered on this and see it as core to the value they provide will they be able to live up to their full potential and help others do the same.

The Role of Character in High Impact Work

Many of the change professionals I've had contact with over the years had only a vague notion that there was more to influencing the people they were guiding than what they knew and what they did. Most would probably concede that their basic nature had some bearing on their client effectiveness, but they would be hard-pressed to articulate what that effect was.

An analogy can be found in the chemical compound H_2O which can take the form of water, vapor, or ice crystals. It can flow in a river, fall as rain, or run from our pores when we sweat without ever changing its basic makeup. Our character also endures through whatever circumstances we encounter. Before we were change facilitators, and long after we cease to serve in this role, we were and will be who we are.

Our character is like a true nature "set point." Physiologically, our bodies have certain ranges for which they are calibrated; typically, we stay within those limits. For example, one explanation for the weight gain most people experience after dieting is that the body is programmed to maintain something close to a person's set point of the bulk he or she carries. When people drop below their body's natural set point, their metabolism slows in order to conserve energy. Conversely, when they gain too much weight, their bodies rebel by increasing their metabolism, which increases the body's temperature to consume the excess calories. It is possible for set points to be recalibrated, but a major shift is required for this to happen.

Character operates in a similar manner. Maintaining its inherent essence is generally its default position, regardless of external conditions. We can be oblivious to it or mindfully aware of it; we can be disconnected from it or revel in it; we can sink under its negative implications or soar on its advantages; we can act as if we were someone else or celebrate our true nature. *The one option we don't have is to be other than who we are.*

As I'm using the term, our character is comprised of the aggregate features securely planted in our personal landscape. Some attributes are blatant, others subtle. Some edges are rough, others smooth. Some qualities cycle in and out of a prominent role in our lives, while others remain a permanent dominant force. Regardless of what happens at any particular point in time, our basic character is always our companion.

With all the similarities among people who fall into the same demographic categories (e.g., female, over 40, married, mother of two children, professional, medium income, home owner, two cars, churchgoer, jogger, type-A hard-charging personality), character stands out as one of the most reliable differentiators. Our true nature is so distinctive that, even with all the other commonalities we might share with others, we can still legitimately claim our individuality because of our unmistakable character.

Character is pivotal to the impact high impact practitioners have with those they guide. It is who we are, not what is in our concepts and techniques, which ultimately determines whether we generate meaningful benefits for others.

The following perspectives help explain why character is so central to the change practitioner role.

- The term *character* is impartial; it applies to both positive and negative elements of who we are. A practitioner's character is comprised of many components. Some promote favorable outcomes; others may not.
  - Positive components might include things such as devotion to serving others, commitment to honesty, and passion for the work itself.
  - There can also be a negative side to a person's character that reflects such things as self-centeredness, manipulation, insecurity, lack of compassion, etc.

Whether it advances or detracts from clients realizing their change aspirations, character is the greatest determinant of the value they receive from our work.

- A positively oriented character brings life to the capabilities of high impact practitioners.
  - It operates as a filter that is applied to what we know and how we operate. By screening everything through our character, we infuse our unique state of being into the work.
  - It is far more than the knowledge and competencies we've acquired – it influences how we inform client decisions, guide their actions, and whether or not we ultimately facilitate their success.
- The knowledge and skills we use in our work are actually neutral, possessing no inherent positive or negative implications. We can employ the same techniques to connect with, or distance ourselves from, clients. The same concepts can generate clarity and insight or add to existing confusion. The spin our character puts on these otherwise agnostic tools of the trade bends their impact toward either advantageous or adverse outcomes.

Without the influence of our character, the language and processes associated with what we do can come across as sterile, left-brained, technical fragments of the implementation process. Only when character and methodology interact synergistically can our heads and hearts merge to release the potential that is there.

- Character distinguishes our work more than anything else. It differentiates much more than the methodologies we use. Others can apply the same concepts and techniques, but no one else can duplicate the outcomes we produce when our character interlaces with words and actions. This means that, as practitioners, the secret sauce isn't in our heads, it's in our hearts.

The Role of Presence in High Impact Work

A strong character, comprised of mostly positive components, is necessary, but insufficient, for the practitioner who wishes to be seen as both a strategic and an invaluable asset. Character is your true nature, your essence. It's an internal phenomenon, not directly accessible to anyone but yourself. Your interior character needs a "voice" to be expressed to the exterior world. Think of the presence you extend to others as that voice.

When people describe someone as having a strong personal presence, they usually mean that even in large crowds, he or she generates a sense of influence. People pay attention to what the person says or does. As I'm using the term here, a persuasive presence doesn't lead others to abandon their free will or abdicate making their own decisions. Instead, it helps them listen to and consider what is being suggested or promoted.

Presence is not the same thing as charisma. It is more about being than doing. Even leaders who have rather reserved personalities or are not particularly verbal about their convictions can emit a powerful presence. In fact, one of the distinguishing features of this kind of influence is that it doesn't require any particular rhetoric or activity.

What Is Practitioner Presence?

The presence I'm referring to here is like a force field that you project when you express aspects of who you are while providing guidance to clients. This is the temperament you emit that serves as the conduit through which your character emanates. It's like an intangible transmission that flows underneath and around your words and actions.

Beyond concepts and techniques, presence is another key pillar in your intervention repertoire. Whenever you attempt to influence someone, you draw on not only what you say and do, but also on this reflection of who you are.

- Presence is like a subliminal identity signature embedded within your interactions. It might fall into a broad category such as peaceful, hectic, accommodating, demanding, but it also has a unique frequency that, when released, creates an ambient bubble like no other. Whether the exchanges are face-to-face, by phone, through email, or by text, interactions inside your "influence bubble" are distinctive to only you. Whether this bubble engenders a high or low regard for you directly affects the amount of influence you can exert.

Usually, this bubble is created without our awareness. We don't think about sending out these instinctive, involuntary presence messages. In truth, however, most of what we say or do has a particular tone about it that is as singular as our eye's retina scan. The fact that we are generally unaware of how or when we broadcast these signals to others doesn't lessen their impact; neither ignorance nor innocence offers protection from the consequences.

- The problem is that all the verbal and nonverbal communications inside this bubble are influenced by our presence, yet most practitioners pay little, if any, attention to its impact. We tend to think more about weight, hairstyle, and attire than we think about our presence, even though this influence zone has a major bearing on whether or not we create value for others.
- Just as not all aspects of character are conducive to successful change facilitation, presence also contributes to or detracts from whether practitioners achieve their assigned responsibilities. That said, when high impact change practitioners emit a positive presence, it affects their clients in three beneficial ways.
  - Practitioners with a powerful, constructive presence are usually seen as having deep and passionate convictions. Politicians, movie stars, and other famous people are often described as "larger than life," or mesmerizing; this is very different from having presence. Real presence is not a function of superficial façades or manipulated images. It's an expression of one's authentic being.
  - Presence brings with it an assuredness noticed by clients. They sense when practitioners believe they can and will carry out their mission, no matter how challenging.
  - Radiating a convincing presence can have the effect of penetrating the unconscious defenses people sometimes use to guard themselves against new thinking, challenges that appear beyond their reach, unfamiliar perspectives, or interpretations other than their own.

The combination of definitiveness, self-confidence, and the ability to help people open themselves to new possibilities can have a compelling effect on what can be seen as achievable.

- There are two sides to presence.
  - A practitioner's character is relatively stable. However, due to the shifting variables they face on a daily basis, their presence will fluctuate in response to current circumstances.
  - At the same time, because presence is a reflection of the high influence practitioner's true nature, there will be a continuity to how it is projected.

This means that from situation to situation a change professional's presence will likely vary. However, over time, the consistency of his or her character will be revealed.

What Are the Implications of Presence on a Practitioner's Influence?

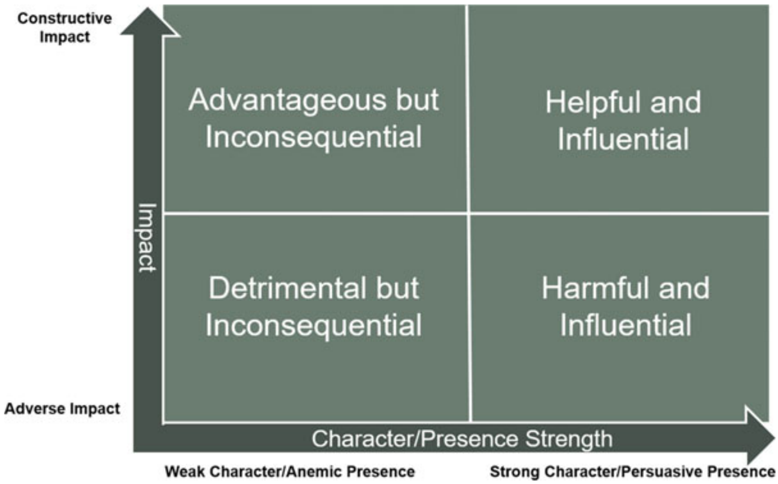
When high impact change agents transmit a clear, persuasive presence, their self-assurance and conviction often become contagious. It's not necessarily the content of their convictions that clients attach themselves to; they may not agree with everything being stated. What they are drawn to is the excitement, intrigue, and enthusiasm that can come from being around someone living their own truth.

Even if some of the specific guidance offered doesn't seem feasible, clients are often attracted to working with practitioners who have enough commitment to what they are doing to incorporate it into how they actually operate themselves. It is both provoking and inspiring to work closely with someone who is an exemplar of what he or she suggests for others.

Your presence will either enhance or diminish the impact of the implementation concepts and techniques you use; one way or another, it is always a factor in your effectiveness. For example, without saying or doing anything obvious, your presence signals whether you are more committed to client success than invested in being politically pleasant and amenable. Alternatively, it could reveal that you are conflict-averse and uncomfortable about being direct and explicit on tough issues.

The Relationship between Character and Presence

Presence is the functional link between our interior character and the external impact we have with others. Like its character counterpart, the constitution of one's presence determines the effect it has.



- A weak (diffused) character conveys a correspondingly anemic presence and has little effect on others. A strong (purposeful, focused) character expresses a persuasive presence that tends to get traction with other people.

- If “supportive” or “detrimental” are added as descriptors, the results can reflect anything from a presence that is convincingly influential (in either positive or negative ways) to a benign presence that is neither constructive nor harmful.

Presence that authentically conveys character can’t be manufactured, but it can be “attended to.” High impact practitioners are mindful of the presence they transmit and they intentionally nurture growth in those areas where they feel it would be beneficial.

The Presence Disconnect

Many change practitioners are unfamiliar with the presence bubble that forms around them because they are basically unacquainted with their true nature. They haven’t pursued who they really are at the level being described here, so they have little appreciation for the connection between character and presence. As a result, the affect their presence has on interactions remains a mystery; it is generally invisible to them. While they may have a degree in psychology, organizational development, change management, or project management; be able to recite their Myers-Briggs scores; or know their preferred communications style – most change agents haven’t deeply delved into their character.

What I am referring to isn’t a lack of casual reflection. What is missing is a profound journey into the soul – exploring not just what they do but who they are. The majority of practitioners go about their work not only disconnected from their inherent character but also unaware of the impact their presence has on others. If they do have a sense that presence is a factor in their effectiveness, they don’t see its connection to character.

It’s not unusual for practitioners to want a more positive impact on the leaders they serve, but they think they can accomplish this by directly modifying their presence. “I’m going to change my presence profile” only works at a superficial level. Since most practitioners haven’t spent much time exploring their true nature or its relationship to presence, any consideration about how to have a more effective impact is ill-fated from the beginning – at least as far as substantial advances that are sustainable. They want to enhance their presence bubble, but think they can do so by “adjusting” it.

This view lends itself to efforts like enhancing interpersonal skills or strengthening public speaking capabilities rather than probing into the deeper space where character resides. There isn’t anything wrong with developmental activities of this nature. However, that’s not where the greatest leverage is. When practitioners focus on their exterior in lieu of their interior, it is confirmation they haven’t yet realized that although presence is the interface with others, it is but an echo of where attention should be focused – on character. They fail to see that only through exploring and reclaiming aspects of their character will they achieve a meaningful, lasting shift in presence.

Presence is a reflection of our character, not actually who we are. Attempting to adjust it is like trying to change the features on someone’s face by altering his or her image on a TV monitor. No amount of modification of the screen’s likeness will have any meaningful bearing on the person’s actual appearance. It is what it is.

High impact practitioners recognize that presence is what impacts others, but that’s not where they aim their aspirations. Their focus is on the source of presence’s reflection, character. However, they approach it not in the sense that normal, left-brain logic would suggest. This isn’t about shifting their internal character to meet external needs; it’s about embracing their true nature and the presence it broadcasts so they can better attract the clients who will value them for who we really are.

Presence Is Nurtured by Exploring Character

Enriching presence is not a straightforward process. It is best refined and deepened indirectly, through the exploration of character. There is an abundance of evidence that intentionally modifying human behavior (our own or someone else’s) is amenable to engineered outcomes. Though much more difficult to pull off, under the right conditions, even mindsets can be deliberately reshaped. As impressive as these kinds of adjustments can be, however, they don’t add to or subtract from someone’s baseline character – the essence of who he/she is as a human being.

Behavior and mindsets are certainly linked to our character, but they are not synonymous with it. Unfortunately, most people confuse thinking/doing modifications with ontological alterations. Our character is about our beingness, not the frame of reference and actions we display. This misperception leaves many practitioners incorrectly focused on trying to mold their appearance (projected presence) to increase their effectiveness instead of cultivating their character.

Change professionals can work on things such as their physical image or interpersonal skills, but this has little substantive effect on the presence they convey. This is because presence, as defined here, is a reflection of who a person truly is, not a persona that can be artificially staged on a sustained basis.

- Intentionally projecting a presence that doesn’t match your true character is professional-level manipulation at its worst. Even when done under the auspices of “what is best for the client,” change facilitators who are not presenting their authentic selves contribute to the wariness that often exists towards internal support specialists and/or external consultants. At times clients become uneasy right away, feeling that something isn’t right about the way a practitioner is coming across. Other times, it takes longer; however, at some point they began to feel the practitioner isn’t trustworthy. This often occurs unconsciously, so without clients ever knowing why, they become somewhat suspicious and withdraw from deeper conversations that might leave them vulnerable.

- Presence is the natural outcome of our character. It's not who we are, but a "reflection" of who we are. As such, trying to directly modify some aspect of it usually generates more frustration than progress; the superficial alterations that result aren't long lasting.
  - We can ensure it fully expresses our character, but we can't authentically alter our presence to reflect something inconsistent with our character, at least not for long. The presence we create emulates our true nature, but it is not the fullness of who we are. If we really want to nurture our presence, we must evolve our character.
- Think of it as *Character* generates *Presence*, which in turn generates *Impact*.
  - Character is like clay in the shape of our inner nature.
  - Presence is a reflection of that shape in a mirror.
  - Impact is the positive or negative experience clients have when exposed to the mirror's representation.

Those who want to be seen as high impact practitioners should be working the clay instead of reaching for the mirror.

- "Working" character's clay doesn't involve carving or molding in the way these terms are normally applied to sculpting. In fact, it is just the opposite.
  - This isn't about imposing a design on your character, it is about liberating the inherent blueprint of who you are – uncovering what has been minimized or neutralized, and releasing the uniqueness that is already there.
  - The task is to recognize, align with, and leverage the most positive impact possible from your character, not to try to manufacture a character that suits us.

We may deny, avoid, cover up, or attempt to "modify" who we really are all we want, but ultimately, our essence will prevail. We will serve our clients and ourselves much better if, instead of trying to forbid or negate parts of our character, we come to terms with what we have to work with. Only by accepting who we are can, we fully exploit our gifts and route our challenges toward positive outcomes.

As used here, "accepting" something about ourselves doesn't necessarily mean we are pleased or proud that it exists – it's to embrace it as a reality (even if an unwanted one) and factor its influence into our decision-making process.

Embracing and leveraging the innate character we have to work with is how presence can mature and have the kind of high impact associated with strategic and invaluable resources. Strengthening presence by way of fostering character may appear to be an indirect path, but it is the only course on which true progress can be made. Trying to enhance an elusive reflection is pointless. Our character is the core of who we are and, therefore, substantive and accessible if we are willing to dive deep into self-exploration.

Further examining the linkage between character and presence will shed light on why the indirect approach to nurturing presence is the best and only way to for a change practitioner to become an invaluable strategic resource.

Love the Music you Play

Being seen as both strategic and invaluable hinges on your willingness to not only be fully who you are but also to be selective about those you try to influence. To the extent possible, focus your energy on clients who truly appreciate the uniqueness of what you have to offer.

Think of yourself as a musician with your own radio station, specializing in a particular type of music that truly speaks to your heart and you are particularly good at playing. Your broadcast goes out in all directions, but only a small number of the people it reaches have their radios turned on to your frequency and only a few of those are drawn to the kind of music you provide. Although you may be broadcasting to a large population, relatively few people are being meaningfully affected.

This raises an important issue to consider. Who is your intended audience? Is it all who are within range of your broadcast, or those who hold your kind of music in high regard and admire how you perform it?

Most practitioners judge themselves (and are judged by others) based on the number of people who listen to their "station." When this is the goal, the only way to succeed is to appeal to the widest possible range of interests and needs. There is nothing wrong with doing this, but it means you can't play the music you love and are uniquely good at (or you can't play it as often or as passionately as you feel it). As a result, you aren't likely to be viewed as a high impact resource. It is more likely that you'll be thought of as an adequate facilitator of change, not an exceptional one.

In essence, you are a radio station manager trying to attract as many listeners as you can, not a musician trying to reach his or her niche audience. It's the difference between: (1) being a business first and, whenever possible, being true to what you love and are uniquely good at doing most, versus (2) being true to what you love first and making a business out of it. Catering to what others want to hear comes at the expense of playing your own music. Remember, this isn't just the music you enjoy, it is also what you are best at. It represents your only hope of being highly respected and influential, and considered vital to critically important endeavors.

You can't wow everyone, but for those who are predisposed to your kind of artistry, you are literately "music to their ears." Yet, when the "number of listeners" takes precedence over playing for people who are actually affected by your type of music and distinctive style, not only are you less fulfilled, your audience receives less value. Playing "adequate" music everyone expects may produce crowds, but most of them will be spectators. Audiences receive much more benefit when they truly appreciate not only the music but the artist as well. Through their engagement and enthusiasm, they actually help create the overall experience themselves; they don't just sit back passively taking it all in. This only happens, however, when there is a match between the musician's uncompromised expression of his or her style and what the audience loves.

Michael Jones (1995: 120–121), a musician and change agent, tells a story about improvising on a piano late at night in an empty hotel lobby after a client engagement. After a while an old man staggers over from the bar, and when Michael saw him he started playing “Moon River” thinking that the gentleman would want to hear something recognizable. When Michael stopped playing, the man asked him what he had been playing. Michael replied, “Oh a little bit of Moon River.” He said, yeah, I recognized that, what were you playing before? Michael told him that it was some of his own music. The old man asked him what Michael was doing with his music, and Michael replied, “Nothing. It’s just something I do for myself.” The old man looked directly at Michael and said, “Who will play your music if you don’t play it yourself?...This is your gift – don’t waste it.”

Michael writes;

> What is ours to do comes so easily, because from the very beginning it has always been there. It may not necessarily be a special talent like writing or music; it may instead be a quality of caring that we offer, a capacity for listening deeply to others, or simply the wonder and beauty we bring to the world through how we give our attention to a piece of music, a flower, or a tree. Our purpose is to give ourselves to the world around us – including people, musical instruments, trees, and words – and through the attention we bring to them help them blaze to life. When we offer ourselves to the world, the world gives itself back to us. In the words of D. H. Lawrence, ‘Life rushes in.’ (Jones, 1995: 123)

If you interpret your purpose as seeking the largest possible audience, it doesn’t matter what music you play as long as it draws a big gathering. If you view your role as that of a virtuoso for a specific sound, you not only want to focus on playing that kind of music, you primarily want to perform for people who can appreciate it.

The twist here is that by limiting your audience, you gain, not lose; you enlarge your true fan base by playing to a more select market. True fans are the ones who not only praise what you play, they respect how you play, and most important, they open themselves up to let the music have its intended impact.

This doesn’t mean you never play what people want to hear instead of your own preferences. But when you do so, don’t confuse it with delivering your best value, and don’t forget it is a choice you are making – you are not a victim. Being a high impact practitioner requires that you play your own music; it’s nonnegotiable. If you decide, for whatever reason, that this is not feasible for you, adjust your expectations about what you can accomplish in your role and keep in mind that it is your decision; don’t allow resentment to build up toward others.

This doesn’t mean you avoid playing for audiences who show only a slight interest in your music. It is important to be accessible to listeners who are unfamiliar with your music because, through exposure, they may become raving fans. The question is where do you spend most of your time and energy?

Change practitioners seen as strategic and invaluable don’t spend much time trying to convince people to listen to their music, playing for people who are clearly unimpressed, or only playing “requested” songs. They believe enough in themselves and their unequivocal brand of music to stand on that as their foundation, instead of pandering to the crowds. It is wonderful if your followers grow into crowds of true fans, but don’t play so throngs will come – play for fans and see how many there are.

When catering to the masses, you become part of the mass yourself. Competitors are everywhere; your only chance with this approach is to be the best of the commodities available. Being true to who you are makes you, by definition, distinct. There are no others who can convincingly replicate your unmistakable presence. For the listeners who value your music, there is no competition. There may be other performers they enjoy, but when in the mood for your music, they consider alternatives as substitutions, not replacements.

What Are you Doing with your Music?

As change professionals, we each have our respective "musical style" if you will. It is a composition that blends what we do (our concepts and techniques) with who we are. Both are important, but it is our distinctive character and presence that allows us to occupy space that can be claimed by no other.

Here is the key question for you to ponder: What are you doing with your music? Are you placing a higher priority on being a common denominator so you can secure enough affirmation from others to be allowed to perform your professional role? Or, are you bringing forth your true nature and boldly expressing your authentic presence so prospective clients can determine if they resonate with who you are? High impact practitioners pursue the second of these paths. They believe it is in their best interest and that of their clients to bring their "A-Game" to the table.

Of course, you have to be an exceptionally good musician for all this to work. As a practitioner, that means meeting all six of the high impact criteria described earlier. Assuming these six attributes are an accurate description of how you are perceived, the pivotal issue becomes ensuring you are performing in front of the right patrons. This is your fan base; you should remain loyal to it by maintaining the integrity of who you are. That's what they resonate with. It is what you owe to yourself and to them.

The finest music you'll ever play surfaces in front of appreciative audiences. To bring out your best and to deliver the greatest value, your quest is fourfold.

- Know who you are and what practitioner music truly comes from your heart.
- Play that music with all the authenticity and passion you feel and broadcast your frequency as strongly as you can.
- Recognize that your ability to play the music as well as you do is a gift and strive to share it with people who resonate with its significance. (Others may be listening, but play for your true fans.)
- Don't compromise your musical talent in order to gain a larger audience or to please certain listeners in powerful positions. Be who you are and build your change practice around that.

Don't measure yourself by the number of people listening to your music – measure yourself by how many are touched by it – compelled in some way. The people you influence won't open themselves to the vulnerability required for them to be genuinely impacted by your efforts unless you are playing unabashedly from your soul.

I realize this may pose some significant challenges, but bear in mind that we're all in the same boat. As change professionals, we pay for either our victimization or our sovereignty. Either way, the invoice is expensive, so make a decision and get on with it.

For those who choose sovereignty, the work to be done is comprised of three steps.

- First, deeply explore your character so you can understand and accept who you are.
- Next, embrace the presence you broadcast as a natural reflection of your core and an expression of your unique gifts.
- Finally, seek out people to work with who value your character/presence "package" instead of trying to artificially mold yourself to fit all prospects who might come your way.

As we've seen, character and presence separate adequate technicians who merely deliver completed tasks and meet timelines from high impact practitioners who provide valuable insight and wisdom. We all use some kind of approach or framework to support our work, but our character and presence allows us to leverage these enablers for optimum impact. You need to engage both the heads and the hearts of the people you guide before they open themselves to meaningful advisory relationships. Well-constructed methodologies can impress their intellect, but it takes a strong character and a trusting presence to speak to someone's heart.

Your true nature is synonymous with who you are. It has an epicenter called your character, which is conveyed to clients through the presence you cast. It is by way of your inherent character and the presence you emit that you are seen as an invaluable strategic resource. To feel fulfilled professionally and provide the best possible value to those you influence, high impact practitioners must find their voice and perform without reservation in front of the right audiences.

Cultivating Character

> "The tragedy of modern man is not that he knows less and less about the meaning of his own life, but that it bothers him less and less."
> Václav Havel (1988: 237)

Character Isn't "Fixed," It's Refined

Many people think they can develop character in the same way they might attain new knowledge or better their communication skills. They think they can improve it by pushing themselves to greater heights. Based on my experience, I've come to a different conclusion. I've been a professional facilitator of organizational change for over four decades. Before that, my work was in the area of counseling psychology.

Throughout that time, I can't think of a single situation where I witnessed someone who substantively transformed the essence of who they were, or the core nature of someone else. I know that sounds odd coming from someone in the change business, so let me explain.

Early in my career, I accepted the conventional notion that character could be purposely "developed" – that is, there were activities, processes, or practices that, when engaged properly, could create or eliminate specific features of our own character or that of someone else. Then I began to notice that these kinds of results were not actually taking place among the people whose character I had been asked to help change. (Initially it was while counseling people seeking fundamental shifts in themselves or their spouses/children. Later, it was with leaders and change agents who had asked for guidance to address issues at the heart of who they were as human beings that were impairing their effectiveness during major transitions.)

Because I saw so little actual character change resulting from my own efforts, I started paying closer attention to what others were describing when they discussed success at promoting change in someone's fundamental nature. It became more and more clear to me that the modifications they were describing were not parallel to what I consider reconstituting character. There were behavioral and attitudinal changes taking place, but these shifts were not at the core level of a person's foundation of being.

More observation and pondering on all this helped me come to a very personal realization – nothing I had ever done to myself or that had happened to me had actually varied in any significant way the essence of who I had been all my life. On occasion, I had attempted to alter my basic nature, as did my parents and numerous teachers, ministers, coaches, etc. While some behavioral and mindset changes occurred depending on who was attempting what modification at a given point in time, I remained essentially the same at the DNA level of my character.

Is my character different today from what it was when I was much younger? Absolutely. I can find no evidence, however, that the difference is attributed to any action I or anyone else took as a deliberate effort to create the specific outcomes that resulted. Did my character advance? Yes. Was it through intentional design? I think not. Behaviors can be added or subtracted from our inventory of habits, but I believe character remains remarkably resilient throughout our lives.

I concluded that character does evolve, but not from being deliberately "developed" as the term typically implies (i.e., altered by design through applying certain actions to accomplish specific outcomes). Not only is our true nature unresponsive to external efforts to alter it, it doesn't actually change at all. We come from the factory hardwired with the character that will represent who we are for most of our lives.

We see this phenomenon elsewhere, but normally don't apply the same perspective to character. Like the acorn that holds the base information and predisposition needed for a giant oak to unfold one day, we enter this world with all the foundational elements of our character intact, what James Hillman refers to as the "Soul's Code" (Hillman 1996). For example, what appears as a relatively sudden onset of cholesterol-related problems often can be traced to a genetic susceptibility. The physical symptoms may or may not manifest, but evidence suggests that when they do, there is a genome marker embedded somewhere.

The fundamental nature of who we are unfolds the same way. What begins to surface as character traits during adolescence, or during the young adult years and later in life, were always there but lying dormant until events, circumstances, or relationships trigger their manifestation. These qualities appear to us as new aspects of our character when, in fact, they are preexisting features that are only now being activated by our experiences. A different person can be exposed to the same kind of event, circumstance, or relationship, but the "new" quality doesn't emerge for him/her. Why? I believe it is because there was no predisposition for it to come forth. Character is amenable to maturing into more advanced versions of its basic nature, but it can't become something less than or more than its inherent state.

My views on whether a practitioner's character yields to change are grounded in these personal observations. Based on what I have witnessed, I can't corroborate the claim that people are somehow able to make substantive additions to or deletions from their own (or someone else's) basic nature. I have been party to introducing new initiatives where certain variables were stressed or deemphasized, and the characters of the leaders emerged very differently than was apparent earlier. However, to say these people started displaying character features that didn't exist before or eradicated elements that were once prominent is beyond what I can substantiate. I believe a more likely explanation is that they started manifesting aspects of their character that had not previously been visible and/or that certain qualities became less pronounced and it looked as if they disappeared.

Character Is Revealed, not Invented

Advancing character isn't about adding (or removing) parts; it's about surfacing and honoring what has always been there but, over time, might have become covered up. We can't "correct" our character by assessing what is missing and attaching the absent elements (e.g., "I'd like to be more caring so I think I'll infuse some empathy into my makeup"). There is no Photoshop equivalent for character enrichment. Cultivating character isn't about learning something new as much as it is about remembering. Character is revitalized by sinking into the depths from which we came in order to rediscover it. It is uncovered, not concocted.

Bonsai is a Japanese art form that involves shaping woody-stemmed trees or shrubs in containers to produce small replicas that mimic the shape and style of mature, full-size trees. This technique dramatically alters the size and appearance of the trees to which it is applied, but it doesn't change the kind of tree it is. For example, before bonsai treatments, a Japanese maple would have had a specific trajectory to its natural growth pattern. After years of carefully "developing" the tree through bonsai, it may be almost unrecognizable compared to other similar trees that were allowed to follow their normal growth disposition, and yet, it is still a Japanese maple. The process of bonsai stunted, twisted, pruned, negated, graphed, amended, and/or rechanneled the tree's basic tendencies, but its character remained that of the young sapling it was early in its life. The tree is what it is, regardless of the circumstances in which it finds itself.

The same can be said for people. They stunt, twist, prune, negate, graft, amend, and/or re-channel themselves (or someone else does it), resulting in new mindsets and behaviors that may in no way resemble their fundamental nature. Yet, the essence of who they really are remains intact. Their basic nature might be concealed by engineered alterations, but their beingness endures, despite the mutation or masking. Their presence can be altered to project any contrived image they choose, but the core of who they are will abide.

When it comes to character, it makes no sense to try to develop something that didn't exist before or to try to destroy elements we don't like; it can't be done. The most effective approach to refining our character involves reviving and accentuating existing qualities. We can also learn to de-emphasize (though not totally eliminate) facets we don't value, or re-channel their impact into more constructive endeavors.

The true nature of who we are has always shaped our lives, regardless of how muted or shrouded that influence might have become over time. Rediscovering our character is an act of liberation, not acquisition. Cultivating character is about exploring, accepting, and leveraging not only what is already within us but recognizing it as the greatest asset we have as change practitioners.

Simply stated, when it comes to character, you have to play the hand you were dealt. That said, it's not a static phenomenon. Character advances and grows stronger (for better or worse) on an ongoing basis.

- It is constantly evolving. There is an elasticity to our inner core – it is always unfolding new, more sophisticated ways to interpret the actions of others and interact with them (through the presence we convey). This natural progression doesn't add or subtract from who we are; it unfolds more and deeper pathways within which our character can operate.
- Like most assets, it usually becomes a more powerful influence over time. As it matures, its features, as expressed through the presence that is conveyed, typically enhance its impact on those with whom we interact.

Are you Asleep at the Wheel?

If we take as a given that our character is always advancing and strengthening itself, the question becomes, "Is this occurring with or without our attention?" Are we mindful of its continuous maturation or is all this happening without our conscious consideration?

Even if we are blind to who we really are, deny what we don't like about ourselves, or are ignorant of how influential our character has become, it still has an impact on others. Being vigilant of our character's effect and intentionally fostering its unfolding is a necessity for achieving the kind of high impact being described here. Therefore, it is best for practitioners who aspire to be viewed as strategic and invaluable to be observant of their character.

There are many ways to go about encouraging our character's advancement, but they all have one thing in common – waking up. Since character enhancement involves nurturing and channeling what is innately there, rather than trying to insert foreign traits or eliminate unwanted attributes, the most important thing we can do is to reacquaint ourselves with what it is about our basic nature that we have lost contact with – to wake up to who we really are.

But why is waking up even necessary – why do we go to sleep in the first place?

When addressing the subject of character, we are talking about something that is indigenous to the center of our being; at some level there must have been a time we had access to it. Yet, as our lives progressed, most of us went adrift from at least some aspects of our core. We failed to maintain an open passage to our inner nature and started functioning as if we could feign what others wanted from us instead of honoring our true spirit.

How can we lose touch with something as fundamental as who we are and why is awakening so difficult? Why is operating in a "walking sleep mode" even a viable option?

To cut to the chase – the illusions we maintain when asleep can sometimes be far less stressful than the harsh realities we face when we take life head on. For many professional change practitioners, the truth is, although they stay busy with various activities, they operate in environments where they are not viewed as critical assets. To the contrary, they are considered tactical resources assigned to marginally important projects; as such, doing anything other than what is expected of them is unacceptable. Under such conditions, using unawareness to anesthetize themselves can be preferable to the heartbreak of going unrecognized and/or undervalued by those whom they serve.

Falling asleep means forgetting that we each have a unique center worthy of expression. It is succumbing to victimization so thoroughly that our senses no longer register when we sell ourselves out to keep a job or keep more powerful people contented. This kind of self-induced slumber requires that we feed ourselves a litany of bumper-sticker platitudes so we'll remain oblivious to the real implications of what is happening.

- "That's just the way it is."
- "This is what it takes to keep things running smoothly around here."
- "It's easier than fighting with my boss about how honest I should be."
- "Clients want to be told what they want to hear, not what is really taking place, or what is actually needed to succeed."

When it comes to our relationship with who we really are, hibernation can prove to be a much less painful alternative to feeling small (if not invisible) and/or contorting ourselves into who or what others want. This kind of sleep modus operandi has turned into the approach of choice for many in the change profession. Operating while "comfortably numb" is a pattern that is playing itself out all too frequently: we first trade off, then disregard, eventually discount, and finally lose awareness of who we really are.

As a result, many practitioners capable of high impact performance or who are on the cusp of and desire to make the leap in that direction "go to sleep" rather than experience the alienation and distress associated with not being valued for who they are. They deaden themselves without realizing it to avoid the pain. Some use alcohol, drugs, superficial relationships, or taking on hyper-workloads that overextend themselves to induce this numbness. Others bury their discomfort in their psyche and learn to function on autopilot. They engage their assigned duties absent any awareness of the fulfillment that is missing. Here is the unconscious logic trail they apply to themselves:

1. There is no pain if there is no foul.
2. There is no foul if I have no expectation of being recognized and valued for who I am.
3. To have no expectations, I have no awareness.
4. Without awareness, there is no pain.

As I'm using it here, falling asleep means no longer being aware of how bringing forward all you have to offer could be a benefit to your clients, and it means ensuring that the presence you project is one that keeps leaders comfortable. There is no place for conflict with this kind of slumber because tension heightens awareness, whereas contentment has a tranquilizing effect. We must water down what we offer as observations or recommendations in order to keep everyone appeased and content. Being a provocateur, or in any way offering views or feedback contrary to what clients expect or want to hear, is unacceptable and inconsistent with keeping them comfortable and ourselves anesthetized.

Falling asleep means forgetting that we each have a unique center that is worthy of expression, and that failing to offer it is an unprofessional act of withholding value from those we serve. It means we lose sight of our responsibility to use all possible means to support clients as best we can, including deploying our authenticity as we would any other asset included in our methodology (concepts, tools, techniques, etc.).

We fall asleep when we fail to open a passage to our inner nature and we convince ourselves we can (and should) fake what others want from us instead of honoring our true spirit. This is when we start dreaming we are someone other than who we really are. The dream turns into a nightmare, however, if the sleep state is sustained too long and we lose the ability to pull ourselves out of our comatose condition.

High impact practitioners operate in a state of "awakeness." They wake up every time they remind themselves about the value their character represents – the core of who they are. Being awake means being mindful of:

- How much you have to offer clients when you inject your character and presence into the mix
- How wasteful it is to not leverage the unique value you represent
- How painful it is to live an inauthentic life
- How alive it feels to live an authentic life

Unraveling the Conditioning

Going to sleep means losing the distinction between keeping clients in their comfort zone and practicing our craft at the highest level. Waking up doesn't guarantee we'll never again capitulate to political pressure. It means that if we do subdue our true selves in order to "keep the peace" (if not our jobs), we are aware of what is happening and we make an informed decision. We don't fall unconsciously into numbness and/or feel victimized by circumstances.

To wake up, we must unravel the conditioning that has influenced many of us since infancy. To say this, habituation is deeply entrenched in how we function as professionals is an understatement. In virtually every aspect of our lives, we have been instructed in how to subjugate our nature to the surrounding pressures, not the other way around.

The intent behind this kind of guidance was usually well-meaning. It helped us "fit in" (initially with our families, then friends, community, religion, school, spouse, work, etc.). The net effect for some practitioners, however, has been incredibly detrimental as far as their functioning as high impact resources. They were taught to trade truth and authenticity for the love and acceptance of others – not a pact that is ultimately in our best interest, nor that of the organizations we serve if we aspire to maximize our influence with clients.

An inculcation process that permeates virtually all aspects of life is difficult to see, and harder to extract ourselves from. It is the water we swim in, and the air we breathe, so it's tough to be objective both about its existence and how to handle it.

Difficult or not, we need to come to grips with what must first be acknowledged, then addressed, and finally resolved – to be a strategic and invaluable resource to leaders during change, the tenacity to bring our full selves forward must be seen as an imperative, not a preference to be exercised or not.

This Is Hard Work

There is nothing easy about waking ourselves from the slumber that results when professionals regard their innate being as less valuable than what others want from them. But then, if easy is what you are seeking, being seen as a high impact practitioner is the wrong pursuit for you.

Being thought of as a strategically invaluable change professional is a double-edged sword. There are the satisfaction and the economic rewards of being at the top of your game, and there are the associated responsibilities that come with those benefits. High impact work means living up to the respect that people grant to practitioners operating at that level. Nothing less than our all-out best is permissible if we claim the high ground of being exceptionally skilled at what we do, stand on our truth, and authentically express who we are.

If you want to accomplish all this and excel in our field, you must wake up. There is no alternative route. Either pull yourself out of the conditioning that encourages you to water down what you say and do so the people around you can stay in their comfort zone, or stop kidding yourself that you are on the path to deliver exceptional value to your clients. Wake up from the dream that you are other than who you are. Rejuvenate the connection to your true nature and the value you can create for people when you allow your character to be the center of gravity for your work.

Character's Hidden Assets

I like to use metaphors when describing human dynamics. Good ones provide a simple way to convey complex characterizations. They also inform us of implications we might not otherwise recognize. Here we'll use a sapling and the oak tree it becomes as a metaphor for how we can lose awareness of our true nature, even though the foundation of our character is always there.

Consider that within even the most massive oak tree, there resides the sapling from which the tree evolved. Not the concept of a sapling; I mean underneath the bark and all the years of accumulated rings of growth that make up the trunk, there remains the original, thin frail sapling that was the tree's starting point. If you chipped away the trunk that grew around it, you would find it there. I'm not talking about carving a rendering of a sapling out of the oak, it would be the actual sapling itself. Uncovering the sapling isn't the result of sculpting, it's about revealing what had always been there but had become hidden – not creating a sapling out of the tree, but actually exposing the existing one.

Learning from Parallels

We can use this image of the sapling embedded within an oak's trunk as a way to represent the nature of a practitioner's character. For the metaphor to work, however, I'll need poetic license in order to inject some human qualities into the biological realities of a tree's life.

- The Sapling – Its central function is to establish a foundation for growth and be the keeper of the tree's inner nature throughout its life. From a human perspective, the risk is that a person's sapling won't remain vibrant long enough to benefit from the trunk's defenses.
- The Trunk – Its principal aim, year after year, is to add rings of hardwood to protect the tree's true nature. For humans, the risk is that a person's trunk will become so dominant that it smothers the sapling's spirit, producing a tree that is large and strong but also inanimate and uninspired – big, thick, sturdy, and impressive, but at the same time rigid and lacking soul.

As change professionals, we can draw some parallels between the sapling/trunk relationship and our own struggle to stay connected to our inner nature. Here are four ways we can learn from the oak.

Protect your Essence without Snuffing it out

The sapling is the keeper of the tree's character, but it is a fledgling and lives an extremely precarious existence. As soon as it is established, it triggers the buildup of a more durable envelope in which to protect the tree's essence. This is where the trunk's growth comes in.

The sapling's charter is to hold and nurture the base substance of who the tree is, not to protect itself from possible harm. It is the trunk's job to encircle the sapling with layer after layer of hardwood so its spirit is sheltered from outside damage. The trunk does its job well, but the security it offers can also be the sapling's demise. If the trunk grows too dense, it can overwhelm the sapling's ability to function as a reservoir for the tree's vibrancy.

When the metaphor is applied to humans, it can be said that a similar bond forms between the core of who we are and the protective mechanisms we create to buffer our character from harm. The conditioning we have been exposed to throughout our lives morphs our uniqueness into ways of operating that are more acceptable to others than would otherwise be the case. Without some means of protecting the essence of who we are, the conditioning process can completely overcome the truth of who we are.

Even slight infractions on our core nature can be distressing, so the prospect of our character being lost altogether is avoided at all costs. To prevent this from happening, we create defenses to shield the integrity of our character and insulate us from the emotional pain we would experience if it were breached. In this way, we can "accommodate" others who expect something different from us than who we really are without transgressing too much of our inner core.

Whenever we find ourselves in settings where our true nature isn't valued, the tendency is to grant people what they want but then add another layer of defense. Over time, a debilitating rhythm can be established: keep people comfortable, add a layer – keep people comfortable, add a layer, etc. The defenses are an effort to "be in the world but not of it;" yet, after enough years of "keep people comfortable, add a layer," the core spirit that is supposed to be protected can become no more than a faint echo.

Don't Build so Many Defenses That Even You Can't Find Your True Nature

The sapling/trunk relationship is a paradox. On the one hand, the sapling depends on the trunk's ever-growing strength to buffer it from jeopardy; at the same time, it runs the danger of becoming completely engulfed and eventually assimilated into the very thing that is there to preserve it.

Every safe haven has its price. For the sapling, it's that the trunk can become so dense the sapling's identity (and therefore, the tree's soul) can appear to vanish. The tree is living but it seems to lack "aliveness." If the sapling can't withstand the pressure of the trunk's growth, the tree will still be left standing, but will not truly flourish as it could without the vitality that comes from its inherent spirit.

Life is a risky proposition, and not every acorn yields a seedling. Many seedlings never produce a sapling, and there are plenty of saplings that fail to properly safeguard themselves with adequate trunks. Likewise, not every sapling that generates a protective trunk survives the pressure of its defenses. With poetic license, I'll say that when this happens, the sapling is absorbed into the trunk itself to the point that the tree's spirit can look like it has been lost. The protector becomes the assailant of that which it was supposed to protect.

We can say the same for those who are change practitioners. Their character becomes overwhelmed by the protective mechanism they set up to safeguard their uniqueness. Compromise after compromise leads to layer after layer of protective defense. At a certain point, their basic nature becomes so entombed within its own defenses that it is rendered inaccessible.

Don't Let Your Tough Exterior Become all of Who You Are to Others

A sapling that seems to have been lost to the layers of its own hardwood never actually ceases to exist, but its appearance can become so obscured by the trunk's dominance that it is no longer apparent to others.

All saplings become encased in their trunk's denseness – that's inherent in the protective process. The problem occurs when the tree's spirit can no longer be distinguished – when its identity loses its definition to the encircling mass. If this happens, the oak's inner nature is still there, but its beacon can no longer penetrate the thick enclosure it is in. Its vitality can't pass through the trunk and be visible to the external world.

No one can see anything but the massive trunk; to the outside observer, the tree is the trunk. To a passerby, the essence of the oak's true nature wasn't "replaced" by the trunk's imposing nature. As far as the person is concerned, there was never anything but the visible trunk, branches, and leaves.

There is no thought that, at one time, a sapling was chartered to carry the tree's soul and that it is still in there – very much alive, even though buried beneath the trunk's weight. The sapling and the innate spirit it holds are all but forgotten.

The same can be said for change agents who lose contact with their character. Our autonomous spirit isn't something that actually goes away, even when smothered and left unattended for long periods of time. What can happen, however, is that our defenses become so concentrated and impenetrable that, to others (and perhaps even to ourselves), our essence becomes invisible. Our true nature is nowhere to be found. All that is noticeable are the layers of hard, compressed defenses that have built up.

It's About Achieving a Dynamic Balance

The trunk's function is to safeguard the sapling's inner nature, not to become such an overpowering force that the sapling's spirit is lost. High impact change professionals are able to achieve this dynamic balance. There is no question we need defense mechanisms to cope with the pressure to subjugate our true core in order to cater to the wishes of others. The challenge is how to employ this armor without losing our connection to what it is there to protect – forgetting who we are and the positive impact our uniqueness can have for clients.

It's Time to Wake Up

Let's go back to our earlier sapling/trunk illustration for more insight and inspiration.

This Is an Inside Job

For the metaphor to work, we'd have to consider that finding the small sapling within such a large tree would require pulling back the trunk. We would have to chip it away, bit by bit, to uncover the young sapling – the spirit of the tree – still living within. At some point, we'd actually be crawling inside the tree for closer examinations of where the tender skin of the young sapling stops and the surrounding strength of the trunk begins. What this picture evokes in me is a heightened awareness that nothing short of inching our way into our own depths will suffice. If we are to reconnect to and reacquaint ourselves with our inner nature, it will require a lot of hard work that we can't detour around, truncate, or delegate.

There are no shortcuts to make it quick, apps to make it easy, or surrogates to do it for us. Liberating a character that has been lost to the dense trunk of defenses that grew up around it can only be accomplished when we painstakingly extract layer after layer of the obfuscation that has built up.

Done right, this is a messy, extended, resource-consuming, and emotionally laden process – not something most people would describe as a lot of fun. I assure you it is not for the timid or faint of heart.

That's why many of the practitioners I know who have pursued such a path go on to be viewed as strategic and invaluable resources for their clients. They may have had reasons to engage in this very personal work other than raising the bar on their professional capabilities – it is not for me to say. I'm just observing that the change professionals I've personally had contact with who have engaged this kind of deep, introspective self-learning are usually the ones who also rose to the top of their games.

Don't Be Surprised When You Are Surprised

This kind of an exploration isn't about creating a sapling-looking figure from a larger piece of wood. This is more like archeology in that it involves uncovering what is already there. Character isn't developed, it's emancipated. We don't determine what it should be; it divulges itself to us.

This is about honoring what is, not imposing what should be. In this sense, we must be prepared to be surprised by what our character reveals about itself. If we only allow it to bring to light what we want or expect, we will defeat the whole purpose of the rescue effort. "Don't be surprised by what you learn about yourself when you wake up" would be the wrong advice. In fact, if you aren't occasionally surprised by what your inner core announces about itself, you are probably still trying to control the outcome too much. "Don't be surprised when you are surprised" is a better adage for approaching this undertaking.

It would be wise to take a cue here from improve comedians who are masters at acceptance. Regardless of what is said or done by their fellow comics or the audience, it is taken in as information to fuel the next joke. They don't engage the typical left-brain logic filters to determine which input best fits with where they want to go. They assume where they are going will become clear by the input they receive. They don't direct the outcome; they allow it to tell them how to get there by listening to and using whatever information is made available.

You Must Find your Own Path

Waking up to our inner nature can be approached from several perspectives, including:

- In personal relationships (friends, family, etc.)
- In health matters (nutrition, exercise, etc.)
- In solitude (prayer, meditation, etc.)
- It also can be revealed by exploring how we "show up" in our work

Delving into how our inner nature affects the way we practice our craft is something that we each have to commission in our own way. There are various enablers we can call on to help facilitate the process of reacquainting ourselves with our core and authentically expressing ourselves with clients. Some of these paths are very interactive (e.g., using a coach, mentor, or peer community for exploratory discussions). Other approaches are pursued in solitude (e.g., prayer, meditation, self-reflective time with nature). This is not something where "best practices" will be of much help. Anyone drawn to enroll in this kind of a journey must determine for himself or herself how best to proceed.

That said, here are some questions that may be worth either considering on your own or engaging in dialogue with others.

- What are some words, phrases, stories, or images you can use to portray what your character looks and feels like from the inside – your sapling?
- Does it feel any different with clients when you have a clear channel to your inner nature versus when you have fallen asleep?
- Your character is conveyed through your presence, so how do clients let you know whether or not who you are is valued?

- What impact does your character/presence package have on clients?
- What are some of the indications that your sapling is thriving beneath the protective cover of your trunk? Are there any indications when it is overwhelmed and in jeopardy of losing its identity?
- What are the ways you try to “wake” yourself up?
- What are some words, phrases, stories, or images you can use to portray the defenses you have built up to protect the integrity of your character and buffer you from emotional pain when who you are is devalued or ignored?
- What prompts your trunk to add new layers of defense?

Summary

Practicing the craft of change facilitation at a high impact level isn’t something most professionals will have an appetite for pursuing. The majority are focused on “what to do,” not “who they are.” This isn’t meant as an indictment; it’s just an honest reflection of how our profession has evolved.

There is good reason relatively few choose this path. Being a high impact trusted advisor has a lot of appeal until the realities of what it takes to reach this status become clear. Invaluable strategic practitioners generally work harder, put in longer hours, and take more risks than their adequate counterparts. In addition, they frequently find themselves in uncomfortable/difficult interactions with their clients and never reach completion of their professional development.

As if that’s not enough, the most challenging requisite for operating this way may be finding the courage and discipline to stay the course despite the problems and burdens encountered. Courage and discipline are critical elements for change professionals committed to maintaining a balance between knowing what to do and bringing forward who they are. We must have:

- The courage to maintain an unvarnished alertness for the good, the bad, and the ugly. At any point in time:
  - What is our character revealing (not just what we like about ourselves, but what we don’t like as well)?
  - What is our presence hiding (the parts of ourselves we are afraid to reveal)?
  - What happens when we practice our craft with the wrong clients (try to influence people who don’t understand or appreciate what we are offering when we bring forward our true selves)
- The discipline to make an informed decision each time we become aware of gaps separating our desire to be fully authentic and the reality of what we are actually doing

Practitioners seeking strategic and invaluable status can’t cultivate their character by acquiring new concepts or skills. It’s about uncovering our true nature and realigning with its inherent value and impact. It’s about reacquainting ourselves with who we are so we can stop denying our essence in order to keep others comfortable. It isn't easy to untangle ourselves from all the conditioning we've taken on over the course of our lives, but to excel in the change profession demands nothing less.

Character is the sapling at our core and, as such, is unchanging in its nature. When presence is an authentic reflection of that essence, we are in a position to leverage our greatest strengths – bringing forward the aspects of who we really are that are most advantageous to helping clients navigate the transitions they have asked us to facilitate.

We each have a vibrant, dynamic, spirited sapling that is the primary source of the benefits we provide our clients. High impact practitioners on a mastery path have a responsibility to themselves and those they serve to crawl through the layers of their trunk to reveal, honor, and express the sapling that is there.

This is an invitation for you to join in this pursuit – if you feel you are called to do so.

References

Aburdene P (2005) Megatrends 2010: The Rise of conscious capitalism. Charlottsville, VA: Hampton Roads Publishing

Conner D (1993) Managing at the speed of change: how resilient managers succeed and prosper where others fail. Random House, New York

Emerson, RW (2009) Essays: second series. Bibliolife, Charleston. http://www.emersoncentral.com/character.htm

Ekman P, Friesen WV (1975) Unmasking the face: a guide to recognizing emotions from facial clues. Prentice Hall, Englewood Cliffs

Havel V (1988) Letters to Olga. Henry Holt and Company, New York, p 237

Hillman J (1996) The souls code: in search of character and calling. Random House, New York

Jones M (1995) Creating an imaginative life. Conari Press, Berkeley

Merron K (2005) Consulting mastery: how the best make the biggest difference. Berrett-Koehler, San Francisco

Neal J (2006) Edgewalkers: people and organizations that take risks, build bridges and break new ground. Westport, Greenwood Praeger

Taleb NN (2010) Black swan: the impact of the highly improbable. Random House, New York

The Neurobiology of Personal Transformation

Corey Stanford and George Stanford

Contents

C. Stanford (✉)
Stanford Consulting, LLC, Fayetteville, AR, USA
e-mail: corey@stanford-consulting.com

G. Stanford
Thriving in Life, Springdale, AR, USA
e-mail: gh.stanford@yahoo.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_13

Abstract

This chapter describes personal transformation as both the context for and product of choosing growth-promoting responses to challenges in life over self-protecting responses. The disposition to make this choice sets a trajectory of personal transformation throughout life which is experienced as the development of innate potential and general well-being.

The growth and protection modes for life engagement are so holistic that they can be measured concurrently at behavioral, mind, and neurobiological levels. This chapter describes them at all three levels while focusing on the contributions of neurobiological research. Neurobiological patterns serve as reliable markers for the thoughts and actions that distinguish growth-promoting from self-protecting responses to challenges.

Most day-to-day life engagement is carried out automatically through habitual patterns of thoughts and actions that require little reflective thought and personal change. This chapter explains how challenges are delineated as opportunities for transformation by the degree to which they drive the need for significant personal change. The need for personal change to address challenges sets up an emotional conflict which is resolved through personal transformation.

Meeting challenges that provoke personal transformation requires reflective interpretations of situations and evaluations of oneself and intentional choices of growth responses. Reflective interpretations and intentional choices offset habitual thoughts and actions. They are both described in some detail, and practical skills and strategies are provided for their application to challenges.

Keywords

Neuroscience · Neurobiological markers · Self-transformation · Growth mindset · Self-efficacy · Reflective interpretation · Self-examination · Parasympathetic dominance

> Between stimulus and response, there is a space. In that space lays our freedom and power to choose our response. In our response lies our growth and freedom.
> Viktor E. Frankl, *Man's Search for Meaning,* 1946.

Introduction

Personal transformation is the metamorphosis of the individual toward a more complete expression of his or her innate potential. This chapter explores the neurobiological basis for transformation that occurs through engaging challenges in life with increasingly constructive growth-promoting responses. A growth-promoting response alters the individual in a positive way.

The ways science illuminates our understanding of personal transformation are a central feature of this chapter. Scientific investigation of personal transformation adds another layer to our understanding of ourselves that complements and expands philosophical and spiritual wisdom of ancient origin. The tools and discoveries of psychology and biology are revealing the synergy between the mind and brain-body that underlie personal growth as a holistic process.

Science is validating the qualities of mind long associated with the process of personal transformation. Abraham Maslow studied these qualities and derived an immensely intuitive description of them that is still relevant (Koltko-Rivera 2006). Science is now demonstrating that Maslow's self-actualizing qualities are indeed intimately related to physical, emotional, and spiritual growth and well-being.

Well-being is a process of transformation rather than a destination. The continual process of positive growth is experienced as well-being. Evidence particularly supports the self-directed pursuit of two core values as central to true well-being. They are personal growth and contributions to others (Schwartz 1994). These self-actualizing qualities positively affect every aspect of human functioning and well-being.

Synergy Between Mind and Brain-Body

Personal transformation impacts every aspect of human functioning on a holistic basis. From a biological perspective, smaller systems cooperate to form larger systems. At a high level of cooperation, the mind, brain, and body are integrated into one holistic system. Each of the parts concurrently fulfills specific functions critical to personal transformation, such as the interpretation and memory of information, regulation of the body, conscious awareness, self-identity, and intentionality.

Linking mental and emotional functions more directly to specific neurobiological systems helps to better understand how the mind, brain, and body work in synchronicity for personal transformation. Because specific functions of mind, brain, and body do not correspond in simple ways, scientists link them together through markers.

Starting with such psychological functions as human bonding, emotional regulation, and sense of self, scientists have been able to measure the activities of brain and body functions that serve as markers that co-occur with psychological functions. These biological markers are actual moment to moment neurobiological changes that map onto changes in the self-report or observed behavior of research subjects. Fine-tuned measurement of these changes is now possible with current technology such as brain imaging.

By submitting subjects to tasks that require mental functions during brain mapping, researchers can visualize and record how the brain addresses the challenges. Early research on neurobiological markers found that when we intentionally direct our attention to a task, the prefrontal cortex is more active. This change in activity is one type of marker for broad awareness of our environment and our self in situations to which we are supposed to be attending.

Another type of marker is the continuous elevated baseline activity of negative emotional neurons in the amygdala of the brain that usually accompanies prolonged anxiety in the absence of a real threat. This marker indicates that the biological basis of anxiety is active even if the individual is not consciously aware of it. There are also biological markers at the levels of organ functions, cell functions, and even gene expression.

Only a theory of mind-brain synchronicity serves to fully explain our current knowledge of the neurobiology of personal transformation. It is the mind that creates our experiences. However, the mind is not able to hold much information in conscious awareness, so it directs the storage and accesses of information to neural networks in the brain. The brain also consolidates personal memories into themes and creates neural pathways for automatic reactions and responses to various types of challenges in our lives.

It is common for neuroscientists to take a brain-first approach, or equate the mind and brain. We take a mind-first approach. While our understanding of the complexities of brain-body mechanisms expands regularly, current neuroscience research is still in the early stages of discovering reliable brain-body markers for consciousness, the self, and other psychological phenomena. Many of the functions we discuss are not well accounted for as simply brain activities. To better examine the role of the mind in personal transformation, we focus on its involvement in reflective interpretation of situations, conscious self-evaluation, and applied intentionality. Each of these functions has neurobiological components.

There is a popular conception that personal transformation takes place largely through peak experiences that illuminate a person's mind like turning on a light switch. An epiphany about life, oneself, and one's choices seems to coincide with the experience. Peak experiences can be transforming if they alter beliefs and behaviors. They can have lasting effects if they ultimately lead to more advanced growth-producing responses to life challenges.

This chapter describes another form of personal transformation through significant challenges. Significant life challenges represent an ideal medium for personal transformation. Since they require an evaluation of personal resources, they are highly self-relevant. As we will explain, significant life challenges elicit internal emotional conflicts in the mind and brain that must be resolved. These emotional conflicts place responses to significant life challenges among the most transformative personal experiences.

Slow continuous transformation through the constructive selection of growth-promoting responses to challenges is more like watching the sun rise than flipping a light switch. This form of personal transformation is seldom experienced as discrete steps. The individual is actualizing as he or she stays present and aware of the positive emotional value and self-relevance of choosing growth-promoting responses. The individual experiences the outcome of these choices as well-being.

Transformation Through Personal Experiences

Transformation takes place through personal or autobiographical experiences that alter an individual's perspective, often resulting in new insights and greater wisdom.

Collectively, personal experiences create a person's life story and sense of self. The more personal the experience, the more it is wired into neural pathways that are active when life choices are made.

Experiences are personalized by responding to them psychologically and neurologically as if they are primarily about the individual. The degree of personalization is registered in the brain by the intensity of two neurobiological reactions. One reaction is the degree of activation of the midline cortical structures in the brain that assign self-relevance to experiences. Activation of self-relevant structures signifies that the experience is about oneself.

The other reaction is the magnitude of emotional reactions that are marked by increased activity of positive or negative emotional neurons in the amygdala. Emotion is the catalyst to rewire neural pathways in the brain in response to any experience. The more experiences are emotional and personalized, the more substantive the alteration of neural connections in the brain.

More substantive alterations in neuron connectivity increase the memory of personal experiences and the degree in which they are consolidated into the life themes that serve as "chapters" in the individual's life story. The more personal the experiences, the more they are incorporated into the individual's identity and personality.

Identity and personality are two important psychological aspects of self that grow through personal transformation. Identity is a combination of how a person thinks and feels about himself. The thoughts are often conscious while the feelings are often less conscious. The combination of thoughts and feelings about oneself represent a personal resource called high self-efficacy or a personal vulnerability called low self-efficacy. Personality is the cluster of dispositions a person has to respond to challenges in life.

The main distinction made in this chapter is between growth and protection responses. Growth responses are based in a personal resource called loving-kindness, and protection responses are based in the personal vulnerability of fear and tension. While this distinction between growth and protection responses is a simple representation of personality, it summarizes the complexity quite well when examining personal transformation.

Each of the mind's choices for growth or protection responses is issue-specific. Each challenge prompts a separate mind-brain choice of response. On the other hand, those choices form patterns over time that become automatic.

Maintaining Stability of Self

Every cell in the body is being replaced regularly, and neuronal connections which represent an individual's psychological self are in constant change from each personal experience. A time lapse image of a single neuron with 1 min between frames illustrates dynamic movement as the neuron continually connects and disconnects from other neurons (Travis 2014). During sleep new neuronal connections are pruned to maintain stability and to reinforce transformation (Marget et al. 2011).

Two essential functions of mind work in concert to insure stability of identity and personality over time while providing opportunities for personal transformation. The function of habit maintains stability and the function of intentionality drives personal transformation. Whatever is practiced intentionally eventually becomes automatic. In this way, personal transformations eventually become stable aspects of identity and personality.

Stability of self is maintained by continuity of personal experiences. In every personal experience, the mind has an emotional reaction to the situation and the person's perceived resources to respond. Emotional reactions are defining qualities of personal experiences. Without them experiences are not personal.

In addition to positive or negative feelings, emotional reactions automatically activate positive or negative thoughts that correspond in mood to the feelings experienced. These thoughts often include ideas about and images of actions to take.

As emotional reactions occur over time, the hippocampus of the brain selects and stores certain features from situations experienced as rewarding or threatening. These may be sights, sounds, actions of others or other features. These features are then strongly associated by the hippocampus with either positive or negative emotional neurons in the amygdala.

Most responses to challenges are made automatically. Automatic responses to challenges are psychologically and neurologically efficient, requiring marginal thought and brain activity. They are made in a low state of awareness of the environment and oneself. Automatic responses are based on minimal information, often on simple cues such as emotional reactions.

When similar features of past experiences occur in a new challenging situation, the mind and brain matche the remembered patterns of past experiences with the present situation to activate a new emotional reaction. The emotions and sensory features of past experiences seem to the mind as if they are happening at the time they are activated. This "information" is then used as the basis for an automatic choice of a growth or protection response.

A great deal of daily life is turned over to habits. Automatic responses to challenging situations are a type of habit, and function in ways like other habits. Most habits are established associations between a cue and a response that require little reflective thought. The emotional reaction to a challenging situation is the cue that activates an automatic growth or protection response.

Constructive response choices to most challenges can become habits. While these habitual constructive response choices may produce good results, automatic choices do not have a high degree of transformative power. The transformational process is based in constructively engaging ever-increasing challenges that require reflective interpretation of situations and increasing personal resources to respond.

Choosing Responses to Challenges

People respond holistically to each opportunity and adversity primarily through their growth system or their protection system. As they respond with one system the other is suppressed. The mind is the primary arbiter of the choice about which way to respond. Through the process of self-actualization, the choices are made from perspectives of increasing clarity and wisdom.

Herbert Benson at Harvard Medical School has demonstrated that there are separate combinations of genes for growth and protection responses that are opposed in their functions (Benson and Proctor 2011). Activation of one combination of genes by the mind and brain suppresses the other combination. Benson's research has repeatedly demonstrated that intentional activation of growth system genes is related to physical, emotional, and spiritual well-being.

While teaching at Stanford University School of Medicine, Bruce Lipton's research demonstrated that individual cells respond to specific signals from the environment and the mind and brain in either a growth pattern or a protection pattern (Lipton 2015). These two patterns have distinctive differences in expression throughout the body. This chapter adopts Lipton's growth and protection terminology.

Since the mind interprets signals from the environment, this places the mind and its corollary brain-body functions in the central position to select which system to activate and which system to suppress under various environmental circumstances (Learner et al. 2015). This is evidence that the internal and external responses to situations are the most potent features of experiences. Internal responses can become beliefs, and beliefs can guide behaviors. Lipton proposes that beliefs are the main criteria the mind uses to choose the growth or protection system to respond to any specific challenge.

Responses to most circumstances in life are best manufactured through the growth system, particularly if they transform the individual in some way. All human functions require the growth process. Lipton points out that without growth there is no cell replacement for dying cells. Likewise, without growth there are no loving relationships or successes in life.

We know by the outcomes it produces that personal growth is an innate instruction in our being. We are wired to seek our own good, even if we are confused about what that is. Growth of mind is intimately connected with all aspects of well-being. Indeed, well-being is a major marker for personal transformation, as we will explain later in the chapter.

Richard Lazarus at the University of California, Berkeley, explained the relationship between challenges and choices, which he referred to as coping responses (Lazarus and Folkman 1984). Opportunities and adversities as challenges activate three important functions in the mind. First, the mind interprets the situation as an opportunity or a threat. Second, it evaluates the self for the resources to meet the challenge. Third, the mind chooses a growth or protection response to cope with the challenge. Lazarus gave us this understanding over 50 years ago, and it has weathered the intervening time quite well.

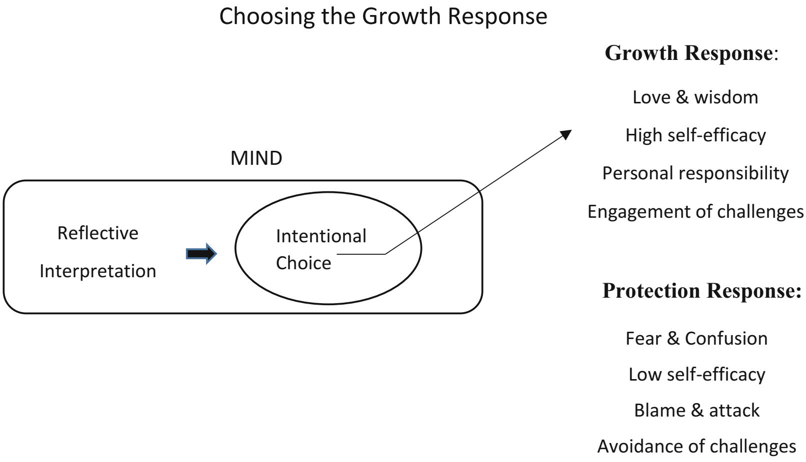


Fig. 1 Choosing the growth response

The predominant choice of growth responses to both opportunities and adversities influences life trajectories in critical ways as is demonstrated by the graphic that follows in Fig. 1.

Comparing Growth and Protection Responses

The interpretation and choice making phases in the graphic are marked biologically by two different processes served by two different brain networks (Seeley et al. 2007). The salience network of the brain interprets the relevance of the situation and one's personal resources to engage it. Reflective interpretation of the situation and evaluation of oneself ensures that emotional reactivity is balanced by beneficial perspectives and self-efficacy (Stanford et al. 2016). Then, constructive intentional choices are made through the executive network of the brain.

When the mind chooses a growth response, thoughts and actions are driven by love and wisdom. The individual has high self-efficacy or sound beliefs in his or her capacity and motivation to control emotions and take appropriate actions. The growth response endows the person with more beneficial perspectives derived from greater awareness and interpretation of the environment and self. The individual takes personal responsibility in engaging both opportunities and adversities in constructive ways.

Beneficial perspectives are not simply positive thoughts derived from an optimistic view of life. Rather they originate from a deeper understanding of the nature of challenging situations, more accurate evaluation of one's personal resources and alignment with high core values. In this sense, they serve as guiding principles for important life decisions, especially when choosing growth-promoting responses to challenges over self-protection responses.

When the mind chooses a protection response, thoughts and actions are driven by fear and confusion, often provoked by the challenge to change. The individual has low self-efficacy, and tends toward thoughts and actions which he or she attributes to circumstances. The individual blames others and circumstances for setbacks and adversities and often responds with anger. When protection responses become a pattern, the person avoids challenges to protect his or her self-concept and avoid negative emotional reactions. This inhibits optimism and satisfaction with life.

Growth and protection responses are not simply the opposite of each other. While they are coordinated at the level of the mind to produce a single response, the growth and protection responses are activated by two different biological systems with different functions. We mainly describe the growth system since it is intimately related to personal transformation, and we provide some description of the protection system as a source of contrast.

Growth responses to challenges propel personal transformation. Growth requires personal change, and personal change requires resolution of threat perceptions that can occur at conscious and subconscious levels. When challenges occur, the mind must resolve the conflict between opportunity and threat perceptions to make a choice. This response conflict takes place through the crosstalk between two brain structures that interpret opportunity and threat. The mind makes this decision either automatically or intentionally.

In the process of responding to challenges in growth-promoting ways, the individual calls upon and further develops three important personal resources that are outlined in the graphic. They are loving-kindness, wisdom, and self-efficacy. In large part personal transformation centers on the development of these qualities of being.

The choice to seek protection works through a series of hormonal messengers that increase heart rate and respiration, restrict nourishment to organs, and activate the fight or flight response. In contrast, the choice to seek growth increases nourishment to organs to provide energy to meet challenges. This occurs through hormonal messages of enthusiasm and optimism from the dopamine reward system that begins when growth responses to challenges are anticipated by the mind. This anticipation is experienced by conscious rehearsal of the thoughts and actions that are being prepared by the conscious and unconscious mind as it makes the decision.

The Growth Mindset

Researcher Carol Dweck at Stanford University found that students at various levels of education are on a continuum from a fixed to a growth mindset (Dweck 2006). She demonstrated that this distinction can be drawn from early childhood throughout life. This same principle has been observed by other researchers across most vocational areas. Dweck found that placement on the mindset continuum is implicit for most individuals. They are not aware of the beliefs which affect their placement.

The most basic differences in beliefs that underlie the two mindsets are about one’s abilities. The fixed belief is that abilities are static, while the growth belief is that most true potential is undiscovered. Personal transformation can be described as the discovery of true potential.

These two beliefs affect motivation to engage challenges differently. A fixed mindset motivates individuals to avoid failure, while a growth mindset motivates individuals to engage and thrive on challenges to learn and grow. For persons with a fixed mindset, high effort is a risk because it seems to be a waste. For those with a growth mindset, low effort is a risk because it represents lost opportunity.

For the two mindsets, setback and failure have different meanings. For fixed mindset, it means loss of self-esteem, but for growth mindset it means something was learned. To avoid failure those with a fixed mindset will often pass up opportunities that require growth and choose protection responses.

Another quality that distinguishes persons with a growth mindset from those with a fixed mindset is the tendency to focus on others rather than themselves. Individuals with fixed mindsets tend to choose protection responses out of their fear of failure and rejection.

Dweck and others have found that growth mindset can be taught and learned. She found that most individuals are energized as they realize that they can impact their own minds. This realization changes their self-concepts and their motivation to learn and grow. It puts some level of personal transformation in their control.

Response Conflict

A mental process called response conflict has been examined extensively for behavioral and neurological markers. One research paradigm presents subjects words on a computer screen in different colors (Zysset et al. 2001). The words are names of colors that differ from the color of the text. The subject is required to disregard the meaning of the word and name its color. This sets up a simple response conflict of choice of one interpretation of the stimulus over the other. The time it takes individuals to make the choice is considered a measure of the degree of response conflict the individual experiences making the choices. Being able to measure even this simple type of response conflict enables neuroscientists to look for brain markers that underlie the phenomena.

This principle of response conflict applies to choices of responses to significant life challenges. However, the conflict is much more self-referential and emotional. Christine Rohr and her colleagues at the Max Plank Institute for Human Cognition discovered that the mind's interpretations of situations and related evaluations of oneself activate the superior temporal sulcus of the brain for growth potential (Rohr et al. 2016). In addition, the same situations and personal resources are evaluated for threat or personal vulnerabilities by the inferior parietal lobe. The more challenging the situation, the more intense is the response conflict.

These two structures then communicate with each other through a neural circuit that connects them together to resolve their emotional conflict. The mind considers information from both sources in a process called value coding, and then ultimately suppresses one of the sources. At this point the mind is ready to pursue a growth-promoting response or a self-protection response. While this decision is taking place, the mind prepares thoughts and actions based on both responses.

One useful marker for this type of mind-brain activity is the connectivity between the structures just mentioned. Connectivity can be computed from brain *images*, and is related to the density of neurons when the circuit is at rest and the intensity of the circuit and when it is active. High circuit connectivity results from experience and provides efficiency of choices. Response conflicts activated by challenges are reflected in the connectivity between the superior temporal sulcus and the inferior parietal lobe.

Growth-promoting resolution of response conflicts presented by life challenges leads to the kinds of positive mind and brain alterations that represent personal transformation. The challenges activate high levels of self-relevance and emotional reactions that cause significant positive alterations in neural pathways. Resolution in favor of growth-promoting choices expands the connectivity of the choice circuit and the individual's self-efficacy for constructive engagement in life.

Reflective Interpretation and Intentional Choices

Reflective interpretations are much slower than reactive interpretations and are not often automatic. They are based in gathering and value-coding current information. This results in clarity and wisdom that is suppressed through self-protection responses to challenges. When there is too much uncertainty, value coding neurons for reflective interpretations are inhibited and the mind defaults to automatic or "gut-level" decisions (Saunders et al. 2015).

Reflective interpretations require some level of intention to occur at all. Intentional choices require a clear image of what an individual wants for himself, accompanied by the reward of optimism. Activation of the Nucleus Accumbens in the brain serves as a marker for the functions of the dopamine reward system that produce optimism. It is only activated through growth responses.

Four intentional reflective strategies have been found to contribute to the self-directed transformation of the mind. They are values clarification, self-distanced processing of experiences, development of beneficial perspectives, and self-examination.

Values Clarification

Purposes which build and maintain meaning in life are realized in large part by aligning your mind with high core values. Alignment means incorporating those values into your personal beliefs and actions. This results from the dedication and use of personal resources such as time, energy, and possessions for accomplishments that serve high core values. Research shows that all core values are not created equal in their ability to produce a satisfying life. Some core values produce boredom, discontent, and longing for meaning.

High core values serve as guiding principles and standards for personal transformation. They seem to be wired into the person's being and yearn for expression. If these values are ignored, individuals feel as if something is lacking in their lives and are bored and discontent to some degree. As individuals attend to high core values, self-maturation and life satisfaction is experienced.

Discovering the nature and impact of core values with high benefits has been the life work of Shalom Schwartz at The Hebrew University of Jerusalem. He has analyzed the responses of groups to questionnaires about personal values in 82 countries (Schwartz 1994). The core values of personal development and contributions to others were universally judged as the most important guiding principles by research participants.

The values of arousal/pleasure and power over others were judged to be the least important guiding principles. The values of self-direction and challenging goal pursuit were found to be high values when they are engaged as means to the fulfillment of the two highest purposes, but not when they are pursued as means to personal fulfillment through low-value goals.

Core values that promote satisfaction with life align perfectly with universal concepts of spiritual well-being. Many people adhere to the same highest core values as part of their spiritual orientation to life. They minimize materialistic self-enhancement to experience satisfaction and contentment through altruistic purposes.

Research finds that making contributions to others increases one's longevity and decreases the giver's distress, yielding positive emotional well-being (Poulin et al. 2010). Acts of kindness have been shown to extend life spans by preserving the telomeres or life clocks in cells throughout our bodies (Epel et al. 2009).

There are some explanations about how that works. Making contributions to others addresses our need for belonging. Attachment theory has emphasized the safety and bonding felt by recipients of acts of kindness. Paul Zak at Claremont Graduate University has repeatedly demonstrated that this same system operates at a high level for donors of acts of kindness (Zak 2007). The same psychological and biological processes of secure attachment provide lasting powerful intrinsic rewards of health and happiness for contributing to others.

Regular focus on high value core values enables an individual to make growth responses to simple choices and significant challenges. Daily value-coding results from the reflective question "is this high or low value?" When applied to habits and automatic decisions, the answers may alter conscious awareness of how an individual's personal resources are being used.

Self-Distanced Processing of Experiences

Self-distanced processing of personal experiences is a reflective interpretation strategy that can begin during personal experiences. It is accomplished through attention to and interpretation of a situation and yourself from an objective third party perspective (Sutin 2008). This would be like watching yourself in a video with an open mind as an event unfolds or as you reflect on it later. Self-distanced interpretation capitalizes on your ability to observe yourself and promotes the creation of more beneficial perspectives.

The first source of information for reflective interpretation is the emotional reaction that is occurring automatically. Self-distanced processing enables individuals to observe their emotional reactions and use them as information. Psychological distance from emotional reactions helps the observer determine how much a situation is about him or her and whether it truly represents an opportunity or threat.

Developing Beneficial Perspectives

One form of wisdom that can be developed intentionally is beneficial perspectives. Beneficial perspectives are guiding principles about oneself, others, and life that can predispose a person to respond to situations in a helpful way. They are activated mentally as beliefs and applied as wisdom when needed to engage challenges in life. These beliefs guide constructive interpretations of situations and self-evaluations that support good decisions.

Guiding principles are transformed into personal beliefs as they are applied to challenging situations in life, and the resulting experiences are reflectively processed to reinforce their benefit. Beliefs are concepts with emotions attached to them that give them personal meaning. The positive emotions experienced by applying beneficial perspectives reinforce them as personal beliefs. The more they are applied, the more useful they become as guiding principles.

Beneficial perspectives are always under the process of development as sources of wisdom. Wisdom is making the best responses in thoughts and actions to challenges a person has at the time. Making the best choice of responses in one situation leads to even better choices in subsequent similar situations. Wisdom has grown and beneficial perspectives have developed to guide even more constructive actions.

In the development of beneficial perspectives, times of solitude are set aside to reflect consciously on the consequences of growth and protection response choices. These reflective times also include anticipation of more challenging situations and preparation for them through mental practice of growth responses. Because of this reflection and mental practice, beneficial perspectives arise automatically together with emotional reactions to challenging situations.

Increased development of perspectives seldom occurs during events. It more often occurs in the time between similar events by following the process that was just described. When a person is having an emotional reaction to a situation, the beneficial perspectives available at the time are the ones already pondered, applied to past challenges, and practiced mentally.

Practicing Self-Examination

An important way to live intentionally is to adopt the regular practice of self-examination in much the same way as regular practices of eating nutritionally, exercising, meditating, or praying. Self-examination is the essential ingredient for self-directed personal growth decisions. Through self-examination you intentionally transform experiences into wisdom, wisdom into beneficial perspectives, and beneficial perspectives into happy and satisfying life themes.

Self-examination begins with self-observation that exposes one's beliefs about self and the persons and relevant situations which activate them. Beliefs are expressed as thoughts, feelings, and actions that arise from life themes. To keep self-observation honest, there must be an active part of one's mind that is objective and nonjudgmental. This function of mind is often referred to as the "observer." For self-examination, it is essential to locate this ability in oneself and develop it to practice the self-distanced processing of experiences described earlier.

Self-observation does not involve analysis. It is a process of recording the most accurate truth about oneself and situations that can be perceived. Through practice self-observations become more objective. The thoughts, feelings, and actions observed in oneself are part of the truth. Another related part is what the individual is reacting and responding to. Both parts are essential information to observe and examine later in quiet reflection.

Inner thoughts and feelings and the outer environment cannot be observed at precisely the same time. Conscious awareness of both one's external and internal worlds would require the simultaneous activation of specific neurons that differ between the two types of observations. However, when one type is activated the other type is inhibited by a process in the mind and brain called "gating" (Jones et al. 2016).

Gating also allows you to focus more finely on specific thoughts or sensory information while basically ignoring others. Fortunately, your mind can learn with practice to switch back and forth between your internal and external environments so quickly that it seems you are aware of both simultaneously.

Creating Transformative Experiences

In addition to responding to challenges when they present themselves, opportunities for transformation through personal growth and contributions to other can be sought through identity-based goals. Identity-based goals derive from a desire to improve and the intention to pursue that desire. One way to pursue such intentions is setting transformational targets that propel engagement of challenges primarily for the purpose of growth.

Setting a transformational target means getting clear, committed and focused on what you want to change about yourself and your life. This usually results from deep adaptive reflection. As individuals set and follow a trajectory for personal development, life provides the person with opportunities for needed experiences.

A major aspect of commitment to goals is holding them in mental focus and reviewing them often. One way to do this is to create social support and accountability through the help of a friend, coach, or counselor. Another way is to review and profess enabling beliefs regularly as needed in critical situations to maintain beneficial perspectives.

Individuals that persist in goal directions are likely to anticipate challenges and setbacks. They attribute most of these occurrences to things they can change through a conscious course direction. They respond to failures as necessary learning experiences. One way to respond to anticipated challenges is to prepare through mental rehearsal. This involves visualizing critical or difficult situations, activating beneficial perspectives, and mentally practicing constructive behaviors. This differs considerably from fearful anticipation and worry because the visualizations are optimistic.

Sustained intention to reach transformational targets is a central component of satisfaction with life and with oneself. Intention is activated and maintained through motivation that comes largely from the appraisal of benefit of outcomes and from increased self-efficacy. While satisfaction with life and oneself is the main intrinsic reward for reaching outcome goals and completing action steps, hopefulness is the main intrinsic reward that sustains intentions (Stanford et al. 2016).

Hopefulness is the emotional reward of savoring the outcomes of meaningful goals as a person progresses toward those outcomes (Heller et al. 2013). Optimists receive regular intrinsic rewards through the anticipation of reaching transformational targets because they believe that the outcomes they are working toward are primarily dependent on their own effort rather than conditions outside of their control.

In addition to adopting challenging outcome goals, optimists create paths to those goals through the continued fulfillment of action plans. Each step in an action plan fuels their hopefulness. Each action taken toward a goal represents an opportunity for satisfaction. Consciously savoring each accomplishment helps a person look forward to success with the next action. Even savoring the completion of small steps provides emotional reward and fosters optimism for the next action.

Parasympathetic Dominance and the Disposition for Growth

Perhaps the single best neurobiological marker for the disposition to choose growth responses to challenges is a state of the autonomic nervous system called parasympathetic dominance. With a strong disposition toward growth-promoting choices, the parasympathetic system that calms physical and emotional arousal controls the cooperation with the sympathetic system that activates physical and emotional arousal.

Consequently, parasympathetic dominance is a condition of holistic health that is also the single most accurate indicator of general well-being. It is detected when a person's heartbeats most accurately match their breathing rhythm, calming distress and promoting health. The sympathetic system increases heart rate when more oxygen is needed upon inhalation and the parasympathetic system decreases it when the person is exhaling. Because respiration is uneven, moment to moment heart rate needs to be variable.

The sympathetic system is too slow in response time to control this process, but it can dominate during self-protection responses and dispositions. This results in fear and tension that undermine emotional control, self-directed attention, and clarity of thought. Negative health consequences follow.

When the parasympathetic system dominates during growth responses, it can produce cooperation between the two systems of heart rate variability that is referred to as heart coherence. At those times when activation of the sympathetic system is needed for constructive protection responses, the control of the parasympathetic system for healthy heart rate variability actually increases. Heart coherence in turn affects a condition called brain coherence in which all of the brain structures are working cooperatively with a high level of interconnection (McCraty and Zayas 2014).

Loving-Kindness as a Growth Resource

Affective neuroscience has demonstrated an important psychosomatic link between loving-kindness and parasympathetic dominance. They rely on overlapping neurochemical systems that include the vagus nerve, oxytocin level, and the dopamine reward system.

The parasympathetic system is innervated by the vagus nerve, the same nerve that carries messages of loving-kindness to the heart and other organs to create health and happiness. With strong vagal activity, the parasympathetic system can dominate the regulation of heart rate and provide optimal variability. When in parasympathetic dominance, the more intensely one experiences distress, the more forcefully the parasympathetic system dominates to maintain optimal heart rate variability.

Higher vagus nerve activity is accompanied by higher levels of oxytocin throughout the body. Oxytocin promotes trust of and cooperative bonding with others. This calms emotional reactions that activate protection response tendencies. Oxytocin is also a chemical catalyst that intensifies the effects of the dopamine pathways of the reward system that are available while in growth dispositions.

Loving-kindness as a personal resource is at the core of the dispositions to choose growth responses. Dispositions of love are stable but changeable traits that influence responses to others and life situations. Research leads to the conclusion that the dispositions of gratitude, compassion, and forgiveness are critical components of loving-kindness. These three dispositions of love have been studied extensively in psychological research and taught as the core of spiritual practice.

The dispositions of love create impetus for acts of kindness, and acts of kindness build the dispositions of love. While it is impossible to catalog all types of acts of kindness, five validated types are engaging others with affection, providing appreciative attention, speaking words of affirmation and encouragement, and completing cheerful acts of service.

Gratitude is the most basic quality and the wellspring for compassion. Compassion is the core of loving-kindness and often manifests as altruism and care-giving. Gratitude and compassion represent the path of loving-kindness from the spiritual perspective. The path of loving-kindness provides direction through the challenges of life. Forgiveness is the spiritual and emotional return to loving-kindness after temporarily falling off the path into the blame and bitterness often characteristic of self-protection.

Gratitude is the focus on what is good about life and the people in it. Expressions of gratitude further improve and maintain a positive emotional growth-promoting state. This holds true even when gratitude is expressed privately such as in a personal journal or prayer. Researchers have examined the physical and emotional health benefits of expressing gratitude. Expressing gratitude was found to extinguish disappointments, overpower hurt feelings, and promote beneficial compassionate perspectives.

Researchers who study loving-kindness generally conclude that it is an expression of an innate goodness and well-being critical for the realization of human potential (Keltner et al. 2010). Compassion is the core disposition of loving-kindness. Dacher Keltner at the University of California, Berkeley, believes that compassion is an inherent human quality nurtured largely through receiving and providing attuned care-giving.

The most apparent biological mechanism of compassion is through the function of the vagus nerve, which originates at the top of the spinal cord and extends through the core of the body. Keltner and his colleagues found that when individuals report compassionate responses to pictures of individuals experiencing difficult situations, their vagus nerve responses increase. In this heightened vagal state, they rate themselves as having greater similarities to many different groups of people, a quality found to promote altruistic behavior.

Another disposition of love is forgiveness. The research and development of the Heartland Forgiveness Scale, the most prominent measure of dispositional forgiveness, indicates that there are three factors that determine an individual's reluctance to cast blame (Thompson et al. 2005). They are forgiveness of others, of oneself, and of distressing situations.

Forgiveness can take two related forms: avoiding blaming and surrendering blame to return to loving-kindness. During self-protection, people tend to believe that situations, including the actions of others, are the cause of distress in their lives. Most of this distress can be resolved automatically or intentionally in short order through acceptance of the flaws in oneself, others, and life.

Acceptance is promoted by the compassionate perspective that life presents a continuous flow of challenges for everyone. Successfully meeting one challenge just makes room for the next one.

Holding persons and situations responsible for continued distress to maintain self-protection during and after emotionally disturbing events inflames and prolongs the distress. Embracing anger promotes a sense of justification in the mind for retaliating against others or life. At this point it is easy to fall into a negative bias, discounting good features of others, oneself, or situations to focus only on negative features.

Consistent or dispositional compassion sets the stage for what researchers refer to as dispositional forgiveness. Dispositional forgiveness is the tendency to rely on loving-kindness to avoid maintaining blame of oneself, other people, and situations.

Choosing forgiveness does not mean problems are not addressed. Through forgiveness growth-promoting thoughts and actions help individuals solve distressing problems in a nonjudgmental way.

Self-Evaluation

Persons who have strong dispositions to choose growth responses to challenges tend to have positive self-evaluations. On the other hand, simply choosing growth responses develops positive self-evaluation as a growth resource. This places the growth of a positive identity in the control of the individual. In addition to producing better outcomes, the disposition to choose growth responses fosters beliefs in one's ability to control emotions and take constructive actions.

Researchers examine the nature of self from many different angles. Many proposed traits that seem to be about the self-concept lead to their own lines of research. This includes the related traits of self-esteem, self-efficacy, locus of control, and optimism. Locus of control is the extent to which one attributes the outcomes of one's life to be due to his or her responses to challenges versus the circumstances that are outside their control. Self-evaluation is the core of all of these traits.

This hypothesis was tested in a series of studies by Timothy Judge at the University of Florida and other researchers (Judge and Bono 2001). When they statistically analyzed data in which measures of all the traits listed above were administered to large groups of individuals, a single growth resource emerged. They called it core self-evaluation. Self-esteem, self-efficacy, locus of control, optimism, and resilience were all shown to be expressions of core self-evaluation.

Persons high in locus of control attribute most of the outcomes of their lives to belief in their ability to direct their lives. Optimistic persons exhibit high self-evaluations in their positive expectations to meet important goals. Resilient individuals can risk failure and rejection because they believe in their ability to regulate their emotions and continue to take actions that lead to success. Since they are all expressions of the same personality factor, having any one of these high self-evaluation traits strongly predicts that an individual will be high in the others.

Among the core self-evaluation traits, self-efficacy turned out to be the most representative single measure of core self-evaluation and most predictive of scores on the other traits. Judge found out that the measure of self-efficacy was so close to the average of all the measures that it can be considered as a good single representation of core self-evaluation.

Albert Bandura at Stanford University has been the main theorist and proponent of research on self-efficacy (Bandura 1977). His summary of research on self-efficacy is so instructive that it is quoted here:

> A strong sense of efficacy enhances human accomplishment and personal well-being in many ways. People with high assurance in their capabilities approach difficult tasks as challenges to be mastered rather than threats to be avoided. Such an efficacious outlook fosters intrinsic interest and deep engrossment in activities. They set themselves challenging

> goals and maintain strong commitment to them. They heighten and sustain their efforts in the face of failure. They quickly recover their sense of efficacy after failure or setbacks. By sticking it out through tough times, they emerge stronger through adversity.

Self-evaluation has both conscious and unconscious components that are related to each other but make important separate contributions to identity and personality. The conscious component is developed and maintained primarily by thoughts. Terms like self-concept or self-esteem refer to a person's conscious identity.

In addition to reacting emotionally to situations, persons also react emotionally to themselves (Stapel and Blanton 2004). In other words, an individual's own thoughts and actions elicit an emotional response. As Richard Lazarus proposed, people are constantly evaluating themselves for competency to succeed and worthiness for the attention, affirmation, and affection of others (Lazarus and Folkman 1984). Much of this evaluation occurs outside of awareness, producing feelings about our personal resources to meet challenges and relate to others. These unconscious emotional evaluations of one's competency and worthiness are represented over time by emotional reactions during personal experiences.

There is a "self-referential" region in the brain called cortical mid-line structures that develops and stores one's sense of self in personal experiences. It is active to the extent that an individual consciously or unconsciously interprets that a situation is "about me." For instance, hearing one's name during an experience or viewing a picture that includes oneself activates the self-referential region. Personalizing a situation as relevant to oneself amplifies the emotional reactions to situations.

When a person is in any positive personal situation, part of the positive emotion experienced automatically and unconsciously is associated with their self. Because they are being successful and valued by others they feel more competent and worthy. People with the disposition to choose growth responses generally experience positive moods and high self-efficacy, creating a resistance to reducing their self-evaluation in response to failure and rejection. We call these people optimistic and resilient because those are two of the traits of positive self-evaluation.

Hope, Optimism, and Expectations of Success

Intention can be described as a positive visualized outcome accompanied by optimism. Hopefulness as a motive or driving force for success and satisfaction was studied by C. R. Snyder at the University of Kansas (Snyder 1994). He determined that hope drives optimists to find and engage useful strategies to achieve their valued personal goals. To do this they focus on past successes and engage in considerable positive self-talk. When an adopted strategy fails to work, they cheerfully shift to an alternate strategy.

Subsequently, hopefulness was discovered to be one of the main qualities of the emotional reward system and a key ingredient in the relationship between positive self-efficacy and success. Optimism in the form of hopefulness is the positive emotion associated with the beneficial perspectives that promote personal achievement. Hopefulness is the main quality that enables individuals to reframe distressing experiences in resilient ways.

Optimists' responses to failures may be as important as their responses to successes. Interpreting failures as a reflection of one's ability and value creates self-protective pessimism about future successes, which leads to restricted goals and limited effort. Making a responsible analysis of what worked and what did not work, distanced from the appraisal of self-worth, leads to the constructive redirection of one's effort.

While optimists experience somewhat more successes than pessimists, they experience about the same number of failures. They can have a lot of both because they just engage life more. Martin Seligman at Penn University was studying depression when he took an interest in optimism (Seligman 2006). He determined that depressed individuals learn helplessness mainly through self-protective responses to setbacks and disappointments that are often outside of their control. They tend to feel responsible for much that they cannot control, and they come to feel helpless about much of what they can control.

Because of growth responses optimists respond differently to setbacks by learning where they have control and where responsible behavior will pay off. Instead of becoming discouraged by their failures, optimists consider failures to be useful information and turn their enthusiasm for success toward a different approach or different venture. They are constantly directing their energies toward expected positive goals. Many of these outcomes are realized as life successes in work, relationships, and recreation.

High Self-Efficacy and the Growth Response

High self-efficacy associated with the disposition to choose growth responses allows persons to engage challenges even though they feel apprehension. That apprehension is the normal negative emotional response that accompanies most personal changes. An individual can experience an elevated level of negative reactions in challenging situations but still have a positive self-evaluation based on the past experiences of succeeding in challenging goals.

Engaging challenging situations despite negative emotion increases emotional self-efficacy, or the belief in one's ability to calm their emotional reactions in order to respond constructively. Through increased emotional self-efficacy, a person becomes less restricted by the initial negative emotions common to the prospect of change, and he or she engages people and life more fully.

Meeting challenging goals often requires one to overcome feelings of stress and the mental state of apprehension. A growth response to a challenge sufficient to result in personal transformation begins with a conscious interpretation of one's emotional arousal to the prospect of change. It is that arousal that sets up the emotional conflict that must be resolved for transformation. Awareness of that conflict and emotional self-efficacy promote an intentional choice of growth responses that are based in hopefulness about future success.

By activating the dopamine reward system, the growth response engenders positive expectations. By activating negative emotional neurons in the amygdala and a "disappointment" structure in the brain called the Lateral Habenula, the protection response inhibits the reward system and reinforces negative expectations and withdrawal. It is the positive resolution of the emotional conflict between the growth and protection responses that propels personal transformation.

The sympathetic nervous system activation that is often referred to as stress is often experienced as distress by individuals. Scientists make a distinction between two types of stress that have different functions for meeting challenges. Good stress empowers a person to succeed with a growth response and bad stress produces fight or flight and toxic levels of stress hormones characteristic of a protection response.

Both responses activate the sympathetic nervous system, creating emotional arousal and increasing heart rate. However, the arousal serves different purposes. During the growth response, blood vessels are dilated to provide the energy, mental clarity, and fully functioning organs to maximally engage challenges. Sympathetic arousal is accompanied during the protection response by constricted blood vessels that raise blood pressure and minimize many organ functions to prepare one to combat perceived threats.

The prospect of any real personal change presents a threat sufficient to place most individuals in the condition of mild to moderate negative emotional reactivity. The zone of tolerable negative emotion is where most people experience personal transformation. When a negative emotional reaction overestimates the threat of failure or rejection, emotional self-efficacy can remind a person that they are able to tolerate the temporary apprehension that accompanies significant personal change without fearing that they will be emotionally overwhelmed.

Rather than interpret heightened emotional arousal in the face of challenge as fear, a person can learn to interpret it as enthusiasm and energy for challenges. Self-efficacy can produce such thoughts as "I have succeeded in similar goals in the past" and "This challenge is exciting." Research has demonstrated the benefit of this type of re-interpretation in responding to a variety of different challenges (Hajcak and Nieuwenhuis 2006).

The reason it is called re-interpretation is because a negative emotional reaction normally associated with making a change has already made the first interpretation. Individuals with the disposition toward growth responses are able to suspend their negative emotional reaction to exercise reflective interpretation.

Robert Maurer at UCLA School of Medicine has written a small book with a simple explanation of how to meet challenges in ways that sidestep fear to engage a growth response (Maurer 2014). The technique is based in asking small questions, thinking small thoughts, taking small actions, and solving small problems that collectively keep one focused on a goal and experience success more quickly than might be imagined.

Growth responses to life challenges are critical to the realization of the meanings and purposes that lead to satisfaction in life. Believing that one has sufficient control of oneself and influence over relevant situations, he or she can access beneficial perspectives and implement coping skills to calm distress and produce significant personal growth and accomplishments. Optimistic, confident, self-actualizing individuals frequently place themselves in the zone of tolerable negative emotions to meet challenging goals in their lives and experience personal transformation.

Self-Awareness and the Transformation of the Mind

A powerful psychological marker for the transformation of the mind is the growing conscious awareness of the role the mind plays in the construction of our experiences. Self-observation is the reflective process involving the mind quickly detecting and observing emotional reactions, including the thoughts and action tendencies that that are a part of that reaction to use as information. When these observations are nonjudgmental, they can be important information for reflective interpretation of challenges.

Four important insights increase conscious awareness of the role of the mind. Each involves awareness and strategic reliance on a way that the mind works as outlined below:

1. Personal experiences are primarily internal, based more on interpretations of situations and evaluations of oneself than on external reality. These interpretations create a person's personal experiences.
2. Most emotional reactions were acquired during past experiences and are automatically reapplied to present experiences. Treating them as information about oneself rather than confirmation that situations are good or bad assists reflective interpretation.
3. Thoughts that arise from emotional reactions tend to fill the space between those reactions and actions. The emotional mind experiences its beliefs about situations and oneself as reality. Thoughts derived from emotional reactions are not reality. They generally dissipate when interpreted as just thoughts and are replaced by beneficial perspectives.
4. Constructive responses to true challenges require changes in personal reality and intentional response choices by the mind. With repeated application of intentional growth responses, constructive choices can become almost automatic.

Conclusion

The intention to remain in growth-promotion sets a powerful standard for the engagement of all opportunities and adversities in life. While in the growth mode, constructive choices and responses automatically arise. Personal experience becomes self-directed.

As individuals grow through self-directed experiences, the opportunities to expand conscious awareness and intentional transformation of the mind increase. As they begin to apply reflective interpretation and intentional choice to employ growth responses to increasing challenges, they experience personal transformation. Thus, the mind directs the holistic transformation of the person.

Cross-References

▶ Identity and Meaning in Transformation
▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
▶ Self-Awareness in Personal Transformation
▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment

References

Bandura A (1977) Self-efficacy: toward a unifying theory of behavioral change. Psychol Rev 84(2):191–215

Benson H, Proctor W (2011) Relaxation revolution: the science and genetics of mind body healing. Scribner, A Division of Simon & Schuster, New York

Dweck C (2006) Mindset: the new psychology of success. Ballantine Books, New York

Epel E, Daubenmier J, Moskowitz J (2009) Can meditation slow rate of cellular aging? Cognitive stress, mindfulness, and telomeres. Ann N Y Acad Sci 1172:34–53

Hajcak G, Nieuwenhuis S (2006) Reappraisal modulates the electrocortical response to unpleasant pictures. Cogn Affect Behav Neurosci 6(4):291–297

Heller A, Reekum C, Schaefer S et al (2013) Sustained striatal activity predicts eudaimonic well-being and cortisol output. Psychol Sci 24:2191–2200. http://pss.sagepub.com/content/early/2013/09/19/0956797613490744

Jones L, Hills P, Dick K et al (2016) Cognitive mechanisms associated with auditory sensory gating. Brain Cogn 102:33–45

Judge T, Bono J (2001) Relationship of core self-evaluations traits – self esteem, generalized self-efficacy, locus of control, and emotional stability – with job satisfaction and job performance: a meta-analysis. J Appl Psychol 86(1):80–92

Keltner D, Marsh J, Smith J (2010) The compassionate instinct: the science of human goodness. The Greater Good Science Center, W.W. Norton, New York

Koltko-Rivera M (2006) Rediscovering the later version of Maslow's hierarchy of needs: self-transcendence and opportunities for theory, research, and unification. Rev Gen Psychol 10(4):302–317

Lazarus R, Folkman S (1984) Stress, appraisal, and coping. Springer Publishing Company, New York, pp 141–178

Learner S, Li Y, Valdesolo P et al (2015) Emotion and decision making. Annu Rev Psychol 66:799–823

Lipton B (2015) The biology of belief: unleashing the power of consciousness, matter & miracles, 10th Anniversary edn. Hay House, Chapter 6

Marget S, Faraguna U, Nelson A et al (2011) Sleep and waking modulate spine turnover in the adolescent mouse cortex. Nat Neurosci 14:1418–1420. http://www.nature.com/neuro/journal/v14/n11/full/nn.2934.html

Maurer R (2014) One small step can change your life: the Kaizen way. Workman Publishing Company, New York

McCraty R, Zayas M (2014) Cardiac coherence, self-regulation, autonomic stability, and psychosocial well-being. Front Psychol 5:1090. https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4179616/

Poulin M, Brown S, Dillard A et al (2010) Giving to others and the association between stress and mortality. Am J Public Health 103(9):1649–1655. https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3780662/

Rohr C, Villringer A, Solms-Baruth C et al (2016) Human brain mapping. In: The neural networks of subjectively evaluated emotional conflicts. Available via Wiley Online Library. http://onlinelibrary.wiley.com/doi/10.1002/hbm.23169/abstract

Saunders B, Milyavskaya M, Inzlicht M (2015) Variation in cognitive control as emotion regulation. Psychol Inq 26(1):108–115

Schwartz S (1994) Journal of social issues. In: Are there universal aspects in the structure and contents of human values? Available via Wiley Online Library. http://onlinelibrary.wiley.com/doi/10.1111/j.1540-4560.1994.tb01196.x/abstract

Seeley W, Menon V, Schatzberg A et al (2007) Dissociable intrinsic connectivity networks for salience processing and executive control. J Neurosci 27(9):2349–2356

Seligman M (2006) Learned optimism: how to change your mind and your life. Vintage Books, A Division of Random House, Inc., New York

Snyder CR (1994) Psychology of hope: you can get there from here. The Free Press, A Division of Simon & Schuster Inc., New York

Stanford G, Stanford-Cusask M, Stanford C (2016) Emotional well-being: from science to practice. Balboa Press, A Division of Hay House, Bloomington, IN

Stapel D, Blanton H (2004) From seeing to being: subliminal social comparisons affect implicit and explicit self-evaluations. J Pers Soc Psychol 87(4):468–481

Sutin A (2008) When the “I” looks at the “Me”: autobiographical memory, visual perspective, and the self. Conscious Cogn 17(4):1386–1397

Thompson LY, Snyder CR, Hoffman L et al (2005) Dispositional forgiveness of self, others, and situations. J Pers 73:313–359

Travis F (2014) We create our reality – hacking consciousness at Stanford University. https://www.youtube.com/watch?v=UlxGBZifk6k

Zak P (2007) Empathy and oxytocin lead to greater generosity. Science Dialy. https://www.sciencedaily.com/releases/2007/11/071107074321.htm

Zysset S, Muller K, Lohmann G et al (2001) Color-word matching stroop task separating interference and response conflict. Max-Planck-Institute of Cognitive Neuroscience, Leipzig. http://europepmc.org/abstract/med/11133306

The Untapped Power of Imagination in the Workplace

Ginger Grant

Contents

G. Grant (✉)
Creativity in Business Canada Inc., Mississauga, ON, Canada
e-mail: gingergrant@me.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_14

Abstract

Every life – and every organization – is mythic territory. I believe that breakthrough thinking cannot be taught; it can only be learned through experience. In order to create that learning experience we delve into myth, and archetypal psychology, the branch of psychology whose field of attention is image, images that spark the imagination and ignite the soul to find out what really works.

Every corporate story begins with an idea that becomes an expanded and shared vision. Before that vision is well shared, much less completely implemented, the organization must pass through a developmental process that is similar to all human development. Along the road to success, many organizations lose awareness of foundational stories that contain fundamental operating principles, flounder in direction, lose market share, and disempower their brain trust. A mission statement that remains on a wall has no substance. It informs the reader of what is *claimed*. For a mission statement to be meaningful, it must come from a working belief, *a mythos.*

In these pages I will use an archetype of transformation: the Hero's Journey, initially described by mythologist Joseph Campbell (1968), as a working map, a tool for transformation in the corporate environment. Myths are not just told; they are *felt* as they resonate throughout the body as well as the heart and mind.

This is for the social architects, the collaborative chemists, and the inspirational dreamers who believe that they can indeed, change the world.

Keywords

Heroic journey · Joseph Campbell · Archetype · Transformation · Corporate culture · Myth · Creativity · Innovation

Introduction

> Today we need many more of us storytellers. The need is urgent, because people are forgetting there is any alternative to the deadening leadership that daily increases in vehemence. It's truly a dark time because people are losing faith in themselves and each other and forgetting how wonderful humans can be, how much hope we feel when we work together on things we care about. (Wheatley 2005, p. 4)

Every life – and every organization – is mythic territory. I believe that breakthrough thinking cannot be taught; it can only be learned through experience. In order to create that learning experience we delve into myth, and archetypal psychology, the branch of psychology whose field of attention is image, images that spark the imagination and ignite the soul to find out what really works.

The Challenges: leadership, team development, innovation in a competitive marketplace, competing priorities, new technologies, work-life balance, a possible five generations in the workforce . . . the list goes on and on and can become overwhelming. We face increasing complex and difficult organizational and personal challenges in a world that is more unpredictable each day. The question that confronts us is what is the best way to focus our time and energy?

Every corporate story begins with an idea that becomes an expanded and shared vision. Before that vision is well shared, much less completely implemented, the organization must pass through a developmental process that is similar to all human development. Along the road to success, many organizations lose awareness of foundational stories that contain fundamental operating principles, flounder in direction, lose market share, and disempower their brain trust. A mission statement that remains on a wall has no substance. It informs the reader of what is *claimed.* For a mission statement to be meaningful, it must come from a working belief, *a mythos.*

In these pages I will use an archetype of transformation: the Hero's Journey, initially described by mythologist Joseph Campbell, as a working map, a tool for transformation in the corporate environment (1968, 2008). Myths are not just told; they are *felt* as they resonate throughout the body as well as the heart and mind. Throughout the ages the power of story has nourished the human soul. It is from this same level of passion that an organization may be created and sustained.

This chapter is for the social architects, the collaborative chemists, and the inspirational dreamers who believe that they can indeed, change the world.

To provide a corporate structure that is innovative and open to expansion is an artistic act, an act no less than the creation of a symphony or a body of literature. Acts of creation have the power to touch people in ways that transcend verbal expression and always have. An act of creation has the potential to buffer change and, potentially, to promote it.

An analysis of corporate culture was not originally part of a due diligence process; the idea of corporate culture was considered too "soft." My experience has been that a corporate cultural audit is fundamental to the success of any organizational change management initiative. It ensures compatibility with future partners and reinforces operational values for corporate leaders. Values are not always well developed much less articulated; nonetheless, they do drive behavior. In an uncertain economic climate, with ever increasing demographic shifts causing a shortage of people, an examination of corporate culture will provide organizations with valuable strategic insight in order to both survive *and* prosper. In the same way that the most of the bulk of an iceberg lies beneath the surface, forces that really determine our effectiveness at work encompass those "soft," intangible factors that linear, analytical mindsets find hard to quantify and acknowledge as real. And yet without capturing emotional commitment, no lasting change can take place. It has also been my experience that most organizations will pay lip service to their culture, but are not really interested in digging deeper. A problem or challenge that the organization is currently facing can become a Trojan Horse that will carry the emotional commitment for cultural change.

The concept of change management includes changing an organization's culture – a difficult challenge that involves not only the superficial aspects of the culture, but the deeply held system of beliefs and values that drive behavior. Neal (2006) reminds us that Edgewalkers share two distinct characteristics: (1) they build bridges between different worldviews and paradigms, and (2) they have a fascination with the future and are actively working to create a positive future for themselves and others (p. 14).

I believe that all who undertake this type of work are Edgewalkers within our organizations. Edgewalkers are organizational hero/ines that are building a better future. I use the Heroic Journey model to articulate and combine strategic intent with operational tactics. It is an experiential journey involving the use of imagery, scenario planning, metaphor, myths, and paradox to help Edgewalkers better understand themselves and find others so that they can evoke from within themselves the untapped potential needed by their organization to drive innovative performance.

The process builds a developmental program designed to leverage personal and organizational performance. It is based on the premise that organizational success depends on the individual's ability to create and sustain a positive environment in order to withstand the stress of change. This type of sustainable relationship building requires both character and skill and is the role of a "Change Agent" or "Edgewalker" – the individual tasked with design-driven innovation. In order to move an organization towards increased creativity and innovation, you must work with culture. Of course, any transformation must first start with your people. That is why a current challenge or problem is useful. The challenge will provide focus and help mobilize people and processes in service of a common goal. The challenge becomes the bridge between two worlds, the old and the new. The aim of this chapter is to provide a practical process map by which you can build that bridge in order to uncover the hidden potential in people and in organizations in service of the new world by addressing several questions, starting with:

1. How do I uncover hidden potential in individuals?
2. How do I then utilize this creative capital in service to the organization?

Why Start with the Individual? The Rationale

A number of beliefs underpin my focus on putting people first:

1. In an era of deep change and fierce competition for markets and employees, Edgewalkers inspire as opposed to motivate. This ability to inspire is determined by integrity of character (who we are, what we stand for, and how we act), alignment of purpose, and the presence of trust.
2. Authenticity and integrity occur when individuals develop self-awareness together with an ability to pay attention to others and the current operating context. This attentiveness enables them to examine a situation from all angles, and communicate a clear vision of what needs to be done.

3. Edgewalkers need tools to help them become more reflective and attentive. They need to journey into their own hearts, minds, and psyches to discover their core beliefs and perceptual filters to better understand and use the shared myths and stories that can align and inspire an organization to perform beyond the norm.
4. Organizational transformation is achieved one individual at a time. Unless organizations focus on nourishing their human assets as human beings and develop their inner capacity for self-awareness and conscious choice making, old behavioral patterns, which cause resistance to change, will persist.
5. Organizations will not achieve results unless their practices, policies, and procedures reflect their espoused values and purpose and unless those values are aligned with those of their employees and other stakeholders.

Asking leaders to walk their talk is a tough sell. It is a hard path for anyone – even for those who are completely committed. It seems as though the Universe will step in and test your resolve. But for Edgewalkers, it is the only way.

Stages of the Journey

The original map as outlined by Joseph Campbell had five major stages: innocence, the call, initiation, ordeal, reflection and celebration. Through my work, I have found and added another two for the journey: telling the story and re-visioning. My interest in Campbell's work is a practical one – I wanted to find a model that would be easily accessible to all people, a framework that could contain and then harness the emotions of change both for individuals and for the organization. The Heroic Journey can be both playful and profound – making it particularly useful for individual and/or organizational change. It is my go-to map for any adventure (Fig. 1).

Each stage of the Heroic Journey is a crossroads, a place where you must choose. Jung called these situations "archetypes of transformation" and described them as typical situations, places, or ways and means that can lead to a transformative experience (1959, CW9i:80). The Heroic Journey is one of many of these archetypes. Such a journey may be called by many names depending on where you come from, but the concept of a journey is a universal one. I will give an overview of each phase of the journey and then later, go into more detail with examples from my work in various organizations.

We start from where we are – looking down at our own feet. In a certain place and a certain time in a certain organization. This is the threshold. We see that changes are necessary or, perhaps we are asked to make changes. That is the call to adventure, and we may or may not answer. If we say yes and step over the threshold, we will undergo our own initiation and our own transformation begins. There is no going back. Hard work is done in the ordeal phase and it is here we are most tested. If we survive (and there are no guarantees!), we will experience an awakening or breaking through, into a new way of existence. At this point, we should stop and celebrate our

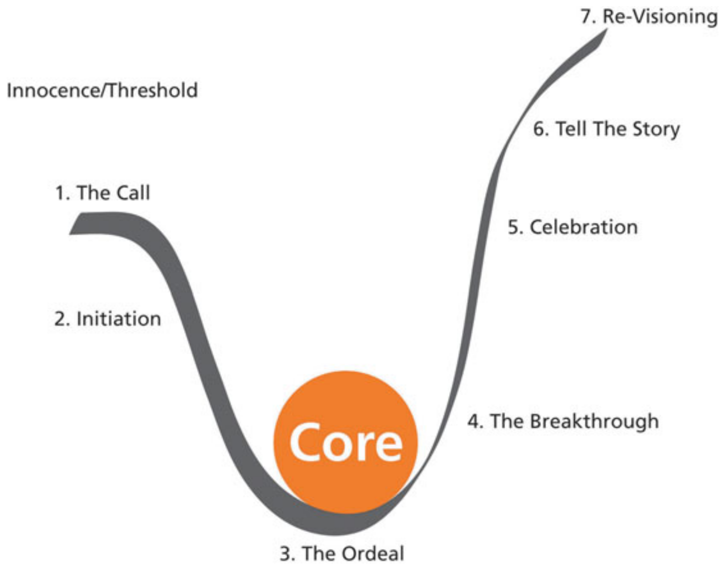


Fig. 1 The Heroic Journey Map (Grant 2014)

achievements. This is the "boon" or gift we have received from our journey so far – our own experience of transformation. But, the journey is not yet finished, for now we must bring that gift back into our community and tell the tales that have grown us. The stories we tell act as soul food for others so that they may find the courage to start their own journey of transformation. And finally, we come to the place of re-visioning. Our transformation is now complete and a new journey awaits.

So are you ready? Look down at your feet because you will start where you are.

Innocence/Threshold

This is the place of beginnings. A change is required whether it may be voluntary or involuntary. The sages of old had an expression of this place – "the fates aid those who will, those who won't . . . they drag." You may be debating whether or not to undertake this Journey. Perhaps you have been "volun-told" by your boss. Perhaps you are generally interested in a change management project but are not sure where to begin. Perhaps you are just curious? There comes a time in life when you look around and take stock of what you have accomplished. Or not. How far you have come. Where you might yet go. This is the threshold, both terrifying and exciting as you face the unknown. I love to use the language of myth for I believe it best communicates these liminal places of decision. Myth reminds us of what is important and this is one of my favorites that still speaks to me every time I tell it.

> *The knight, Gawain, and the boys were out hunting. They had caught much game and wanted to make camp for the night and cook their dinner. They needed water for the cooking pots and one of the hunters said he had spotted a well a little ways back in the forest. He volunteered to go fetch water for cooking and sauntered off.*
> *As he approached the well, a hideous creature appeared before him. She was the ugliest, smelliest, wartiest, most disgusting creature he had ever the misfortune to lay eyes upon. She jumped in front of the well and demanded, "What do you want?" He replied, "If you please, I have come for water." She nodded. "Water you may have, but first you must kiss me."*
> *Horrified at this request, the hunter ran back to the group and told his tale of woe. The other hunters laughed at his discomfort and several others also made the attempt, but with no success. The creature truly was terrible to behold and her request unbearable to contemplate.*
> *Gawain, in disgust, watched his hunters fail repeatedly. Finally, he said, "I am a Knight. I will go and face this creature and get the water we need." He proceeded off into the forest and approached the well. Sure enough, the hag appeared. She jumped in front of the well and demanded, "What do you want?" He replied, "If you please, I have come for water." She nodded. "Water you may have, but first you must kiss me." Gawain did, and . . . I must add, did quite a thorough job indeed.*
> *As you might have anticipated, the hag then turned into the most exquisite beauty he had ever seen. She smiled and said "You have won me by deed (which was the way of the times), now choose. Do you wish my current shape for your pleasure at night and my other shape for your friends to admire during the day? Or, my current shape for your friends to envy and my other shape for your pleasure at night?"*
> *Gawain did not hesitate for he was a true Knight. "My lady, the choice must be yours," he said, "for it is your body."*
> *She smiled sweetly again and stated. "Dear Knight, you have not only named my heart's desire, but the desire of any of us. To hold the power to choose."*

I need a constant reminder that I have the power to choose. Choose my work. Choose my attitude. Choose my companions along the path. Find other Edgewalkers to help give me the courage to proceed.

Here are some questions to help you choose what is most important to you. These are the same questions that begin to identify hidden potential – your own. And for those others who walk this path with you on the journey (Table 1).

In pondering these questions, a pattern should become evident. That pattern is "the call" – a beckoning to something larger in life than what you have been living. It is important to explore the pattern to find your own sense of potential. For it is a necessary rite of passage for you to lead or guide others to the same place. It cannot be mastered by the studying – it can only be mastered by the doing.

As part of this experiential journey, I have found three component parts in finding hidden potential. My work has led me to believe that each one of us needs these three aspects to make life worth living. I need recognition from an Other of my efforts and of what I bring to the challenges presented to me. I need relationship with an Other to make the journey more interesting. And finally, I need my work and my life to have meaning. I have heard this over and over again from my clients and my students. And it resonates within my own being (Fig. 2).

This is the secret sauce available to every one of us who works in organizations. It is the key to finding and then unlocking that hidden potential both in our self and in each other.

Table 1 Questing questions for The Call (Grant 2005)

Themes	The creative individual
Identity	Who am I?
Personality	What kind of person am I? How do I perceive, learn, communicate? What are my strongest forms of intelligence? How do I communicate with others who are different?
Strengths and skills	What are my talents and passion? What's my unique and best contribution?
Purpose and meaning	Why am I here? What is my legacy to the organization? How do I perceive the world and my role in it? What is my personal sense of purpose? My creative core?
Values	What is important to me? What worldview governs my priorities? What core values guide my actions? Where are my values gaps?
Principles and practice	Do I behave in accordance with my values, purpose, and sense of meaning? Do I allocate my resources of time and attention in accordance with my values?
Experience	What stories do I tell about myself and my experience? What value is derived from these stories?
Image and corporate brand	How do I project myself to others? How do I think I am perceived? Are my self-image and my public-image aligned?

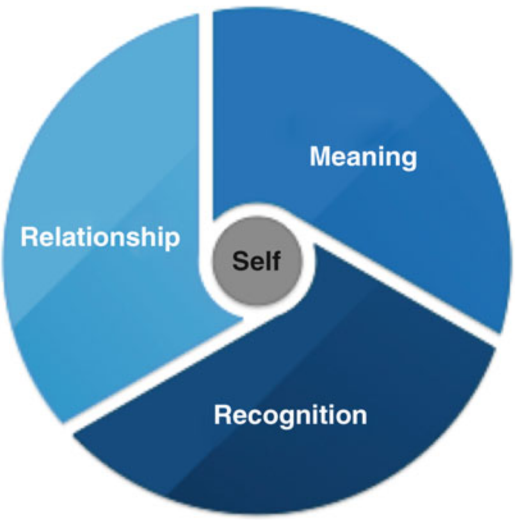


Fig. 2 Personal Archetypal Tri-Model (Grant 2005)

The Call

The power of story has always had the capacity to nourish the human soul. This is a framework that allows one to move away from the old command-control environment and provide an alternate perspective through which to view an organization, one that nourishes both the employees within the corporation and the external community without. We need to discover the stories that nourish human beings, individually and collectively in an organizational environment. Here, theory and practice must reinforce each other. Archetypal psychology, with its foundation in multiplicity, can provide a foundation for such an approach. In order to reawaken the originating principles of any organization, one should remember that those very principles came from individuals. In other words, the *stories* of those individuals formed the genesis or *archai* of the organization. In order to brand your organization, you need to know your own story.

One of the most powerful tools in my toolbox is one of the simplest and easiest to obtain. You can spend hundreds of dollars on someone else's concept of "psychological images" or, you can go on a hunt for interesting postcards. Delayed flights at airports become an excuse for a treasure hunt and it is a way to pass the time in a more pleasant manner while waiting for your next flight. I use image to access that hunger for change that has not yet been expressed in language. It is a simple process you can use that provides access to beliefs and desires that are not consciously available to the individual and therefore to the organization. Using an image or a series of images permits access to the language of metaphor that can shed light on what is hidden from view, the invisible aspects of a corporate culture that can block or impede an act of creativity that necessarily precedes innovation. These metaphors represent a concrete reality that constructs a living mythology. Metaphors take on life in the stories told about an individual skill or group collaboration. Narratives that represent the narrative extension of a metaphor or image, then become a trajectory for future action. To look at the metaphors operational within a corporation allows for an "under-standing" of the corporate mythology, a glimpse into what stands under and supports behavior.

From my collection of postcards, I ask questions that I have constructed based upon what I have been told about the organization. For example, "find an image of what your job is doing to you." "Find an image of what it is like to work here." "Find an image of your favorite teacher." Find an image of "trust." Find an image of "innovation." Simple yes, but powerful. Using this type of projective technique gives you access to sub-stance, what is "standing under" the culture. And it just may lead the participants to the edge of a new adventure.

Joseph Campbell said that "it has always been the prime function of mythology and rites to supply the symbols that carry the human spirit forward, in counteraction to those other constant human fantasies that tend to tie it back" (1968, p. 11). In corporate life, when any individual or a group of individuals desires to create something new, opposition can be the first response to change. Change is a painful process, and yet if any organization is to be successful, it must master change as well as maintain the core vision that inspired its creation. If the organization has not created an environment that supports the creation of new ideas, it is not unusual for a pioneer to leave that organization and head out alone. Such is the nature of what Campbell refers to as "the Call." The idea or vision is so powerful that the individual feels compelled to follow the inner voice that is leading onward, to appease his or her hunger for something different, no matter the cost.

The Call and Recognition

Management guru Edgar Schein makes a provocative observation when he suggests that much of what we call today "command and control" systems have at their root the assumption that employees cannot be trusted (1992, 1999). If there is a hunger for recognition in an individual, and he or she is working in an environment based in mistrust, then that hunger will not be fed. Each person knows that there should be hopefully more to our work than just a paycheck, more than mere survival. Each of us is capable of a meaningful life and to choose that path actively is to respond to a Call. Carl Jung called this path "individuation" – becoming what you always were. If an organization does not recognize this need in each person, it ignores what is arguably one of the greatest motivators known throughout history.

The Call and Relationship

In order to understand what constitutes a Call in the context of relationship, a relationship must be understood as having two parts: with self and with others. Both Campbell and Jung believed that most people are imprisoned within lives that are too small. The potential of childhood has been replaced with the limitations of current circumstances. Part of the difficulty in hearing a Call is that it leads to the unknown. Hearing a Call starts an exploration of our relationship with our self – and then can be explored more fully in relationship to another. This makes a move to a more spiritual life, one that meets the mysteries of existence and at the same time, celebrates each person's way of being in the world. To live an authentic life requires us to reach beyond current circumstances and return to the field of potential. Starting with the self, an environment of trust needs to be built for that potential to reach full creative force. Creativity requires a safe space from which to operate. If the organization cannot provide it, we need to build our own. And if I can teach myself to build that space, I can then teach another.

The Call and Meaning

The culture of any organization is the web of beliefs and values, the rituals and stories that create meaning for the people within the organization. This web is a living mythology that can be fed and, if consciously nourished, assists in ensuring that the organization and its people will remain psychologically healthy. What really drives the culture – its essence – is the consistency of the values that are expressed by the day-to-day behavior of the people within it. Those values, if clearly defined and repeatedly articulated, provide a common meaning to members of the organization. Each member follows his or her own Heroic Journey within the context of the organization that is also following a Heroic Journey. An archetypal approach, using a conscious mythology as a mode of knowing, permits both individual and collective individuation. This way of thinking defines leadership as something each individual can realize. Leadership becomes context dependent and supported by a cohesive organizational culture that encourages each member to participate in individuation, or in organizational terms, in professional and personal development. To return to the ground principles that both inspire and motivate human endeavor and recognize that those ground principles are dynamic in expression permits both individual and organizational flexibility. There is no one single but many right answers. A return to those archetypal ground principles provides a firm foundation on which innovation can be seeded and grown.

So How Does It Work?

How might the concepts of relationship, recognition, and meaning be put into practice? I will provide the story of a small credit union as an example. The organization's employees were made up of primarily women who did not possess a university education. To be a teller at the credit union required good people skills and some basic math. The CEO believed that his employees had potential but lacked the education needed to move up in the organization. He wanted to promote from within. So, he approached the local universities for help. As many of the employees were also single parents, he knew that offering night courses would not work. In consultation with his employees, he discovered that the main priority was on the family and evenings were considered family time. So, he built several classrooms in his head office so that courses could be offered during the day. The CEO was willing to cover the costs of providing the education for his people. All he wanted from the local universities was to send in a professor to teach business courses on his premises. You would think this was an optimum win-win solution, yes? Unfortunately, no. The universities declined to be of assistance and stressed the importance of the students coming to the university campus. Another education provider was found and delivered. A valuable lesson was delivered through that lost opportunity those universities and for traditional business practice. There is great wisdom in responding to the needs of your client!

Now, at the credit union, most of the employees have a business undergraduate degree. The CEO is promoting from within. Not only was this arrangement a huge benefit to the employees, it also was a huge benefit to the credit union. Imagine. Take a course in market research. Please use the credit union as the "client." Take a course in human talent management. Please use the credit union as the "client." Take a course in financial modeling. You get the idea. This innovative approach maximized the potential of the employees and of the organization itself. Many new products were discovered and then implemented as a result of this approach. As a bonus, there is not much absenteeism at the credit union and they have no problem recruiting new employees. The CEO estimated saving thousands of dollars in consulting fees, by instead asking the employees for ideas to grow the organization. As a result, the organization increased its profitability and its status within the community.

Every employee has ability and talents beyond the confines of a job description. What is the untapped potential in your organization? And within you? It is a question worth exploring.

Initiation

Initiation is an integral part of life, whether personal or professional. Initiation ceremonies or rites of passage were very common historically, but unfortunately, such rites of passage are not common today. To *initiate*, borrowed from the Latin *initiare,* meaning "to begin" or "originate," is commonly to introduce or commence some knowledge or practice. In many professions such as medicine, law, and accounting, initiation still plays an important role in organizational life, especially in times of change. There is a period of initiation before full acceptance as a member of the profession is awarded to the individual. When an individual first joins an organization, he or she experiences rites of passage, whether explicit or implicit, which play a part in initiating the new employee. If a new position, a series of tests or tasks may be given. Joseph Campbell called such tests "the road of trials" (p. 81). Consider these tasks as preparation for larger tasks to come. If one views initiation as a creative act meant to be generative, to bring the individual forward into something new or different, then an act of initiation becomes an act of creative power. I have yet to find an organization that does not have individuals with untapped creative potential just waiting to be discovered.

How to find them? What works best? Ask how it is working – not what. Somewhere in the organization there is a "bright spot" – an individual or a team that has successful results in spite of any constraints. Find those "bright spots" and gather them together. Even if you find only one other – you have what you need to begin. Whether an individual or a small team, this "bright spot" has survived inside the organization. How? A dialogue is needed that will provide you with valuable insights in order to continue.

As a starting point for this conversation, I like to find out what is considered a core ideology or belief system of the organization and then find out what is considered the current drive for progress. How does this differ from the "bright spot" – what is the gap between what is said and what is done?

If this sounds too abstract, then return to the use of image to practically awaken the imagination. This begins to set the stage for your journey – the difference between what is and what is yet to be, a tension of the opposites. Consider this paradox your act of initiation into a new way of thinking! (Table 2)

Initiation can be used to mark the boundary between the traditional industrial mode of thinking (command control) and the new knowledge-based paradigm (conscious capitalism). Using this type of framework permits, if not encourages a tension of the opposites. Holding that tension enables you to make the move towards

Table 2 Steps Forward

What is	What is yet to be . . ..
Known territory Single point of view (POV)	The vision, a drive for progress Multiple points of view (POV)
Provides continuity and stability Tradition Stagnation	Urges continual change Disruption Growth
Plants a "stake in the ground"	Impels constant movement
Limits possibilities and directions for the organization	Expands variety and number of possibilities that organization can consider
Has clear content – Top-down strategy	Can be content free – Emergent strategy
Installation of a core ideology is by its very nature a conservative act	Expressing drive for progress can lead to dramatic or revolutionary change
Data analytics: Information	Data analytics: Insight

both/and rather than the limiting stance of either/or. There is a delicate balance between management actions needed to stay competitive and the needs of employees to engage in meaningful work. When you join most organizations, there is an effort made to teach you the history of the organization. That organizational history is the corporate mythology, the "glue" that binds the organization together. It lays the foundation of corporate culture, the "way things are done around here." It is way of honoring the past and yet also might outline a common purpose for the future.

Acts of initiation can communicate otherwise intangible beliefs and values. What an organization chooses to celebrate directly communicates what the organization values and thus becomes an important tool in examining and understanding corporate culture. Organizations are human institutions, not five-year plans, strategic analysis, or the ever-present and over-used bottom line. When conscious awareness of this fact is heightened, then organizational change must begin with the people within the organization. Thus the importance of listening for what is and what might yet be.

Initiation and Recognition

Any organization that has cultivated its identity by making heroes, identifying its values and beliefs, creating rites and rituals, and continually reinforcing this identity in its corporate culture will have a competitive edge. For such an organization provides meaning to its workforce, a common goal that binds its employees in a shared vision. This does not say that the organization will have a positive impact on society. Enron also had a strong corporate culture. The research would seem to indicate that it does not matter what the core value system entails. What matters is that a value system is in place. Choice plays an important role in whether the core value system will be seen as a positive or negative force by the employee and by the community in which the organization resides. What management rewards determines the actions of the workforce. Thus, the importance and the value of recognition in supporting behaviors management wishes to encourage. What the leaders pay attention to, measure, and control on a regular basis is critical.

Recognition also contributes to the process of an individual seeking a corporate environment that matches a personal value system. If the organization maintains and actively promotes its corporate culture, such promotion becomes a visible beacon for potential employees.

Initiation and Relationship

As previously noted, initiation symbolizes the beginning of something new which also implies an ending. The rites of passage that accomplish initiation as a function of relationship are important in establishing corporate culture. How an organization accepts a new member demonstrates both espoused values and values-in-action. How well the relationship between individual and manager develops will depend on the consistency of relationship between espoused values and value-in-action. Core values exhibited in day-to-day operations will serve as guides in making choices in behavior. Strong organizational cultures arise when leaders "walk-their-talk" and serve as living, breathing examples of core values. There is no difference between espoused values and values-in-action.

Initiation and Meaning

Perhaps in no other aspect of organizational life is the act of initiation more needed. In making a shift from an industrial paradigm to a knowledge paradigm, rites of passage provide a comfortable structure in organizational culture. The importance of a guide or mentor is invaluable in navigating the tacit aspects of corporate culture. More than just verbal guidance, the wisdom imparted by the mentor to the initiate enables the new member of the organization to grasp both the explicit and tacit rules and regulations of corporate life. The use of words is futile if you do not know what they stand for. The transmission of meaning can make or break a corporate career, particularly in a global economy where communication is particularly important. To help learn the language of the environment, and to teach any hidden meanings associated with the language becomes the primary function of the mentor or guide. Shared or core values outline the purpose of the organization and the role of the mentor or ally is to elaborate on the core value so that any hidden meaning becomes available to the new initiate. Core values can provide the cohesive strength that binds the people in an organization together in service of a common goal.

So How Does It Work?

Self-awareness and self-discovery are critical to the process. The following are additional examples, merged from several organizations, of the dynamics of initiating/building a team with these concepts in mind. I have purposely mixed responses from organizations in order to protect the identity of any individual or specific organization. The ceremony of initiation is a very important step.

I was asked to provide the foundation by which a team could be constructed. It was to be involved in new product design, so trust among its members was critical. The team consisted of expert engineers and software designers, ranging in ages from early twenties to early sixties and was culturally diverse, with people from countries around the world. They had never before worked together so achieving some kind of cohesion was a desired outcome.

The team mandate was to create a mission statement. Traditionally, mission statements consist of three parts: who you are, what you do, and for whom. Instead of resorting to language to create the mission statement, I asked the team members to choose an image that represented who they were and what they brought to the team. The images consisted of several hundred postcards ranging from many images such as sculptures, works of art, or landscapes. Each individual was asked to speak to the chosen image and provide an explanation as to how his or her image could be linked to the other team members. The linkage could be anything, in terms of color, shape, experience, history, or location. The idea was to have them use their imaginations rather than logic for this connection.

The process allowed a relationship to emerge quite different from what this group would encounter in a normal workday. Each individual brought a story to the image, providing personal information that otherwise might not have been revealed. These images provided a way to deepen relationships, allowing each participant to access a source that was not superficial, as in the case of a usual business persona. I envisioned the mythological figure of Psyche entering this workspace to provide a new vehicle for language. This approach also permitted the Heroic Journey to enter as a mythological model represented by each participant and his or her individual story. By linking each image and story with the next image and story, a shared story began to take form. Each person named and then publicly claimed the individual "Call" which brought him or her to the team.

Each participant now had an image representing who he or she was as a complete individual, a much fuller state of being than just a business persona. The next step was to identify the archetypal ground principles or core values that each member brought to the endeavor. They were all given an assortment of index cards on which were written words represented by values such as "safety," "family," or "creativity." They were then asked to write a description of that particular value. Each person shared his or her description and a list of descriptors was place under each term. The team then discussed which descriptors best represented a collective understanding of the term, a heated process that took several hours. At the end of the session, a common language had been developed whereby the team could align its work ethos and provide space for each participant to follow his or her individual Call. It was decided to allow the experience to deepen and see what would develop.

One month later I returned for another session. In the intervening time, the team had decided that they would not formally articulate their mission statement in language but instead remain with the images that represented who they were as individuals. An intranet site had been developed where the images had been digitized. To click on any image would produce a picture of the individual, a biography of relevant work experience, and a small story describing each Call. The images had been literally linked together using the image of a link to attach each image to the other. The team had also digitized the descriptors of their commonly held values and constructed a white board that could be used to display them in a flexible setting. Each descriptor had been magnetized, allowing the values to be sorted in a multitude of ways since each project or design implementation would require a different value to take priority. As circumstances arising within an organizational setting are context-dependent, the inherent flexibility in holding multiple values could permit many approaches to be considered without deviation from the established core. The team had decided that this was the best way to describe themselves collectively to prevent their shared value system from becoming rigid by fixed, literally immovable definition. The second process was for each team member to construct a Touchstone. The Touchstone would be built using various art materials such as plasticine, miscellaneous toys, natural materials such as twigs, branches, leaves, or moss, construction paper, Lego, nuts, bolts, and any other materials that had been collected that held meaning to the participant. Each team member worked for several hours, and then when each work of art was completed, offered a story – a mythos – that described the Touchstone. Each participant linked his or her story and Touchstone to other participants, eventually forming one large work of Art.

At the end of the process, the team had assembled both a shared story and a shared representation that could collectively hold it. It was decided that the Touchstone would be then be photographed and digitized in order to construct a large image that could be displayed. If any team member left this particular team, his or her contribution would remain as a visual image thus linking the team forever. Any new member, as an initiation into the team, would be asked to repeat the process, thus building a living mythology that would provide recognition of each member and their contribution, describe the relationship between the members, and allow for shared meaning that could grow with the team.

It was also decided to create from patio blocks or stones a pathway that led to the building that housed the team. Each patio stone would have on its face one of the words identifying the value system of the team. The rest of the organization would then literally walk upon the foundation that held this particular team and at the same time, both have an experience of the common ground and learn the value system without resorting to language. This work and process provided an initiation rite for every new team member and an experience that would not be forgotten.

The Ordeal

The Ordeal is a continuation of the previous task of initiation. The “road of trials” that marks the beginnings of initiation will have a goal or ending place in mind. Getting to that place of transformation makes the Ordeal. Cultural norms within an organization are changing, necessitating a shift in the transfer of economic power from an industrial to a creative capital model. The difficulty of this shift in perspective should not be underestimated. In addition, as demographics shift to accommodate changes in the workforce, the way in which work is allocated and performed in any organization needs to be re-visioned.

Current corporate cultures are built around the old industrial model evidenced by distinct concepts of work and leisure, and routines of work that are based on working from Monday to Friday, scheduled from nine to five each day. With a move towards a creative capital or a conscious business economy, such constraints need to be removed in order to allow both individuals and organizations more flexibility in response to shifting demographics and a changing global environment. Author Fred Kofman, explains that "conscious business" means finding your passion and expressing your core values through your work (2006). That leadership is much more than a skill set; it is truly a spiritual practice. A path you walk every day. In my work with organizations, recognition of this shift in perspective is only superficially acknowledged, which results in a demoralized workforce that is compelled to work harder. What is missing is meaning. The Ordeal can be considered the search for meaning in what we do, and perhaps, more importantly, who we are. One of the tasks of any Edgewalker is becoming a carrier of that meaning.

Transfer of knowledge does not guarantee a transfer to practice. Knowing what you should do and actually doing it are two very different things. Practice embeds knowledge – the old adages of actions speak louder than words. There is nothing wrong with reviewing what others have done. The undertone should always be whether that particular approach or practice would work in your context. Every context is different. You need to invent your own "secret sauce" recipe. Borrow from others yes, but each culture will have its own unique attributes that must be incorporated into the process. I try and avoid "best practices." I have always found that they work really well where they work and if you try and import them into your organization, you get the "not invented here" response (Table 3).

Change is the bridge between what is known – "we need to do this" – and the actions necessary to bring about the change – "walk your talk." Walking a different path is new territory. Mapmakers of old would mark that boundary with "beyond this place there be dragons." The unknown is a primal fear for any human being. It takes sheer guts to change course in an organization. Previous power balances begin to shift.

The Ordeal and Recognition

Here is a simple test to evaluate your environment. Identify three to five people with whom you currently spend the most time at work. Estimate the percentage of time in any given week that you spend with each of them. Then rate the collaboration between you and this person on a scale of 1–5 through the lens of a growth mindset.

Table 3 Questing questions for the ordeal

Outcomes	The creative organization
Identity	Who are we?
Personality	What kind of group is this? What kind of team do I lead? How do we integrate diversity? How do we handle and prevent inner conflict?
Strengths and skills	What are our core competencies? What's our unique contribution to the marketplace? How will we stand out?
Purpose and meaning	Why have we come together? Where do we fit? What is our shared world view? What is our legacy as leaders? What enriches and enlivens me?
Values	How do my own values align and support the organizational values? What do we value most as a group? Do these values serve our purpose? Are they in alignment with the values of our various stakeholders?
Principles and practice	How do the policies, practices, and performance of the organization reflect our values, purpose, and sense of meaning? How do we allocate resources?
Experience	What myths and stories do we share about our organization? Why are they considered meaningful? What reaction do they elicit?
Image and corporate brand	What is our brand? Do we brand from the inside out? Do we "walk our talk"?

(1) How much do you respect each other? How much do you support each other? (2) Can you be "honest" with the other person – authentically honest! Not to wound, but also not pulling your punches. (3) How safe do you feel with the other? Can you express all your "crazy" ideas and/or behavior? Can you trust the other? (4) And finally, and maybe the most important, are you energized and inspired by the other?

The Ordeal and Relationship

This simple test offers you a way to evaluate your working relationships. A low score (10 or below per person) would indicate a relationship that is not affirming and thus could become counterproductive. A high score (15 or more per person) would indicate a relationship that is sufficiently collaborative and fulfilling and that would enable you to maintain the courage and stamina necessary to continue to be an Edgewalker. Each of these people influences not only your creative capacity but also your physical wellbeing. Remember, to exercise your power to choose. By surrounding yourself with collaborative and supportive colleagues, you will be a much more effective agent of change.

The Ordeal and Meaning

Collaboration is an instinct that has kept the human race alive since the beginning of time but it would appear we have forgotten the power of a community. A shared purpose is the foundation of a collaborative community. And the first requirement of collaboration is commitment.

So How Does It Work?

In a healthy environment, a good collaboration will enhance and extend individual strengths. So how do you shape a healthy environment? A culture of creativity? I am frequently asked by HR professionals to develop an "engagement" strategy. My question always is "what have you done to your employees? They were 100% engaged when you hired them!" A cultural audit will provide some interesting insights. The following example can be used with both for profit and nonprofit organizations.

I was asked to do a cultural audit for faculty in an educational institution that wished to be known for exceptional creative capacity. Statements made by faculty were treated as statements of fact rather than an interpretative account of their experience. Qualitative methods were well suited for this study because it represented an under-explored research domain in the scholarship of teaching and learning. Faculty very seldom study themselves! Three questions were posed and the answers collected. The three questions come from a body of work that originated at the Stanford Graduate School of Business in a program called "Creativity in Business" (see book of the same name by Ray and Myers 1986). The three questions are:

1. What are you most passionate about?
2. What do you want to do more of?
3. What resources do you need to make that happen?

Many years later, former Stanford MBA student Jim Collins in "Good to Great" reworked the questions into a frame that included personal passion, world-class performance, and an economic driver. The intent is the same. What untapped potential is present and how might we find it, what is it worth and then, is it economically viable? The problem with the focus on economic viability is its short-term thinking. Maximizing talent is a long-term proposition, and it is no different for faculty. The results were mapped against a creativity framework developed by Teresa Amabile. Probably the most well-known and highly respected researcher in the field, she and her colleagues in 1996 wrote a book called *Creativity in Context*. It remains a seminal work in the field of creativity research. They found five aspects that are required to create an environment that supports creativity (Fig. 3).

Encouragement of creativity from an organizational perspective encourages creativity through providing fair, constructive judgment of ideas, provides reward and recognition for creative work, has mechanisms for the development of new ideas and

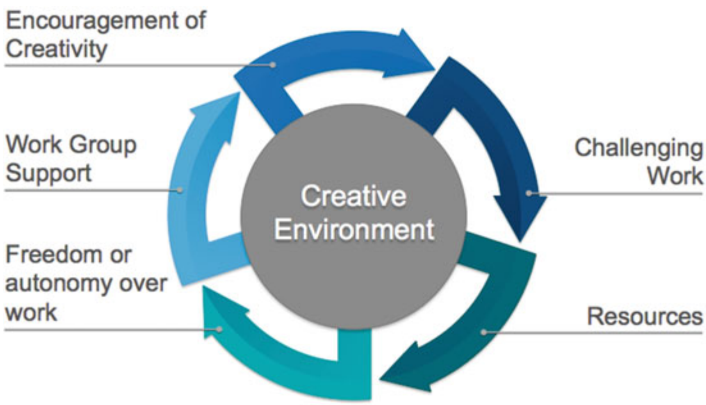


Fig. 3 (Adapted from Amabile et al. 1996)

a shared vision of what the organization is trying to do; in other words, a clear sense of purpose. From a management perspective, encouragement is defined as a chair (manager) who shows confidence in the group, sets appropriate goals, and is a good role model. In the faculty survey, what surfaced was a lack of support for individual creativity and a lack of respect for the faculty members. There was a lack of consistency across the various chairs in the faculty and few were perceived as a good role model. A request was made to utilize internal expertise instead of outside consultants.

Work Group Support was defined as a group in which people communicate well, are open to new ideas, challenge each other in a constructive not destructive manner, trust and help one another, and feel committed to a common purpose. The faculty survey indicated the faculty were very interested in finding other like-minded colleagues in order to create opportunities for collaboration, most were interested in faculty exchanges with other institutions, and most felt that the current climate was one of mistrust between management and faculty.

Freedom/Autonomy over your work was defined as the ability to decide what to do or how to accomplish a particular task and having control over one's work and ideas, including when to accomplish such tasks. The faculty survey indicated that faculty had almost no freedom or autonomy over workload. Chairs assigned workloads each term so that faculty had no way of planning more than 4 months ahead. Most faculty asked for blocks of time to prepare properly for course development and spend time with industry partners in order to build capacity for capstone projects and potential internships for students.

Resources were defined as access to necessary resources, including facilities, equipment, information, funds, and people. The faculty survey indicated that faculty had no control over their professional development funds and in some cases, their request for PD funds were denied. Faculty had no access to private space and were offered no clerical support.

Challenging Work was defined as a sense of having to work hard on challenging tasks and important projects. The faculty survey indicated a variety of responses ranging from not enough challenging tasks to too many tasks.

As you might have guessed, the above example did not have a positive outcome. The particular faculty was struggling due to a change in leadership and a distinct atmosphere of distrust was evident between management and faculty. Valued faculty began to leave. Assets now have feet. Regardless of any strategic plan developed by senior management, if there is not adequate structure and support within the organization, the strategy will not be successful. Leadership must be truly willing to give power to the ranks below them, in this case, the faculty. To shift corporate culture requires political will. Without a true commitment to organizational change, dysfunction will prevail and the organization will flounder. In that case, survival is always optional.

As you might have guessed, the Ordeal phase is not always successful. But take heart from the fact that you can always learn something from failure. If you are afraid to fail, you can never be world-class at anything undertaken. The role of Edgewalker demands both courage and stamina. In this example, what was missing was commitment from the senior leadership. Both leadership and a supportive environment are necessary for a successful change management program. Sometimes, the organization is not yet ready and patience is required. In such cases, moving slowly becomes a much better strategy. Working with values permits the development of common ground. If such work had been done first, then a path forward would have been found that sidestepped politics and personalities.

How does your organization compare?

Breakthrough

Each of us can remember a time when we experienced an “aha” moment. When you first realized that you had potential and more. Such a moment can come from a variety of experiences in nature, sports, art, or a dream. It is a gift given to us usually early in life so that we will remember the experience. That moment is what is meant by a “breakthrough.” Take a moment and bring that experience back into your conscious memory.

Anything that has been constructed by an individual existed first in the imagination as a dream, an idea, or even a partial thought. The imagination offers the capacity to ask “what if?” and it is from that point that innovation originates. It is with the acts of reflecting, thinking, dreaming, and fantasizing – that “what if” moments are translated from a potential to actual state. Reflection, if we so choose, leads us to our creative source. The ability to imagine and re-member an experience is foundational to this phenomenological approach to organizational development. Once experienced, there is no turning back. It is truly a moment of transformation, we are now forever changed. I find it interesting that we so quickly forget when we were amazing, and instead remember mistakes we have made. This is a choice –

choose wisely! Another task for an Edgewalker is to remind others of this choice and to provide the encouragement to cross the threshold. Reflection is a seldom used but very powerful tool.

The drive to reflection, to re-member or re-create experience, enables the creative act to take place. Through the richness of lived experience a life is defined. To adopt a mythic mode of being allows an individual to remain open to possibilities that have not been pursued nor even considered. Reflection enables possibility to become reality in order to transport us from one universe to another. The use of the imaginal is self-evident, whether it may be used in the formulation of a marketing strategy, the development of training programs, or the construction of a corporate mythology. The ability to imagine can be considered the bedrock of innovation. Without the active imagination of some daring individual, there is no corporation to begin with. Archetypal psychologist James Hillman reminds us that all our inventions begin as ideas; all our material power derives from ideational power (1997). The Heroic Journey as a working model and a research methodology allows for reflection that also includes an additional phase: to witness the multifaceted layers of meaning that arise. The potential for creativity is an archetypal force in its own right. I believe what is needed is to bring back the power of imagination into the hallowed halls of business.

Breakthrough and Recognition

By reflecting on the stories told within organizations, the story can become an element of organizational symbolism, an expression of unconscious desire or intent, or a vehicle for communication of possibilities. Focusing on a particular story or an aspect of a story, a *mythos*, is a way of making potential manifest into matter, giving the psyche form or soma. To use the Heroic Journey model as a vehicle for reflection can enable breakthrough thinking. To embody story in this form enables the individual to slightly disconnect from circumstance by placing the event contemplated into the third person form. As such, the story then can become once more a living thing; the individual has the possibility of changing the ending as previously perceived.

Breakthrough and Relationship

The relationship between organizational stories and historical fact is complicated. It may seem simplistic to state that telling a story will reflect the perspective of the teller but a change in observation point can act as a catalyst for change in behavior. Details of the story may be removed, changed, or amplified in the telling, but the act of storytelling builds upon the potential for relationship between the teller and listener. What remains in an organizational story that is passed from person to person is the elemental pattern in the life of the organization that necessitates the telling. In this way, it is not the fact of the telling but the gift of the emotional message contained within the story that needs to be heard.

As fellow-travelers on the journey, we can, without judgment, encourage the interplay between aspects of feeling and thinking surrounding the story itself and reflection upon it. Questions should be asked in the spirit of continuing the dialogue between the tension of the opposites and elicit additional interest and pleasure in the process. Storyteller Annette Simmons believes that facts are neutral until human beings add their own meaning to those facts (2001). During a reflective process, one might pose the following question: "What resonates within you to the story?" The ability to speak of what is moving within an individual in a group setting allows further reflection and expansion of the power of the story itself. Circling through this process mirrors the behavior I wish to elicit from participants; as such, dreaming the dream onward may evoke new psychic material that can break into conscious awareness. As Simmons succinctly states, People do not need new facts – they need a new *story* (2007).

Breakthrough and Meaning

In reflecting upon the work fantasized and then performed, the challenge is to translate such creative formulation into the language of the corporation without reducing its emotional meaning. Passion is a force that needs to be handled creatively. In a depth psychological approach, this necessitates a deepening of the evaluation process of creativity itself.

A heuristic approach to the Heroic Journey provides a tool that enables experience to inform a conceptual framework in an overt legitimate form, one that is capable of changing dysfunctional aspects of a corporate culture. This view of organizational development is a relatively new field and requires both a conceptual frame and a practical methodology that can handle complexity. Archetypal theory is a construct that can contain the tension of polarities that arise from examining a corporate entity. It can also provide metaphorical language that can reach beyond our ability to articulate; in short, an archetypal approach provides access to the visionary realm of possibility. Using a heuristic method enables both facilitator and the participants to incorporate learning into the methodology itself, providing a flexible container by which to encapsulate and articulate a corporate mythology without diluting its effectiveness. This path of richness can lead an individual to an emotional connection with the story, offering the potential of an additional connection to take place between individual and organization to enable an emotional bond in and around the story process itself.

The economic world has changed substantially into a global marketplace. In order to survive such a paradigm shift, we need a new way of looking at organizational development. That perspective must come from the imaginal realm of archetypal psychology. A mythic imagination can hold the multiplicity of global perspectives. The Heroic Journey as an operational model provides a rich image that can be amplified across cultural barriers.

To satisfy the drive of reflection and to accomplish a breakthrough on the Heroic Journey, we reach a crossroads and the culmination of the initial study of the organization. Make no mistake, in order to evaluate accurately the corporate mythology that is functioning within an organization takes time and patience. It would be easy to stay in the superficial realm of marketing gimmicks, but such a practice does not touch the force that drives a successful strategy. Instead, an archetypal approach offers a container that will hold the complexity and the multiplicity of belief systems in an organizational structure, until a synthesized mythology can be recognized and then given language. The building of such a container is critical.

So How Does It Work?

A nonprofit organization was formed to address child rights and development. All members of the nonprofit organization had considerable experience in this field as well as in international relief work. All members of the executive team were highly educated and respected in their fields with considerable experience in both administration and fieldwork. I was asked to design a program to enable the executive team to link their vision to existing international programs. One of the programs in particular seemed to capture the vision of this team. Africa was struggling with an AIDS epidemic that is decimating the adult population. As a result, hundreds and possibly thousands of orphans exist now with no traditional family structure. To attempt to "parent" these large groups of children is an impossible task. Accordingly, an attempt is being made to "re-vision" the concept of parenting through establishing communities that serve as a parental structure and provide a safe haven or home. Part of the mandate of this agency was to provide support by education and training of AIDS workers who would attempt this task.

International relief work is demanding (both physically and psychologically). In the group's review and discussion of the core values that held the executive team together, it was discovered that the agency itself had no "home" that supported the team while individuals were in the field. Home is a very powerful archetype that strikes at the core of any individual. For this group to re-vision home for others, it was also necessary for them to re-vision home for themselves. As the team worked with this image of a collective home and what it meant to them individually, the process enabled an expansion of the image itself. It is one thing to grasp a difficult concept intellectually; it is another to grasp it with the heart. The following process may help distinguish the two.

Once again, image played a very important role in envisioning a home base. A group of postcards were employed to provoke imaginal thinking. Each individual then spoke to the image and formed a story around the importance of "home." As the group underwent this process, it was decided that even their current office space did not have the necessary aspects of "home" that were uncovered using the images. A different location was found, negotiated, and obtained that allowed the team to shift its perspective. Each team member brought to the new location a piece of art or other object that represented his or her individual interpretation of "home." A native elder was asked to attend a ceremony to welcome the new space and bless both the objects and the work to be undertaken by the team. Working in this manner enabled the team to envision and more importantly, experience different ways of establishing a "home." First from an imaginal sense which then enables concretization of the image into a practical realization. The stories gathered and told around the meaning of "home" creates a bridge to shared understanding. The insights garnered by the executive team during this process are now being taught to members of the organization in the field. Their own experience has been deepened around the meaning of "home" and as such, will enhance their individual and collective ability to empathize with others. You can read about any concept, but in my view, nothing beats the power of lived experience. It is something that resonates within you at a deep level you never forget.

Make any abstract problem concrete. People need to "own" the values and beliefs stated by the organization into behavior – and "walk the talk."

Celebration

The Heroic Journey allows individuals the time to reflect on their own lives, the journey experienced so far and where the individual might like the journey to change. Recognizing that a "deepening" is required, to go within and explore beyond the realm of the ego as well as outwardly in seeking a variety of experience, offers a welcome invitation to most individuals. Fellow travelers are needed who will help build a different society, where people can live and work, play and recreate, learn and grow in an environment that supports individuation. Both my research and my experience to date reinforce the notion that such a process of individuation will produce organizations that are sustainable over time. The process of individuation supports sustainable relationship whether in professional or personal life. Sustainability, as a function of relationship, has the potential not only to build better organizations but also to build a better world.

To work from a mythic perspective, to incorporate both image and thought as opposing forces that may be brought to an act of creation through the transcendent function is equally work and play that is self-fulfilling. To stay in the myth allows the participants a more relaxed psychological state, a return to a child-like innocence that encourages possibility rather than limitation. Story encourages a less analytical, more receptive consciousness that permits a message to enter conscious awareness. If we return to the myth at the beginning of this chapter, the power to choose is something we should celebrate more often. No matter what our circumstances, we always have the power to choose our response. Gather the tales of choice in your organization and celebrate that power to choose.

The path of individuation is the path of a leader. To choose the path of individuation is to choose a path that is particular to oneself. Allies may be present or not, the path initially may be a lonely one for each individual must leave the comfort of the collective that is safe, known, and familiar. Thus, the initial question that starts the Edgewalker on the journey, the call that beckons, that supplies an answer or at least a direction for: "What do you hunger for that you cannot name?"

Whether the process of individuation is ever completed is not important, the emphasis is on process not product, on journey not on destination. Knowing who you are and being true to the Self, transcending the daily debates with the ego, having a level of personal comfort that no person, circumstance, nor opportunity, crisis, nor challenge will dislodge is the core sense of intimately knowing the soul.

Knowing that core sense of soul and allowing that sense to provide intuitive direction and guidance, is indispensable to a leader. Knowing that sense of soul, as a leader directs and stewards the process of change, I believe is the most important function of leadership. As most individuals spend at least half of their life at work, then their work, however an individual may define it, is a major element in the opus. For an organization, the issue does not lie in identifying creative individuals but in promoting creativity from all employees. It is much easier to see the *costs* of employees than the *benefits* they offer, which may be indirect or delayed. Is there a way to promote creativity from all employees? Is creativity really of value? We need more acts of celebration that acknowledge the creative spark in all individuals – such celebratory acts can motivate and inspire innovation capacity.

Few organizations would need a formal study to convince them that creativity, the source of innovation, is important to long-term survival. When people discuss creativity in organizations, it is usually in the context of some *other* company. Rarely do individuals bring up examples from their *own* companies. Perhaps an appropriate analogy would be fish swimming in a body of water. Rarely does the fish recognize the presence of water, as it is part of what is considered normal or routine. Most creative acts do not result from detailed planning but from an atmosphere that encourages and promotes creative thinking. That atmosphere is the corporate culture.

Jung maintained that creativity is present in every human being, not just a select few. Such realization may have a welcome impact on organizations, as only a fraction of the creative potential contained within the intellectual capital of that organization is being realized. Some organizations will desire to remain in this state of unrealized potential. Time will tell whether those organizations will survive. For organizations that recognize the paradigm shift that is occurring and choose to acknowledge the demographic realities, investing in intellectual capital will become a priority. In other words, the importance of locating and recognizing hidden talent or potential in a responsive organization will be of concern to top management.

Celebration and Recognition

Creativity is as much an art form as an instinct. To reawaken the creative ability in each individual was the goal of Michael Ray at the Stanford Graduate School of Business. In 1980, Professor Ray and artist Rochelle Meyers developed the original "Creativity in Business" course for the MBA program at Stanford as they felt that MBA programs were overly quantitative. In addition to achieving the status of one of the most popular courses in the business school over the last 25 years, it has also led to three books, an audiocassette program, and a PBS television series. It has received media attention in this country and over the world for its inward approach to consistently bring out people's highest potential and effectiveness in both business and everyday life. In the December 1996 cover story of *Inc. Magazine*, Michael Ray's book was selected as one of the best nine business and management books ever written. I learned much from undergoing the "Creativity in Business" training with Michael Ray and I celebrate a much valued mentor. The book has not been updated because it still holds relevance today. It's worthwhile reading! We always stand on the shoulders of our many teachers and can only hope to continue the work in the spirit it was given to us. If you would like to know more about our work with this method, I recommend *The Highest Goal* by Michael Ray (2004). In it, he describes our experiences with the Creativity in Business methodology and how we have used it in organizations. How have you recognized great leaders in your organization? The simple act of naming in a public forum brings recognition to those leaders that have helped develop your potential and/or the potential of others. There is an expression "standing on the shoulders of giants" – who are those giants in your organization? Personalize recognition – highlight the achievements made by the individual and show appreciation for individual excellence. Find out the types of recognition that make the most difference to your people. Do not assume you know. Ask! Grow your Edgewalkers! Take time to celebrate the achievements made to date. More organizational work might be needed but recognition is food for the soul. When times are tough, it is that food that sustains us. Public recognition also sends a clear message to all members of the organization that such valuable contributions will be acknowledged and celebrated.

Celebration and Relationship

When you celebrate the "giants" in your organization, the very act of celebration brings people together in relationship. When you celebrate your values and victories, you will create a spirit of community. In fact, I would also go so far as to say, celebrate any failure by showing appreciation for the learnings! Edgewalkers know how important it is to connect with the people around them, and show appreciation for both who they are and what they do. Acts of celebration build a community of practice that not only uplifts the spirit, but also provide the impetus for greater levels of performance. I truly believe people come to work every day to do their best. A community that celebrates its vision and values is well positioned to handle the chaos of change. The field of positive psychology emphasizes that positive expectations profoundly influence people's ability to succeed (Seligman 2002, 2011).

Thus, the emphasis on relationships between members of the organization and how they are constructed is crucial for success. To promote an environment that nurtures creativity requires a leadership approach that recognizes the power of emotional engagement, an experience that takes place in the heart and mind.

Celebration and Meaning

If people are to render their lives meaningful, such meaning will be accomplished through their choices. To participate in one's own opus as a driving force towards meaning enables an individual to withstand the crises and frustrations that are a part of every life. To increase conscious awareness that creativity, and thus the potential to initiate new discoveries, is resident in every human being, is to understand that creative capacity is available to all. When you recognize individual accomplishments and build relationships through community, you are also enabling mythopoesis – our ability to make meaning. Organizations create meaning by enlisting us in a common vision. Mythopoesis, the act of myth-making, enables an organization to create a common purpose that bonds people together towards a compelling future.

So How Does It Work?
Acts of creativity that lead to innovation in an organization need to be celebrated. If change was such an easy process, our organizations would have shifted to this form of conscious capitalism years ago. The return on investment results are compelling – the organizations that have made the move towards values-based leadership are rewarded substantially. They generate value that truly matters, not just financial, but also social, emotional, and spiritual value (Sisodia et al. 2014). It is important to realize that if any organization wants engagement from its employees, the organization needs to celebrate those who serve the organization, and do so in a public forum. It would not hurt most corporate cultures to celebrate more and criticize less.

As an example, here is another simple exercise that produces a powerful result. I have used this many times in organizational workshops and it is a great way to end any session. Usually we have been working in round tables, containing anywhere from four to six participants. On a blank sheet of paper, I ask the participants to write their name and pass the sheet to the left (or right) . . . your preference! Then one person will start with the name of colleague and be the “transcriber” to collect the statements. The person named is asked to remain silent and just listen and take in the information to be provided. Then the other participants, one by one, start with (Name), “a strength I see in you is” . . .. (description).

When was the last time you received several compliments and appreciations all at the same time? The transcriber writes down all of the statements and then returns the page to the owner. It is an amazing exercise and one that is much appreciated. Ensure you have sufficient Kleenex! We forget the powerful effect of an appreciation of who we are. Many of the people I have worked with in the past, tell me they still carry that sheet of paper in their wallet.

Tell the Story

The study of the story systems or mythologies inherent in an organization can help illuminate the challenges presented in attempting to change the corporate culture. The Heroic model as devised by Campbell can enable individual change by means of its visual representation as a tool for finding meaning in images of contemporary life. By combining these two aspects, a working method can be devised that illustrates how organizational story systems can be visually represented and then consciously examined. Such examination will increase awareness and allow the individual to participate actively in conscious myth-making, or mythopoesis. Every corporate culture consists of groups of individuals, and each individual has a particular motivation in joining with a particular group or organization. Every individual also brings his or her story into the organization, a collection of life experiences that informs his or her behavior within an organizational context. The collection of individual stories will also be influenced by the stories of the organization itself. Both will inform and potentially transform the other. In accessing and using story in either an individual or organizational context, the story will contain a potential archetype of transformation. By identifying these archetypes through a tool such as the Heroic Journey, a structure may be formed that enables mythopoesis, an act of the imagination in which a prevailing mythic image is reshaped, reformed, and given new life. Behind the concrete particulars of any situation, a mythical move provides a “seeing-through” to the mystery or unconscious beyond, to a field of potential that has not yet been accessed, which cannot be known directly but is rather intuited. Understanding a corporate culture can be thought of as breaking a code. Understanding the why of change is crucial for business because it predicts what people will do, and more importantly, why they will do it.

Storytelling and Recognition

Stories told in an organizational setting carry the core values and beliefs of the organization in the same way that the stories told by an individual carry personal beliefs, prejudices, and core values. All provide information that can be utilized in understanding behavior. By having a common model such as the Heroic Journey so easily accessible by any individual in the organization, similarities and differences can be explored in a visual context.

Storytelling and Relationship

It has been my experience as a consultant that such a visual context allows each story to be honored and expressed in such a way that is more easily understood by both self and others. Employing this type of developmental tool may enable a more effective form of communication in an organizational context and promotes both generational and cultural diversity. The richness in the story acts as a form of human glue that binds the participants together in the experience.

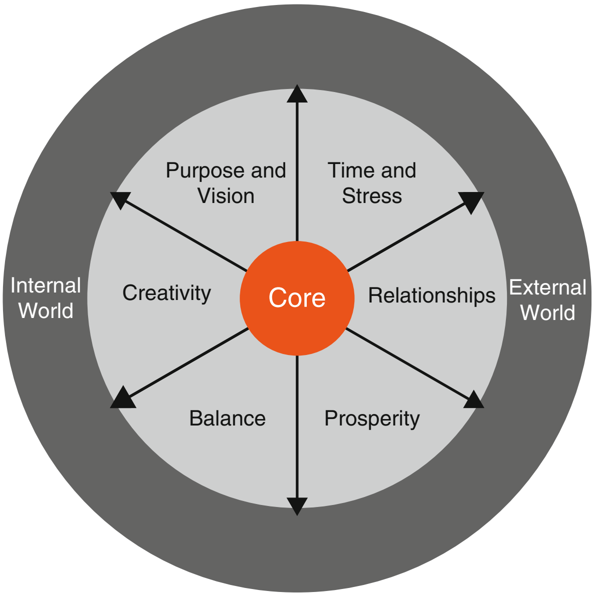
Storytelling and Meaning

To capitalize on the power of storytelling within a family or an organization is to understand the power of unconscious content that, if made conscious, potentially builds and more perhaps more importantly, deepens relationships between the teller and the listener. To participate in the storytelling, and use the visual map of the Heroic Journey, creates a pattern of possibility. For the story, like people, can change.

So How Does It Work?
In this next example, the Canadian pilot for the "Creativity in Business" program was being conducted. As part of the process, an assignment was given to the participants to tell a story which would take from 5–15 min in length. This story could be from an organizational context or from a personal context, the decision being left up to the participant. The participants were informed of this task 2 months in advance, so ample time was provided for reflection and compilation of the story itself. Any aspect of the story wheel below could be utilized as a framework (Fig. 4).

The process undergone before this last session was constructed to increase personal awareness and understanding of the Self, to ascertain and develop individual strengths and to establish and strengthen leadership abilities of the participants. The entire process from start to finish took place over a 5-month period. Psychological testing of the participants included the use of the 20-sub-scale Myers-Briggs Type Indicator, the Gallup Strengthsfinder, the Fundamental Interpersonal Relations Orientation-Behaviour (FIRO-B), and the Stanford Business School Work/Life Balance Questionnaire. Individual interviews were conducted with each participant before the commencement of the program, to ascertain individual goals and challenges. All of the personal information and psychological data collected was incorporated into the design process in order to maximize the possibility of obtaining the desired creative outcome. The participants were given a series of "live-withs," a set of mantras used as a weekly creativity exercise spanning a period of 10 weeks. These

Fig. 4 Creativity in business process (Grant 2014)



"live-withs" were designed to promote a change in perspective, in other words, to change the lens normally used to view day-to-day life.

Storytelling coaching was provided prior to the storytelling exercise. Specific tools were provided to the participants that were practiced in dyads before the commencement of the storytelling process. Suggestions for change were not called for; instead, appreciations of the efforts of the teller were encouraged. The time arrived for the participants to tell the stories that they had been chosen. It is imperative for the facilitators to create an environment of psychological safety. Every effort was made to make the participants as comfortable as possible so the storytelling session might begin. The specific details of the stories told are confidential and will remain so, but it can be said that the process was more successful than the facilitators had anticipated. The telling was not just an intellectual exercise, but an emotional experience for all. Most stories lasted the fully allotted time or exceeded the original maximum specified. No effort was made to cut the story short. Instead, each participant was allowed to experience fully the process intellectually and emotionally. As a result, the participants formed a much closer relationship with each other and had a fuller, more expansive understanding of both the professional and personal competence held by each individual in the group.

The important teaching for any consultant who wishes to attempt this method is to stay out of the way! You will see that recognition, relationship, and meaning will surface in the context of the story.

Re-Visioning

A re-visioning process takes time, patience, and stamina. The complexities of working with both people and organizational structures can be a daunting task. I had to undergo my own re-visioning process when I returned to school in 1998. Changing the way you think, challenging what you believed to be the "truth" both personally and professionally can feel like a trial by fire. It certainly was a crucible of transformation for me. Basically I started over. From the beginning. Working with the Joseph Campbell material gave me something to hold onto when I thought I would never be able to shift my own story towards a much different trajectory. There were times that I just sat in the Joseph Campbell library among the archives and prayed that I would learn by osmosis. Then I went back to my reading.

Expect that working in this space will be transformative, for you as well as your organization. My own experience, although painful at times, confirmed my intuitive sense that the power of story can bring great riches to the world of organizations and corporate life. I continue to be convinced that archetypal psychology has both the power and the sensitivity to bring about the necessary change in our corporate environments. A return to the world of the imagination is required in a major paradigm shift. We are leaving the world of a market-share economy that is characterized by a fixed, command-control mindset approach to leadership and innovation that stresses competition. We are entering the world of a creative economy that is characterized by a growth mindset approach to innovation that stresses collaboration. The earth is indeed shifting under our feet and more Edgewalkers are needed to re-vision the way we work.

This new leadership stresses a both/and approach. Innovation is primarily a problem-solving process. When assets now have feet, engaging creative capital is mandatory. People, not things, are the only competitive advantage. First start with people. Then the organization (Table 4).

I started this work in 1998 and have learned much along the way. I have not yet grown tired of the Heroic Journey model for I have confidence in the path forward. It is a constant source of new adventures. I have continued my applied research in this area and hope that others will join me on the edge. To re-vision the role of the Hero/

Table 4 Anticipated Outcomes

Outcomes	The creative individual	The creative organization
Identity	Who am I?	Who are we?
Personality	What kind of person am I? How do I perceive, learn, communicate? What are my strongest forms of intelligence? How do I communicate with others who are different?	What kind of group is this? What kind of team do I lead? How do we integrate diversity? How do we handle and prevent inner conflict?
Strengths and skills	What are my talents and passion? What is my unique and best contribution?	What are our core competencies? What is our unique contribution to the marketplace? How will we stand out?
Purpose and meaning	Why am I here? What is my legacy to the organization? How do I perceive the world and my role in it? What is my personal sense of purpose? My creative core?	Why have we come together? Where do we fit? What is our shared world view? What is our legacy as leaders? What enriches and enlivens me?
Values	What is important to me? What worldview governs my priorities? What core values guide my actions? Where are my values gaps?	How do my own values align and support the organizational values? What do we value most as a group? Do these values serve our purpose? Are they in alignment with the values of our various stakeholders?
Principles and practice	Do I behave in accordance with my values, purpose, and sense of meaning? Do I allocate my resources of time and attention in accordance with my values?	How do the policies, practices, and performance of the organization reflect our values, purpose, and sense of meaning? How do we allocate resources?
Experience	What stories do I tell about myself and my experience? What value is derived from these stories?	What myths and stories do we share about our organization? Why are they considered meaningful? What reaction do they elicit?
Image and corporate brand	How do I project myself to others? How do I think I am perceived? Are my self-image and my public-image aligned?	What is our brand? Do we brand from the inside out? Do we “walk our talk”?

ine in corporate life is to re-vision of view of human potential in organizations. There will always be some organizations that exist solely for profit and take advantage of employees. But hopefully, they will recognize that such behavior is not sustainable.

Conscious use of an archetype of transformation such as the Heroic Journey resonates with individuals. As an archetype of transformation, the Heroic Journey is capable of bridging the gap between two individuals or two corporate cultures. It is wise to learn as much as possible about a potential mate before marriage, and the same can be said about a possible partner in a merger. A complete transformation of two companies into a new organization requires a deep understanding of capabilities and resources. An examination of corporate culture is often overlooked, in part because of the lack of required assessment capabilities. Archetypal psychology has much to offer this process. There is a crucial link between employee commitment and emotional engagement and successful implementation of corporate strategy.

By use of archetypal theory, a statistical form of cultural measurement, and the use of the power of story, a cultural alignment can be performed to enable the retention of valuable intellectual capital as part of the merger process. Cultural issues may be an important factor in domestic mergers, but such issues are compounded when the cultures of different countries are considered.

I am constantly amazed at the archetypal power of recognition, relationship, and meaning as primary concerns of our race. To honor that foundation in an organization setting leads to an alignment of strategic intent, full engagement of the workforce, and integration internally and externally of the brand (Fig. 5).

According to Cohen and Prusak (2001) social capital consists of the active connections among people, such as trust, mutual understanding, and the shared values and behaviors that bind members of human networks and communities, and make cooperative action possible. In order for people at all parts of the organization

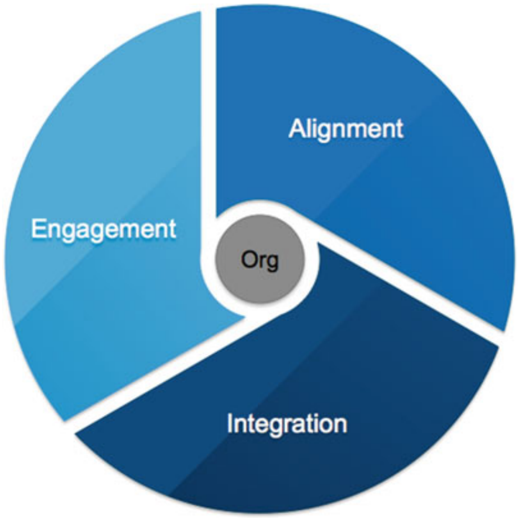


Fig. 5 Organization Archetypal Tri-Model (Grant 2016)

to truly understand the vision, and in order to collaborate, they must have a hand in its creation. There is much work ahead of us both in academe and in industry.

Concluding Thoughts

Many leaders ground their work in their deepest values. When those values are made explicit, passion and purpose are evident. Spirituality is embedded in both passion and purpose and as such, ensures deep and sustainable engagement and connection to the work undertaken. As Waddock points out, societies today yearn for a leadership of possibility, a leadership based more on hope, aspiration, and innovation than on the replication of historical patterns of constrained pragmatism (2015). In short, we need more Edgewalkers.

Coming to the end of this chapter, I would like to give you three takeaways that sum up all I have learned from my many experiences.

First, you must have patience. Patience is enhanced by a good sense of humor. You will need both in order to keep your sanity! Change never occurs at the speed we crave; it is what it is. Institutions are slow and rigid but they can, if willing, reinvent themselves.

Second, the best and most accurate view is close up. You will, of course, listen to the opinions of senior management. But you need to be more of an anthropologist than a management consultant. Get down into the depths of the organization, for it is there you will find untapped potential eager for recognition, relationship, and work that provides spiritual meaning.

Third, a personal lesson that was hard-won. You have the choice to carry baggage from the past into your current project. Or you can pack light for the journey. Leave old baggage behind. Forget what you know. No stream is the same. Begin with fresh soft eyes, open ears, and a willing heart.

Never forget your power to choose . . .for only those who go too far, know how far they can go.Become an Edgewalker.Blessings for the Journey.

References

Amabile T, Conti R, Coon H, Lazenby J, Herron M (1996) Assessing the work environment for creativity. Acad Manag J 39(5):1154–1184

Campbell J (1949, 1968, 2008, 3rd Edition.) The hero with a thousand faces, 3rd edn. Princeton University Press, Princeton

Cohen D, Prusak L (2001) In good company: how social capital makes organizations work. Harvard Business Press, Cambridge

Grant G (2005) ReVisioning the way we work. Trafford Publishing, Bloomington

Grant G (2014) Finding your creative Core, 2nd edn. Integral Publishers, Tucson

Grant G (2015a) A Phenomenological Inquiry of Experiential Learning within Leadership and Creativity. Policy Research Symposium, Ministry of Training, Colleges and Universities, Toronto

Grant G (2015b) Creativity in Business: An Update on the Journey. The Program, the Process and the People. Spirituality and Creativity in Management World Congress. Barcelona

Grant G (2016) Making Meaning: Mythopoesis in Business. Academy of Management (AoM) Teaching and Learning Conference, Anaheim

Hillman J (1997) Kinds of power. Crown Publishing, New York

Jung CG (1959) The archetypes and the collective unconscious (trans: Hull RFC). Princeton University Press, Princeton

Kofman F (2006) Conscious business: how to build value through values. Sounds True Press, Boulder

Neal J (2006) Edgewalkers. People and organizations that take risks, build bridges and break new ground. Praeger, Westport. Kindle Edition: retrieved from http://amazon.com/

Ray M (2004) The highest goal: the secret that sustains you in every moment. Barrett-Koehler Publishers, San Francisco

Ray M, Meyers R (1986) Creativity in business. Broadway Books, New York

Schein EH (1992) Organizational culture and leadership, 2nd edn. Jossey Bass Publishers, San Francisco

Schein EH (1999) Corporate Culture Survival Guide. Jossey Bass Publishers, San Francisco

Seligman M (2002) Authentic happiness. Simon and Schuster, Inc., New York

Seligman M (2011) Flourish: a visionary new understanding of happiness and well-being. Free Press, New York

Simmons A (2001) The story factor: inspiration, influence and persuasion through the art of storytelling. Perseus, Cambridge

Simmons A (2007) Whoever tells the best story wins. How to use your own stories to communicate with power and impact. American Management Association, New York

Sisodia R, Sheth J, Wolfe D (2014) Firms of endearment: how world-class companies profit from passion and purpose, 2nd edn. Pearson Education, Upper Saddle River

Waddock S (2015) Intellectual shamans: management academics making a difference. Cambridge University Press, Cambridge

Wheatley M (2005) Finding our way: leadership for an uncertain time. Berrett-Koeher Publishers, Inc., San Francisco

Self-Awareness in Personal Transformation

Nancy S. Kay

Contents

N. S. Kay (✉)
Grace Counseling Service and SelfAware 101 Coaching, Fayetteville, AR, USA
e-mail: nancy@selfaware101.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_22

Abstract

Self-knowledge and relationship management are vital to success. A large percentage of high performers score high in self-awareness. What's the correlation? It is the human connection that is overlooked. Self-awareness facilitates resilience, engagement, conflict management, and effective decision-making. Benefits of being self-aware include awareness of strengths, weaknesses, and unresolved life issues. In this chapter, the advantages of self-awareness will be highlighted and explored. They include the ability to adapt and manage emotions, making decisions based on or aligned with your values, and maintaining business and personal relationships for greater fulfillment. Self-aware business leaders can be more effective and efficient managers. They encourage and enhance others to excel in their strengths, which improves satisfaction, increases productivity, and positively affects all of life.

Keywords

Self-knowledge · Relationships · Self-awareness · Resilience · Decision-making · Conflict management · Productivity · Intention · Transformation · Human moment

Introduction

Self-knowledge and relationship management are vital to success in life. Did you know that a large percentage of high performers score high in self-awareness? What's the correlation? It is possibly the human connection that is often overlooked in people who are just doing what they usually do, seemingly moving through daily life on autopilot.

People are usually so set on the tangible outcomes of life – acquiring material goods, gaining more money, climbing a corporate ladder, and trying to meet the goals of society – that they often overlook who they are as individuals, as they instead try to match what others think they should be. People are individual human beings with complicated emotions, talents, and goals for their personal lives. They have the right and the freedom to seek out and become their best self.

Individuals are so involved with just trying to survive in the world that there seems to be little time for taking care of themselves. Too often, these individuals are swayed by outside pressures, such as marketing, advice, family relationships, education, training, advertising, and the media. Is it even possible to increase their awareness so they find more personal fulfillment in their lives? Yes, I believe it is.

Here are some of the benefits of being self-aware in your personal life, which will enhance everything you do at home, with your family, in your social life, and at work. When you are aware of your strengths and weaknesses, it increases others' trust of you and your credibility with them. Acknowledging your strengths will enable you to focus on what you do best. You can continue to build your strengths, gifts, and talents by realizing what you are most skilled at doing.

This also helps you understand and accept your weaknesses. If something in your life is not a good fit, and you struggle with it, you can learn to let it go, regardless of what others think. It is not a matter of trying to do everything, but instead to work together with others (partner, friends, family, and coworkers) to create a better life outcome. You also enhance your coworkers, family, and friends by encouraging them to excel in their strengths.

By being self-ware, you understand more about unresolved issues in your life that might be guiding and/or misguiding your actions and decisions. You learn how to adapt and manage positive and negative emotions. By embracing all emotions and understanding them, you can become your true, authentic self. You discover how to manage your business and personal relationships to enhance relationship fulfillment, and thus you increase productivity at home and work and become more satisfied with life.

On the way to increasing your self-awareness, you will learn to be present in your life and understand what blocks your way to personal transformation. This is the opposite of operating life on autopilot. It is being in tune at all moments and being cognizant of what affects your ability to be fully aware. We all have subconscious, dysfunctional roles that were learned in childhood. We live with life scripts (stories that shape thoughts and actions) that can produce unhealthy attachment styles.

Cognitive distortions create emotional responses to life, sometimes causing anxiety and impatience in response to various triggers that people let affect them. Learning to be aware of these challenges to personal transformation is a beginning to being present in life and becoming more fulfilled.

It is not enough to be aware and be present in your life, you need to know and understand these aspects of your personality and how you came to be this way. With knowledge comes the purposeful intention to actively choose to transform your life to become more authentic. It means being able to commit to a plan, to be mindful, to honor the core values that are paramount to your individuality, and to create more human moments in your daily life.

Being intentional about change includes the following: to learn what happens in your brain, to realize your blind spots, and to discover if you respond or react to situations in life. Learning to have a growth mindset that is positive and affirmative will guide you in your thoughts and actions, whatever you do.

This chapter includes three sections that discuss the benefits of self-awareness (Section I, Be Aware), the blocks to self-awareness (Section II, Be Present), and the actions for personal transformation (Section III, Be Intentional). Also, in this chapter you will find exercises that will help you grow in knowing your values and increasing your self-awareness.

Section I: Be Aware: What Is Self-Awareness?

This chapter is based on research and fact, but it is user friendly and practical. As a therapist and coach, focused on the importance of self-awareness, everything I do has to make sense and align with my values. I want this chapter to be thought-provoking and transformational, not just a lot of research that does not make a difference in your life. Change starts with self-awareness, which means knowing yourself.

What Is Self-Awareness?

Self-awareness is the first step in creating the life you want. Knowing yourself involves identifying the different aspects of who you are as a unique person. Human beings are multifaceted. Developing self-awareness is understanding what drives you to do the things you do. It is tuning into your personal energy that directs the passion in your life.

It is being aware of how you feel, knowing your personality, your wounds, your values, your needs, and your distractions. It takes time and intentionality to pay attention to all these areas. It is true that a little introspection – a little pondering – will go a long way. Paying attention to your life means telling the truth, both to yourself and others. It is essential to living a fulfilled life.

Self-awareness also includes your understanding of other people, how they perceive you, your attitude, and your responses to them. Having self-awareness allows you to see where your thoughts and emotions are guiding you. It enables you to know yourself well enough to control your feelings and behaviors and enhance your life and your relationships.

There is power in becoming more in tune with your inner self. As individuals, we can surround ourselves with the idea of a larger world – why we are here and what our purpose is. We gain the power to see a worldview that involves more than just our daily existence. We become part of a plan to reconstruct the world – ourselves, our local community, and others around the globe. We are motivated to do more than just exist.

Becoming self-aware is the cornerstone of motivation. It is the first step to create and master the life we want. Research has shown that 83% of all successful people have high self-awareness (Bradberry and Greaves 2009, p. 26). It is the vital process for living the aware life. Self-awareness facilitates resilience, engagement, conflict management, and effective decision making in our personal and our professional lives.

What is involved in becoming more self-aware? Individuals who want to delve deeper into their own awareness need to understand the concepts of emotional intelligence, values, emotional needs, lifestyles, and emotional awareness.

Emotional Intelligence

Emotional intelligence is the innate potential to manage, understand, and explain our emotions. In Dr. Daniel Goleman's words, emotional intelligence is "the capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships" (Goleman 1998, p. 317). Demonstrating the elements that are so important in emotional intelligence – such as emotional self-awareness, empathy, and influence – is vital to the aware life.

Goleman provides a profound illumination when he says that emotional intelligence is anchored in self-awareness.

Values

Values are personal qualities that help guide your decision-making process. You might not be aware of them, but they determine your actions. They are the ideals that are most important in your life. Some examples include achievement, adventure, cooperation, kindness, helping, and spirituality. When you live with the awareness and importance of your values, you can bring greater meaning to your life. You will be more fulfilled as a person, because your values are in sync with your accomplishments.

Emotional Needs

Emotional needs also help determine your behavior and your actions. These include the need for affection, self-esteem, belonging, purpose, self-actualization, and power and control (Maslow 1943). If you are aware of your strongest emotional needs, it helps you manage yourself and your relationships, which is vital to manage the needs in a healthy way.

Lifestyle

Your lifestyle is how you choose to live on a daily basis. You create the life you want by choosing good habits, activities, and relationships that help you live the *aware life.* However, if you choose poor habits, activities, and relationship, you'll likely decrease your fulfillment.

Emotional Awareness

Emotional awareness is being mindful of and understanding your feelings. You are cognizant of what causes specific emotions and how they affect you. Understanding your emotions helps you calm yourself when you need to. The greater your emotional awareness, the greater control of your feelings you will have (Kay 2018).

After this brief review of what self-awareness is and concepts to help you become more self-aware, you will realize that there is a deep introspection that will be necessary for you to achieve your goal toward this aspect of your life. What are some of the benefits that await you for all your hard work?

Benefits of Self-Awareness in Personal Transformation

Acknowledging Strengths and Weaknesses

Most of us probably think we are self-aware. However, many people are not *aware* of how their behavior impacts others. For example, there are "originators" who are not afraid of confrontation or taking risks. On the other hand, there are "conservers" who are more rule-bound and do not like conflict. Most people are between and are "pragmatists" who do not either seek out or avoid confrontation (Musselwhite 2007).

Seek out and listen to feedback from family, friends, and coworkers to determine your strengths and weaknesses. We do not have to be the best at everything. Wouldn't it be great to focus on what we do best, what brings us fulfillment, and to create a life that we love? I will discuss actions that you can take in the third section of this chapter.

Managing Relationships

Relationships, at work or at home, can be easy until something happens to upset them. If you can change your emotions by changing your interpretation, this will alter the quality of the relationship. By changing the emotions, there are new possibilities. If you are aware of your thought and behavior patterns, this comprehension will help you understand other people, thus you can empathize and create better relationships.

You can improve your relationships through practicing self-awareness. Focus your attention on the details of your personality and behavior. It is not learned from reading a book or listening to an audio. When you read, or listen to information, you are focusing your attention on the conceptual ideas. With your attention on a printed page or listening, you are not paying attention to your own behavior, emotions, and personality.

Think of learning to be mindful and self-aware as if you are learning to dance. When learning to dance, we should pay attention to how and where our feet move, the motion of our hands and body, what our partner is doing, the music, the rhythm of the beat, the floor space, and the other dancers. Active participation is involved to learn to dance and to learn to be self-aware.

Making Better Choices

If you have an emotional reaction of anger or frustration, you notice many of the thoughts and small triggers that build up toward those emotions. You also notice moments when you can change the interpretations in your mind, or not believe what you are thinking. You will make better choices by being more aware about your thinking, and not reacting as much with your emotions. When you develop more self-awareness, your behavior and thought changes are easier, because you adjust your reactions to life before your thinking and your emotions take over.

The truth is that almost any moment offers you an opportunity to live out your purpose and reinvent yourself. Spending time on self-discovery will uncover answers to ambiguities you might have never known existed, yet were in control of how you live your daily life. "Individuals experience higher satisfaction with life when they are satisfied with their jobs, with their social environment, and with themselves. Also, independent of their life situations, individuals with higher emotional intelligence tend to feel higher life satisfaction" (Escoda and Alegre 2016, p. 131).

Taking Responsibility

It is easy to see how pretending to know everything, when you do not, can create situations that can be problematic for your relationships, life, and work. On the other hand, when you take responsibility for what you do not know, you benefit both yourself and all involved. When you acknowledge what you have yet to learn, you are modeling to others that it is okay to admit you do not have all the answers, to make mistakes, and, most important, to ask for help. These are all characteristics of a person who is constantly learning and springboards to innovation and agility – two hallmarks of high-performing individuals.

Summary of Self-Awareness Benefits

Acknowledging what you discover will allow you to transform and reframe yourself into the authentic person you want to be. This will allow you to acknowledge your strengths and capabilities, while also recognizing *weaknesses* and lack of competencies. By utilizing this knowledge, you can work with others – your partner, friends, family, supervisors, team members – to provide a complement to one another, each providing what they are best at.

Self-awareness will make you more effective as you develop skills that will help you work toward your goals. You will know your strengths and weaknesses to do your best work, as you also develop intuitive decision-making skills. People who are highly self-aware are better able to use their instincts to guide them to better decisions. You will have less stress with a job that you are more compatible with, and you will be motivated to seek out a sense of accomplishment, additional responsibilities, a flexible work schedule, and help others (Williams 2003).

Interpersonal Connection and Self-Awareness

Knowing oneself allows for the ability to build rapport and engage in human moments that bring depth to our relationships and our life. We often interact with others, communicating and interacting in interpersonal ways. See Fig. 1 for a visual concept of this interaction.

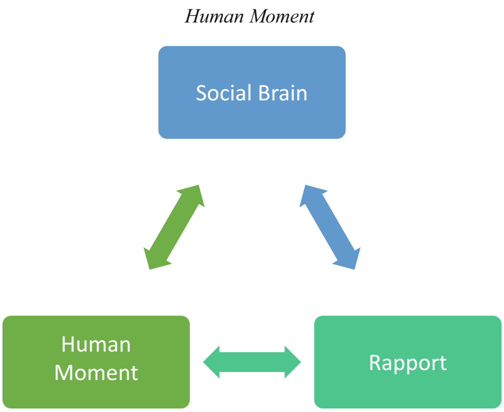


Fig. 1 Human moment

Social Brain

We are constantly impacting the brain states of other people. We are responsible for how we shape the feelings of those we interact with. We manage the brain states of others with our relationship skills. Per Goleman (2011a), the sender of a message in a group is the most emotionally expressive. But if there are power differences (for example, classroom, business, organizations, groups, families), the most powerful person sets the emotional state.

In any human group, people pay most attention to – and put the most importance on – what the most powerful person in that group says or does. In a family, if the parents are in a positive mood, that will usually spread to the rest of the family. If the leader of a team is in a positive mood, that spreads an upbeat mood to the others. The collective positivity enhances the family interaction or the group's performance. If a member of a family or the work leader projects a negative mood, that spreads in the same way, and the family and the group suffer.

Rapport

We want to communicate well with others, so they understand our feelings and our ideas. To do that, we need first to be sure to pay attention. Tune into yourself and allow your mind to be aware of anything that is getting in the way of being fully present with the other person. Then pay full attention to the other person, without any distractions. Second, we need to interact and connect nonverbally, that is, we regulate our body in relation to their body. The third is a positive feeling. We know rapport has occurred because there is a chemistry that happens.

Behavior that mimics or copies the behaviors of another person is a way to demonstrate rapport. If one person crosses their legs and another response by crossing their arms, they are demonstrating cross-matching behavior. Matching behavior would be mirroring the same movement, for example, one person scratches their chin the other would scratch their chin. This mirroring of behavior in both people is a sign that rapport is being established in that interaction and with the people involved.

On a neurobiological level, the brain has cells called "mirror-neurons," and they fire when they perceive that another person is behaving in a particular way that mimics a behavior they are doing. When these mirror neurons are activated, they release the hormone and neuromodulator, oxytocin. Oxytocin stimulates the release of the neurotransmitters serotonin and dopamine, as well as suppress the fear-flight response. This creates the "feel-good" state. Oxytocin is also known to increase trust. Thus, mirroring behavior creates rapport, rapport releases oxytocin, and with oxytocin release, there is increased trust. (McLeod 2014).

Human Moment

This is the experience of an authentic encounter, perhaps a face-to-face conversation, in person, sharing the same physical space. With modern technology, the human moment is disappearing, as increasingly more communication happens electronically. People must engage in a physical, emotional, and intellectual encounter for the human moment to occur. Just being next to someone (physical presence) without engaging with them is not enough. Attention alone is not enough either. You can pay attention to someone over the telephone, for instance, but phone conversations lack the power of true human moments.

We all, at one time or another, want or need a change. Life can begin to feel dry, plastic, and routine. Or it can go to the other extreme of chaotic, drama-filled, and lack peace. Either can make us want to do something different at work or at home – *anything* different. So, we make a change. Yet, after the excitement of the new job, location, or relationship wears off, we find ourselves in the same type of scenario, just with new characters.

Why? Because we carry ourselves with us wherever we go, and until we unpack and understand our inner world, we will continue to live out the same pattern. When individuals and couples come to see me for counseling or coaching, I begin by exploring the areas that are not going well. These areas usually indicate how they are living. The choices they are making are not aligning with their core values.

How do you learn to make the choices that will bring sustainable positive changes in your life? It all comes down to engaging and being more aware of self and others.

Engagement

- Experiencing Positive Emotions, Even Mild Ones, Helps People Attend to a Task. When We Say Positive Emotion, We Are Not Talking about Euphoria Here but Amusement and Contentment.
- Experiencing positive emotions helps people think in a more open-minded, broader way.
- Experiencing positive emotions helps people think in a more flexible and integrative manner, thereby increasing the likelihood that their solutions and conclusions will be more creative. This might also help a group of individuals perform better collectively. It is possible that work teams might benefit in this way.
- Experiencing positive emotions helps people think in ways that might promote actions that lead to win-win outcomes.

While personal awareness is essential to the transformation and the positive changes for an individual's life and daily living, it also impacts the person's professional life. Most of us are not independently wealthy and we need to have some type of employment to earn a living. Having an income to pay for the essentials of life is a basic need for most of us. Let us look at the benefits of increased self-awareness for your professional life, enabling you to become engaged with the work that you do.

How Personal Self-Awareness Benefits Professional Success

Personal engagement is the "harnessing of organization member's selves to their work roles: in engagement, people employ and express themselves physically, cognitively, emotionally and mentally during role performances" (May et al. 2004, p. 694). Work engagement is defined as a positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption. *Vigor* is characterized by high levels of energy and mental resilience while working, the willingness to invest effort in one's work, and persistence even in the face of difficulties; *dedication* by being strongly involved in one's work and experiencing a sense of significance, enthusiasm, inspiration, pride, and challenge; and *absorption* by being fully concentrated and happily engrossed in one's work, whereby time passes quickly and one has difficulties with detaching oneself from work (Schaufeli et al. 2002).

Schaufeli and associates identified two key sets of variables that drive work engagement. *Job resources* include social support from coworkers and superiors, performance feedback, coaching, job control, task variety, opportunities for learning and development, and training facilities. These resources are helpful in reducing the impact of job demands on strain, but they are also useful in the achievement of work goals, and they stimulate learning, personal growth, and development. *Personal resources,* such as optimism, self-efficacy, and resilience, are functional in controlling the environment and exerting impact on it in a successful way.

Furthermore, individuals who are positively engaged in life have several personal characteristics that differentiate them from less-engaged people. Examples are extraversion, conscientiousness, and emotional stability. There are several possible reasons why engaged individuals are confident and constructive: (1) they often experience positive emotions; (2) they experience better health; (3) they create their own personal resources; and (4) they transfer their engagement to others (cross-over).

Two kinds of factors shape engagement: *extrinsic* rewards, such as acknowledgments, thanks, gifts, awards, and money, and *intrinsic* rewards – psychological rewards that fuel engagement by providing a positive emotional charge. When people are not satisfied with their environment, they tend to become less productive, less committed, and more depressed.

Engagement is the goal for a successful business. Former General Electric CEO Jack Welch said that the three most important things that an organization should be measuring about its performance are first, employee engagement; second, customer satisfaction; and third, cash flow. "If you've got the first two right, you'll get the cash flow. If you don't, you won't. It's really that simple" (Dornbrook 2015). Employee engagement has a huge impact on organizational performance.

More business leaders, employees, and customers want to see a new model of organization, where there are fewer top-level controls, and instead there is increased connectivity with an empowered environment. Connected leaders who are emotionally intelligent will effectively collaborate with others to create a shared style of leadership. Engaging in this model creates a shared vision and purpose, distributes power, and builds authentic relationships, which encourages collaborative achievements (Hayward and Newman 2014).

People have internal reactions in response to the world. Even though they happen inside, they are chosen actions. For example, believing you are competent and special will help you live up to that image. However, believing you are incompetent and worthless will help you live down to that truth.

Internal factors that shape our self-awareness include internal dialogue (the conversation we have with ourselves as a reaction to our world), labeling (we attach perceptions of loser or winner to ourselves and others), tapes (ingrained beliefs that influence our behavior), and fixed beliefs (ideas that are ingrained and cause us to block positive information.

External factors that affect who we are include defining moments (positive or negative moments that enter our core and change us), critical choices (life-changing decisions that affect our lives), and pivotal people (family member, friends, or coworkers) who leave a positive or negative impression on us (McGraw 2005).

Emotional Intelligence at Work

Previously in this chapter, emotional intelligence was defined as the innate potential to manage, understand, and explain our emotions. Dr. Steven J. Stein and Dr. Howard E. Book, in *The EQ Edge*, state:

> Emotional self-awareness is the foundation on which most of the other elements of emotional intelligence are built, the necessary first step toward exploring and coming to understand yourself, and toward change. Obviously, what you don't recognize, you can't manage. If you aren't aware of what you're doing, why you're doing it, and the way it's affecting others, you can't change. (Stein and Book 2011, p. 55)

- Those who communicate most effectively with others, in that they honor their own needs and do not make others responsible to meet them, are typically the most successful individuals, personally and professionally. In his book, *Emotional Intelligence,* Goleman reveals that only 20 percent of success in the workplace is based on an intelligence quotient (IQ) score, while 80 percent is based on other forces, such as emotional intelligence (EQ) (Goleman 2005, p. 34). I believe that the statistics can be broadened to personal/relationship success.

IQ is a person's intellectual, analytical, logical, and rational abilities. EQ is a short-term, tactical, and dynamic skillset that is accessed when warranted. In the workplace, studies have shown that IQ can predict between 1 and 20 percent of success in a job. EQ, on the other hand, has been found to be directly responsible for between 27% and 45% of job success, depending on which field was studied. (Stein and Book 2011, pp. 16–17).

> Employees are vastly more satisfied and productive, it turns out, when four of their core needs are met: physical, through opportunities to regularly renew and recharge at work; emotional, by feeling valued and appreciated for their contributions; mental, when they have the opportunity to focus in an absorbed way on their most important tasks and define when and where they get their work done; and spiritual, by doing more of what they do best and enjoy most, and by feeling connected to a higher purpose at work. (Schwartz and Porath 2014)

- In the book *The Millionaire Mind,* by author Thomas J. Stanley, a survey was taken of 733 multimillionaires throughout the United States. When asked to rate the factors (out of 30) most responsible for their success, the top five were as follows:

1. Being honest with all people.
2. Being well disciplined.
3. Getting along with people.
4. Have a supportive spouse.
5. Working harder than most people (Stanley 2000, pp. 52–53).

All five are reflective of emotional intelligence. If emotional intelligence is a key indicator for success, then why aren't more people trying to learn how to do better? If we are not one of those few who have a natural personality that oozes emotional intelligence, then what do we need to do to learn how to gain it? Living the aware life happens when we intentionally decide to raise our self-awareness and increase our emotional intelligence.

Learning EQ Statistics

The impact of emotional intelligence (EQ) on a business and its success is paramount. It can affect the financial status, new projects, profits, and employee morale. Here are a few essential statistics that all business leaders would be wise to understand.

- Lack of personal awareness among leaders is the number one cause of declining and failing businesses.
- Employees take their cues from their leaders on how to act, and, consequently, change their behavior to mirror the boss.
- Research by Six Seconds shows that 76% of business issues are people and relationship related versus 24% technical and financial.
- Sales in companies that put a high value on people and relationships internally and externally can be as high as 37 percent more. Profit in these same companies runs 27% higher.
- The Gallup Organization's research shows that 75% of workers are disengaged in their jobs resulting from the lack of useful feedback, poor assignment of tasks, not seeing the value of their work, and working in a negative work environment (Belsten 2012).

As we have worked through this first section, I hope you have become aware of what self-awareness is, why it is important to your personal transformation, and the benefits for your personal and professional life. Now that you have this information, let us review a few reasons that people are not able to become self-aware.

Section II: Be Present: Understand What Blocks Self-Awareness

What gets in the way of being self-aware? The answer lies in the subconscious. Self-awareness is exploring old roles and life scripts we learned and lived out unknowingly. Lies and cognitive distortions, about who we think we are and what we should be, dangle in our subconscious. These cognitive distortions mixed with fear, anxiety, and anger manifest into a false self. Developing self-awareness is essential to make changes in our thoughts and behaviors.

Changing the interpretation of an event in our minds allows us to change our emotions about the event. Research has shown that examining and understanding emotions are central to initiating changes in an individual (Pascual-Leone et al. 2016). Our emotions "routinely swirl within us, and they aren't easily named." But it may be useful to stop, examine them, and try to put them into words. "When we label an emotion, it might make it more manageable," says Seth J. Gillihan, a clinical assistant professor of psychology (Webber 2016). We must examine our emotions, understand them, and try to change our responses to be more self-aware.

Relationships are significantly affected by self-awareness or rather the lack of self-awareness. All relationships can be smooth sailing *until* there is some type of emotional hurt or unmet expectation. Having a clear understanding of our thoughts and behaviors facilitates our abilities to manage our emotions so we can have healthy responses and make wise decisions at work and at home.

What blocks our self-awareness? What is it that prevents us from moving from negative, unsupportive responses to positive, affirming approaches to business and personal activities? Let us explore some of the common blocks to becoming more self-aware.

Anxiety

We tend to associate the feeling of anxiety with a negative or unwanted feeling. While that might be true, anxiety should be dealt with proper self-control and rational thinking. At some point in our life we all get anxious over something. It could either be the problems that are putting too much weight on our lives or any other situation that poses danger and causes us to feel fear.

The triggers of anxiety might be rooted in external factors. One factor is change, such as a job change, relocation, quality of living, and lifestyle. In the workplace, for instance, an employee who is offered a promotion might not feel comfortable with the thought of an additional workload with more responsibility. The feeling of anxiety builds, instead of accepting the promotion as a challenge or, on a more positive side, accepting it as self-appreciation for the hard work. Other anxiety-producing events include relationship issues (such as separation, divorce, or death), negative experiences, unexpected circumstances, financial problems, poor health, and other challenges.

Licensed clinical social worker Jonathan Berent says that it is the *avoidance* of such things – not the things themselves – that triggers anxiety, which can result in losing productivity, being seen as not a team player, or failing in other tasks expected of workers. But workplace anxiety is nothing to take lightly, with one out of eight individuals having social anxiety, which can affect their work and cause them to leave their jobs (Berent and Lemley 2010).

Here are some of most common things that can trigger anxiety attacks (in no particular order):

1. Play the “what if” game.
2. Engage in negative self-talk.
3. Think we are not worthy enough, poor self-esteem.
4. Put pressure on ourselves to be “perfect.”
5. Focus on yourself too much and not on the people in your life.
6. Eat poorly, drink a lot of caffeine.
7. Do not exercise and or meditate regularly.
8. Do not get enough rest at night.
9. Hold in our feelings.
10. Do not focus on breathing deeply.
11. Spread or listen to gossip, which undermines confidence.

Become aware of these in your life and work to overcome them. Action steps will be discussed in section three of this chapter.

Life Scripts

We create stories (life scripts) about our lives to help us make sense of our world. We review what has happened, retelling the story, and attributing positive and negative roles to the various players in our scripts. We also project, imagining the future, based on our past stories. These life scripts shape our thoughts and actions. Fortunately, the scripts can be changed, because they are learned, not inherited.

Eric Berne, author of *Transactional Analysis in Psychotherapy,* believed that

> The child is taught not only what to do, but also what to see, hear, touch, think, and feel. . .each person obediently ends up at the age of five or six with a script of life plan largely dictated by his parents. It tells him how he’s going to carry on his life, and how it’s going to end, winner, non-winner, or loser. (Berne 1961, p. 117)

Whatever your fixed beliefs are, you have practiced your scripts for so long that you believe what they say about you and your potential. This is why life scripts are dangerous. We begin to perceive them as being permanent. We even allow them to shape the way we expect things to turn out. We do not want them to change. For example, we might feel happy, but our fixed belief says that we should feel sad. This limits us by dictating what we do and say. It suggests that we do not deserve or are not qualified to do or say anything differently.

Life scripts are sometimes called childhood scripts. How did we learn these fixed beliefs about ourselves and our lives that direct so much of our thoughts and actions? As children, our parents or caregivers gave us guidance about what was “right and wrong” and what was “good and bad.” These were planted in our subconscious then. As adults, we now need to identify the beliefs and how they play out for us personally. Being aware is key to knowing when these roles are in play subconsciously, so we can make changes as needed.

Life scripts are defined within the field of Transactional Analysis and as such are often viewed within the frame of the parent-adult-child model. Scripts often come from the following actions and behaviors of others.

- **Modeling**: Visible ways adults and peers behave.
- **Attributions**: Being told "you're just like. .."
- **Suggestions**: Hints and encouragement, such as "Always do your best."
- **Injunctions**: Demands to do or not do things.

Injunctions

When a parent likes a child's behavior, the response is given as a permission. However, when the child's behavior is not acceptable, the response is often an injunction. Such responses are expressions of disappointment, frustration, anxiety, and unhappiness, and children learn to not do those behaviors. Parents give short, profound injunctions, such as "Don't." "Don't think." "Don't feel." "Don't grow up." "Don't be a child." "Don't succeed." "Don't be you" (Goulding and Goulding 1976). These messages can be nonverbal and are usually given between birth and 7 years old.

Based on these messages, children form their life scripts, adopt beliefs, and create roles in the family, which affects how they respond to life. Social worker Virginia Satir researched family dynamics and identified specific roles that family members play (Satir 1983). The roles often were unconsciously assigned according to birth order, not by the child's choice. How severe a role becomes will depend on the dysfunction level of the family. If a family is healthy, there will be an absence of dysfunctional roles.

Six Dysfunctional Roles

Children respond to their family situation in many ways. Consider these six basic roles (Wolter 1994).

1. **Good Child, Hero, Superkid** – often the first-born child, might assume the parental role, becomes a high achiever, is responsible, and needs to be in control.
2. **Problem Child, Rebel, Bad Egg, Scapegoat** – often the second-born child, blamed for most problems, causes many problems, acts out, feels misunderstood, and has poor anger control.
3. **Caretaker** – takes on the emotional well-being of the family, becomes a peacemaker, seeks compromise, and often assumes a parental role.
4. **Lost Child, Passive Kid** – often the third-born child, is quiet, needs are ignored, remains hidden, is introverted, becomes inconspicuous, is a loner, and feels empty inside.

5. **Mascot, Family Clown** – often the fourth-born child, uses comedy for distraction, tries to break the tension of a dysfunctional home life, and often leads a chaotic life.
6. **Mastermind** – is an opportunist, manipulates parents and siblings to get what they want, object of appeasement.

If there is an only child in the family, he or she might play various roles at different times. Or children might combine roles. The descriptions and role order are flexible. Adults often identify with one or more. Once aware of how these roles shaped our life scripts, we are not stuck with them. Being aware of them helps us process them and change how we relate to ourselves and the world around us.

Cognitive Distortions

Another block to becoming self-aware is our understanding of what happens in our lives. Our thoughts guide us to pursue positive and negative actions, based on what we comprehend. At times, these thoughts help us respond to situations and make good choices and decisions. Other times, our thoughts, based on misrepresentations or false information, lead us to poor choices and decisions.

As we become aware of distortions in our thinking, we are able to be authentic. Some of the most common cognitive distortions are listed here.

1. **All-or-nothing thinking –** See things in black and white. If not perfect, then total failure.
2. **Overgeneralization –** See one negative event as a never-ending pattern of defeat.
3. **Mental filter –** Choose one negative detail and dwell on it.
4. **Disqualifying the positive –** Reject positive experiences by insisting they "don't count" so you can maintain a negative belief that is contradicted by everyday experiences.
5. **Jumping to conclusions –** Make a negative interpretation even though there are no definite facts that convince support your conclusion, such as *mind reading* (concluding that someone is reacting negatively to you, and you don't bother to check it out) and *the fortune teller error* (anticipating that things will turn out badly. Your prediction is an already established fact.
6. **Magnification (catastrophizing) or minimization –** Exaggerate the importance of things or inappropriately shrink things until they appear tiny.
7. **Emotional reasoning –** Assume your negative emotions reflect the way things are. "I feel it; therefore, it must be."
8. **Should statements –** Try to motive yourself with shoulds and shouldn'ts. When you direct should statements toward others, you feel anger, frustration, and resentment.
9. **Labeling and mislabeling –** Overgeneralizing instead of describing your error, you attach a negative label to yourself, such as "I'm a loser." Or you attach a negative label to others, such as, "He's a wimp." "She's just lazy."

10. **Personalization –** Seeing yourself as the cause of some negative, external event, which you were not primarily responsible for (Burns 1999).

Impatience

One of the hardest skills to maintain in today's "do more with less" economy is demonstrating patience. We face challenges everywhere we turn, including,

- Inadequate budgeting for critical business and personal needs
- Overwhelming workloads – too much to do and not enough time
- Working with others who are not adequately trained or educated

If our patience was only challenged at work, that would be more than enough, but our lives are fraught with opportunities to lose our patience outside the office. Whether it is paying bills with a shrinking paycheck, keeping track of our children as their independence grows, or sitting longer in ever-worsening traffic, our stress levels are increasingly characterized by our impatience.

One of the common threads running through these moments is simply having to wait. Waiting for someone else to complete a task; waiting for the light to turn green; waiting in line during a short lunch break. In a business environment, where we have likely been handed additional responsibilities, our impatience grows greater during times when we feel unproductive. Our expectations of ourselves (likely driven by the expectations of others) feed the cycle of negative emotions in work cultures where putting out the latest fire seems like standard operating procedure.

As the negative emotions perpetuate themselves, they begin to manifest in physical and behavioral ways that become visible to our supervisors, peers, direct reports, customers, friends, and family. We start to lose sleep. Our immune systems become compromised because of the stress, resulting in more frequent illness (McLeod 2010). Our muscles tighten and pain increases. Not only does this contribute to higher absenteeism and medical costs but our presentism, or as Daniel Goleman calls it "continuous partial attention" (Goleman 2013), drops as a result of increased multitasking in an effort to make up for lost time and multiplied responsibilities.

Herein lies the biggest challenge to individuals everywhere. *Impatience* has been described as waiting in the future. If that is true, then *patience* is the ability to wait in the moment. Impatience takes away the ability to be present and be self-aware.

Unhealthy Attachments

Unhealthy and dysfunctional relationships in adulthood have their origin in attachments in childhood, according to psychoanalyst John Bowlby's attachment theory. In 1956, Dr. Bowlby began his extensive work on the mother-and-child relationship (Bowlby 1969). He believed that the success of all relationships later in life was dependent on the success of the early primary relationship with a parent or caregiver. Many adult relationship issues and problems reside in attachment patterns established earlier in life.

Not being aware of our unhealthy styles of attachment leads to much of the pain and problems in relationships later in life. I believe our attachment style from childhood is one of the biggest determining factors in the satisfaction we experience in our present-day relationships. When we are not aware of the subconscious attachment, our relationships continue the neglectful, abusive, or anxious style of relating we experienced as a child.

Attachment styles in adulthood are the motivational system and the particular method or style in which we relate to other people. Our attachment style, established in childhood, vacillates little in adulthood. Being self-aware and knowing our attachment style helps us to understand both our emotional limits as an adult and highlights the areas that might need some healing and repair. The styles subconsciously direct how we behave and relate to close relationships.

Below are four styles of attachments – each style has its own unique cluster of personality traits and behaviors.

1. **Dismissive-Avoidant Attachment Personality** – The dismissive-avoidant personality is seen in adults who tend to be loners; they do not have a high regard or need for relationships or emotions. They prefer the arena of logic and reality. They emotionally remove themselves from feelings and connections with others. They become self-sufficient and do not need anything from anyone.
2. **Anxious-Preoccupied Attachment Personality** – People with this style of attachment crave a lot of intimacy. They want approval, reassurance, and become overly dependent on how their partner responds to these needs. They believe they have a deeper way of connecting with others and wonder why others are reluctant to get as intimate as they would like them to be.
3. **Fearful-Avoidant Attachment Personality** – This style (sometimes called disorganized attachment) develops when a child grows up in an abusive home. As adults, they detach from themselves and others. In relationships, all is well until emotional closeness brings repressed fears from the past.
4. **Secure Attachment Personality** – The person with this personality is secure, confident, and possesses a healthy self-esteem. Adults are self-aware and have a healthy sense of self, yet desire to have close relationships with others. Being both independent and connected, they regard themselves and their relationships in a realistic, positive manner.

Triggers

We all can remember a word, tone, look, or situation that caused us to feel an intense emotion, usually a negative emotion. When this happens, we are triggered by an automatic response in such a way that is stronger or different from our usual manner. "A behavioral trigger is any stimulus that impacts our behavior" (Goldsmith 2015).

Our behavior might be so out of character that we don't even recognize ourselves. Flooded with rage, shame, sadness, or fear we act out to protect ourselves.

We feel out of control and behave in a destructive manner to protect and comfort ourselves. We feel criticized, unloved, alienated, lonely, numb, powerless, or unappreciated. We suddenly are saying and doing things that we know are not helpful or healthy.

Here is a list of some of the more common triggers and responses.

- I felt judged, so I judged you.
- I felt flooded and didn't know what to do.
- I felt ashamed and made it your fault.
- I felt powerless, so I yelled or just became invisible.
- I felt lonely, so I found a way to get some attention.
- I felt belittled, so I got angry.

This reenactment of an earlier wound permits one of our false selves to take control. We react to the real or perceived danger by seeking comfort in a familiar role and move out of the true and authentic self. This action disables our ability to make wise, long-term, productive decisions, and we make poor decisions – often leaving damaging repercussions (Pittman and Karle 2009). The fallout can leave an array of damage, including broken relationships, job losses, and inner shame.

With so many blocks to personal transformation, it might seem like it is too hard to overcome the way that we were shaped and molded in our childhood. It seems too difficult to challenge the status quo of life and how we got where we are today. But that's not true. With the knowledge and awareness of what you can be, with purposeful intention and a mindset based toward transformation, you can set your goals and choose the actions in your life that will have a positive effect.

In the first two sections of this chapter, you learned about self-awareness, explored its benefits, and began to understand the blocks that prevent you from becoming more self-aware. If you want to proceed with the process of becoming more self-aware, this third section will provide suggestions to help you with this intentional transformation.

Section III: Be Intentional: Direct Actions to Make Intentional Transformation

Choose to Journey

Becoming self-aware starts with taking responsibility for your own life. There are three vital questions to ask yourself about life, and only you know the answers.

1. **Did I show up?** Am I awake and present, passionate, and making a difference?
2. **Am I living well?** Am I doing what I love, living life in excellence, being an inspiration?

3. **Am I loving well?** Am I serving and caring for those in my life, community, and world?

Most of us fall somewhat lower on the scale than we would desire. We should be continuously striving for more. So, what are we to do? I have condensed the journey into a three-step process that results in living the aware life.

First is to be *aware*. We are human and our lives can be messy, uptight, indolent, and imperfect. We can choose to change, because we want more for our lives. Through self-awareness we can find our purpose and be fulfilled.

Second is to be *present*. We identify why we do things. We do not live automatically, but we are awake, aware, and present. Sometimes we need to seek a professional to help us understand our unhealthy, destructive patterns and choices.

Third is to be *intentional*. We gently and lovingly grow and live a fuller, kinder, and purposeful life. We choose to intentionally change unhealthy habits. This allows us to embrace life and make healthy choices in alignment with our values and beliefs (Kay 2016).

As with all habits, good and bad, they take a sustained, concentrated effort to ingrain them into our daily routine, being committed to continue being aware of the effects we want in our lives. There are many reasons that we want to understand and be aware, so our lives can be more fulfilled. Let us explore some of the reasons.

Neuroscience

There are myriad reasons to study and understand our brains (neuroscience). Individuals will better understand how to understand their own thinking, how to make good decisions and solve problems. People learn how to regulate emotions and collaborate with others, as they are better able to understand the reactions of themselves and coworkers, friends, and family. Everyone learns how to communicate better, manage resources, and facilitate change (Radecki 2015).

It is helpful to understand that each area in the brain has a specific function, such as vision, hearing, touch, movement, emotion. The brain has changing demands, and it adjusts to changes in demand by restructuring the connections. By practicing something, we strengthen the connection, and it becomes more efficient. As our practices strengthen, "behaviors slowly become more rational, beneficial, and compassionate as we understand ourselves and our tendencies. We gain a greater sense of what we can and cannot control" (Stanclift 2013).

Neuroplasticity

What is great about change is that our brain adapts and makes new neural pathways, as we repeat the same healthier behavior. In the outer layer of the brains, there are more than 100,000 miles of nerve fibers. This complete nervous system reaches to our skin. Millions of nerve endings of the skin sense tiny variations of light, sounds, vibrations, touch, smell, temperature, and then transport this information to the brain.

The brain then processes this information in a millisecond and determines what to do next. The brain is the most responsive computer. The marvel of the brain is not just its capacity for holding knowledge but how its sensitivity to stimuli teaches the body how to survive. Learning occurs when the body predicts something will happen based on memory in the nerve and, therefore, controls the outcome.

The irony of the brain is that the more we learn, the less we need the brain. The brain can be put into a sleep state – figuratively speaking. As soon as the brain can consciously and subconsciously predict what is going to occur, it does not have a need to learn more. The desire to grow, to learn, and to explore is a blessing. It is this continuous state of uneasiness that keeps the brain operating as it is meant to function.

Often resolutions, such as losing weight, getting out of debt, or exercising more, fail when there is a similar pattern in how they come to their dismissal. When we start, we experience success, but when it gets harder and harder, we start to cheat or give ourselves permission to not follow the plan. Then within a few weeks after the cheating, we go back to our old ways entirely. What happens is not our lack of resolve; rather it is an issue that arises from our faulty thinking. We believe if we succeed in losing weight, becoming debt free, or getting on a regular exercise program, our whole life will change for the better. When our life does not improve as quickly as we expected, we get disheartened and relapse to old habits.

To change behaviors for good, we must do brain work. We must "rewire" our brains. In the intriguing Charlie Rose YouTube Brain Series, scientists such as Antonio Damasio, Kerry Ressler, and Joseph LeDoux discuss the use of magnetic resonance imaging (MRI) to identify thinking patterns that cause habitual behavior (Rose 2016). These patterns are called neural pathways or neural memories.

People will always default to their "known" or "familiar" behavior and thinking. Thus, trying to change our default behavior by going to our default thinking just strengthens the pathway. True change can only happen when we create new neural pathways from new ideas.

So, let's be gentle with ourselves; we did not get our go-to behavior overnight, and the change we want to make in our life will take time also. New neural pathways need to be strengthened with time and with practice. Change requires new thinking.

So, here are a few tips to help start the journey toward an intentionally aware life:

1. Choose one area you would like to change.
2. Set specific goals – make them realistic.
3. Do not forget to give yourself a pat on the back and congratulate yourself for success with any and every milestone achieved.
4. Change your thinking about the behavior you want to change. Practice it in your mind, see yourself doing the behavior that is more efficient or looking the way you wish to look.
5. Do not get ahead of yourself: focus on today and stay present (Kay 2016).

Neurogenesis

Every day the brain generates 10,000 stem cells that split to create new neural circuitry. One becomes a daughter line that continues making stem cells, and the other migrates to wherever it is needed in the brain and becomes that kind of cell. Very often that destination is where the cell is needed for new learning. During the next 4 months, that new cell forms about 10,000 connections with others to create new neural circuitry. Neurogenesis adds power to our understanding of neuroplasticity, that the brain continually reshapes itself, per the experiences we have (Goleman 2011b).

Mindfulness

Mindfulness is always being aware of what is most important to you in life – your core values. These are the significant, personal values you fully embrace and hold as your intrinsic truth. Knowing your values and their hierarchy helps you know how to be true to yourself in decision-making. At times, there are urgent matters that take us away from the important dimensions that align with our core values. We start living in a manner that is unsatisfying and dull. The benefit of aligning your life with your core values is the release of creativity, energy, and satisfaction. When you are living according to your core values, your potential for living an aware life is maximized.

How can you be sure that you are living your life to fullest and in alignment with your core values? Let us explore what happens in your brain to give you a better appreciation of this amazing organ and its role in the self-aware life. With modern, medical technology (fMRI, EEG, PET scans), doctors are able to see inside the brain.

The brain is built to adjust to changes in a unique way, as it restructures the connections inside. How we behave and think depend on the number and the strength of the connections and the chemicals that are present. Those connections control what we do, what we like and do not like, and how we think. The cells in our brains are meant to communicate messages to other cells and to us. These connections continue to change throughout our lives. If we want to strengthen the connection, we can do it by repeating something. If you practice or rehearse, you will get better at what you do.

Mindfulness works as a mental exercise in a special part of our brains, so when we focus on a task, we get results. This is called "direct experience" (Stanclift 2013). As we experience mindfulness, we are fully engaged and we appreciate life and feel enriched. When we practice mindfulness, we are able to feel connected to the moment, letting go of the past and not worrying about the future.

One way to check if you are living according to your values is to check your energy. When you are not sure about a decision, or you want to make sure you are living a life that is aligned authentically with who you are, I suggest you take a moment and check how you feel.

Ask yourself these questions. Is my energy positive and productive? Do I feel like I am in my zone? Or Do I feel sad, fatigued, or sluggish? Am I feeling unmotivated? These questions are good indicators to establish if you are congruent with the core areas of self-awareness.

What are your core values? Are you living aligned to them? If not, then what do you want to change? Below is a list of values. Select the ten that are most important to you as guides for how to behave or as components of a valued life (Kay 2016).

Achievement

Advancement and promotion

Adventure

Affection

Arts

Being around honest people

Change

Community

Competence

Competition

Cooperation

Country

Creativity

Democracy

Economic security

Ethical practice

Excellence

Fame

Family

Friendships

Growth

Helping others

Honesty

Independence

Influencing Others

Inner harmony

Integrity

Intellectual status

Leadership

Love

Loyalty

Meaningful work

Money

Nature

Physical challenge

Pleasure

Power and authority

Order (tranquility, stability)

Stability

Status

Wisdom

Working alone

Privacy

Public service

Purity

Recognition

Religion

Reputation

Responsibility

Righteousness

Self-respect

Spirituality/Faith

Which of your top ten values are the top five values you desire in your personal life?

1. ________________________

2. ________________________

3. ________________________

4. ________________________

5. ________________________

Which of your top ten values are the top five values you desire in your work life? (You can duplicate any value you think falls into both these categories.)

1. ________________________

2. ________________________

3. ________________________

4. ________________________

5. ________________________

Keep these core values in mind. Reflect on them daily and let your mindful decisions be based on the values that guide your life. Other tips to keep core values to the forefront of one's mind include: writing them on index cards and posting them on your mirror, carry the index cards with you in your purse or briefcase, or listing them in your journal and using them as a written guide to explore decisions and actions. You may have other tactics of bringing core values into daily practice. Whatever they are, the most important thing is that you are intentionally honoring your values in the decisions you make.

Choose to be Present

Being mindful means being present, fully awake, and paying attention to your feelings, triggers, and what is happening around you.

This world is busy, and there has never been a more distracting time in human history. The introduction of new technology has opened the world to be immediately available. Impulse control is getting shorter and shorter. There is always more to do, more to see, and more to hear. To adapt to all that clamors for our attention, we often move into autopilot and stay in the familiar, wandering through life without actually engaging in it.

Life is lived in the present. It is in the "now" where you have the human connection and can fully engage with yourself and the world around you. If you ignore being aware in the present, you become mentally dull, on autopilot, forgetting to celebrate what is happening right here and now.

To be present is to experience yourself fully awake and in newness. Enjoying the simple acts of being focused on today and not distracted by the worry of the future or staying in the regrets of the past. It allows you to feel fewer negative emotions and more positive emotions.

How can you be more present?

Through awareness. You can live a more present and authentic life by staying anchored in the current moment through box breathing and taking the time to check into your body to see what you are feeling are helpful to practice so that you can be aware.

Through acceptance. Don't judge or resist the present, instead embrace it. Accept each moment as it is. Without judgment allow yourself to be open to whatever the moment brings.

Through involvement. Free yourself from the regrets of the past and your expectations of the future. Inhabit the present fully by appreciating what is happening right now. Be part of the environment with your senses - take a deep breath and notice what you smell, see, feel, and allow yourself to linger there for a while.

Through authenticity. This step is where you have to stop judging yourself and stop worrying about what others will think. Be yourself and see this as your time to live in alignment to your values and your passions.

One more thing. Think of today as complete, not a means to a better tomorrow. Embrace what is happening in your life. You have been blessed with this moment, this day, this instant. So, I encourage you to choose to be present (Murcko 2016).

Emotional Intelligence

Decision-making can be regarded as the mental processes (cognitive process) resulting in the selection of a course of action among several alternative scenarios. Every decision-making process produces a final choice. The output can be an action or an opinion of choice. One must keep in mind that most decisions are made unconsciously. Jim Nightingale, author of *Think Smart—Act Smart*, states that "we simply decide without thinking much about the decision process" (Nightingale 2008, p. 1).

How can we use our emotional intelligence to make the best decision? Some people weigh the pros and cons of each option that might be available. However, most decisions in our daily lives are decided on an unconscious, mostly automatic basis, based on what we have done in the past and our positive or negative experiences.

Self-awareness is the foundation of making good decisions and motivating our best selves. It underlies all aspects of emotional intelligence. Without it, the following would not be possible:

- Anger management
- Growth
- Setting goals
- Using your emotions to create the results you want
- Emotional development
- Doing things differently to get different results
- Managing emotions
- Having empathy toward others
- Building relationships

Self-awareness helps us to comprehend the following:

- Know your emotions.
- Understand your thought patterns and which patterns you frequently use.
- Understand your strengths and weaknesses.
- Know what motivates you and what you want out of life.
- Be aware of how you impact other people.

Take some time to be more conscious about what matters most to you. Are you in tune with your core values? Are you reacting to life's challenges from a mindfulness attitude? Too often, we go through life on autopilot, always doing things the way we have done them, out of habit.

Ask yourself what you would like to change in your life. Ask other people for their input, as you might not see what they see, or they might have an option for you to consider for being more aware and living a fuller life.

Change

It might help you in this process to be aware that there are various stages of change: precontemplation, contemplation, preparation, action, maintenance, and relapse

(SAMHSA 2004). These changes are cyclical and you might move back and forth between the stages while you are changing.

During the *precontemplation* stage, you do not intend to change behaviors, because you do not see a need to do so. After you are aware of that you want to change, you still might be a bit ambivalent during the *contemplation* stage, but you are beginning to see reasons to change. Once you see the positive aspects for your life change, you enter the *preparation* stage and commit to the *action* stage, choosing the best way to modify your habits and your environment. Once you have made the change, you move into the *maintenance* stage to sustain the positive effects to your life. In the *relapse* stage, you might not be able to sustain the change and will need to make a renewed commitment.

There is a three-step process to change:

1. Develop self-awareness. Become objective. Be open to other points of view.
2. Be inspired to be the BEST you can be.
3. Reconstruct faulty thinking and behavior.

To be successful in changing your life, begin to practice the following steps.

1. **Become self-aware.** Increase your awareness of your lifestyle, the way you live routinely and often automatically. These are habits you do daily. You want to live a certain way, so you customize your life to live that way. By choosing work, activities, and relationships that honor your values, you find you are living the aware life. Be aware of the choices and habits that decrease fulfillment and relationship effectiveness.
2. **Take responsibility.** Look deeply into your life and your choices and see how you have contributed to the issue. Own what you discover. If you struggle with this step, you might want to work with a therapist, counselor, or coach.
3. **Take your time.** Be committed to the change. Most people underestimate the time needed to make sustainable change. Be realistic about how long the process will take. Set realistic time-aware goals.
4. **Understand the price of success.** There is always a price for success. These changes might alter relationships, careers, friendships, and lifestyles. Understanding that the cost of staying in the unsatisfying and unaware life is greater than the cost of change will enhance meeting your goal.

Ultimately, the key to change is increasing awareness, because no topic exists in isolation (Kimsey-House et al. 2011).

Decision-Making

First, get committed. Mobilize the motivating power in your brain. You have got to engage, get enthused about achieving the goal of change. It helps to draw on your dreams, your vision for yourself, and where you want to be in the future.

Second, be practical. Take one manageable step at a time. Do not make careless choices or surrender to the status quo. Sometimes we get worn down, we are depleted, and we are unable to choose wisely. Dealing all day with difficult, high-maintenance people is depleting. Maintaining a compliant façade around people you do not respect is depleting. Excessive multitasking is depleting. Suppressing your opinions or engaging in any effort to control your emotions around others is depleting. Unlike being physically tired, however, we are usually unaware of depletion.

Depletion, like stress, is in invisible enemy. Under depletion, we are more prone to inappropriate social interactions, such as talking too much, sharing intimate personal information, and being arrogant. We are less likely to follow social norms. We are less helpful. We can also be more aggressive, or we can also be more passive. Depletion is one of those hazards that we must work to control.

Third, turn your decision into a plan. Be action-oriented, and follow through on what you are going to do. According to Deepak Chopra (2013), there are seven action steps in decision-making.

1. A challenge presents itself.
2. The situation is assessed.
3. Consultation is called in.
4. A decision is made.
5. Action is taken – there is something to do.
6. A result is achieved.
7. Responsibility for the result is accepted.

Be aware that these often overlap and steps may be out of order – they do not appear in real life in a numbered sequence. You must be alert and aware and conscious. Be present in your life and mindful of what is best for you at any given moment. Chopra (2013) suggests that you ask yourself these questions.

- Am I being realistic?
- What are the hidden factors that need to be exposed?
- What am I reluctant to see?
- What do I feel anxious about?
- Where is resistance coming from?
- Am I centered?
- How well have I calculated risk and reward?
- What will my decision look like a year from now?

Other questions you may want to ask yourself are the following:

- What vision is calling you that won't let go?"
- What gives you energy about this decision or its outcomes?"

You will learn to process and make minor and major decisions by being aware, being present, and being intentional.

Blind Spots

As a coach, I try to alert people to their "blind spots," which can cause them to be seen in a negative way by others. These people often don't see that there is an attitude or behavior that is perhaps hurting them at work and/or preventing meaningful relationships with others. People can have a wide range of blind spots, and familiar issues often repeat themselves.

Do you know any of the following types of people?

- Intelligent, but seen as condescending and elitist
- Decisive, but seen as abrupt and insensitive
- Energetic, but seen as relentless and unrealistic
- Composed, but seen as robotic and indifferent
- Methodical, but seen as inflexible and overly cautious
- Assertive, but seen as self-serving and inappropriate
- Passionate, but seen as intense and overzealous (Canaday 2012)

Do you identify with any of these types? It is difficult to identify your own blind spots. However, if you look with an honest and open perspective, while inviting others to give you feedback, you can begin to make changes. When you ask for feedback, you might become aware of strengths you were not aware of. Use what others say to build on those assets, in addition to revising the blind spots. If you look at the feedback as a valuable asset, instead of a criticism, you can analyze and apply it more productively.

Respond or React

Every situation allows us the opportunity to choose to respond or react. Thinking about this choice, I am reminded of the quote attributed to Plato. "Be kind, for everyone you meet is fighting a hard battle." We all have battles, large and small, in our lives. Our values and our attitudes will determine how we respond to situations. Reacting to a circumstance usually does not end well, as reactions involve angry outbursts, sarcastic remarks, mean attacks, the silent treatment, and guilt trips. Reacting can damage relationships.

Responses are genuine, direct, and honest, but they do not harm a relationship. If we respond to a situation, we feel good about the outcome, but when we react, we often feel shame and disempowered. Responses help us choose the best decision about how we want to handle a situation. Will we decide to cultivate a positive attitude and be grateful or will be stuck in responsive attacks and defensiveness?

Will you respond or react? Self-awareness is necessary to put the pause in your life to change your behavior. People who choose to react, usually do so from a sense of entitlement, an angry heart, or a familiar pattern. In Fig. 2 (left side), we see the react mode – a *trigger* stimulates an emotion, the *impulse* happens instantly, and there is a *reaction*. This discharge of negative feelings leaves emotional shrapnel in

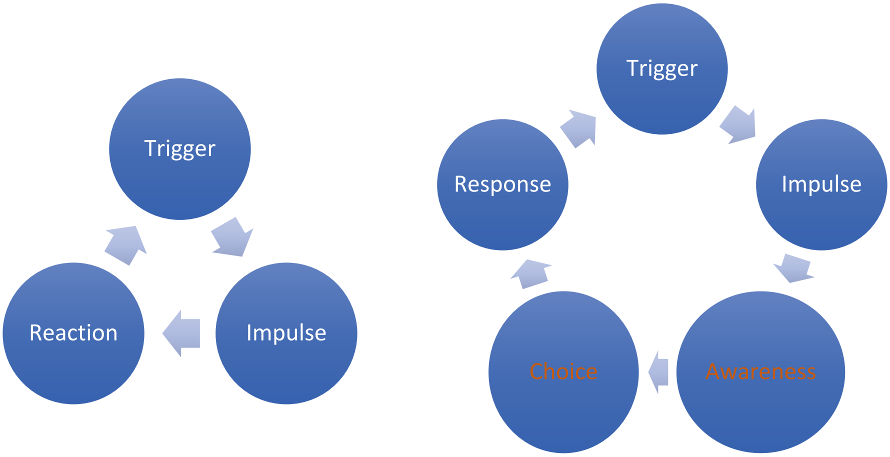


Fig. 2 Respond or React

the other person's soul. Decreasing trust and increasing defensiveness in the relationship.

With increased self-awareness, you can avoid the damage of a knee-jerk reaction that results in intrapersonal and interpersonal damage by adding a "pause" in your process. This "pause" can be just only taking the time to breathe. Box breathing is a simple and yet effective way to allow you to respond instead of reacting. It is used by healthcare workers, yoga instructors, and the military. Box breathing is four slow breaths in, and four slow breathes out. Imagine you are drawing a line to the box with every breath. When you take the time to breathe or "pause" you are adding two steps (*awareness* and *choice*) to your internal decision process (see Fig. 2, right side). By doing this, you can manage your response positively. There is still a trigger and impulse that occurs, but if you stop and pause even for a few seconds, you can have a clearer perspective of what you are feeling and what is going on with the other person (*awareness*). Then you can make a better decision on how to manage the situation and the relationship (*choice*). Decide the best choice; you can create a favorable response.

Also, it is difficult to have destructive reactions if you have a genuine attitude of gratitude towards life. Reacting destroys. Responding builds intimacy and self-efficacy (Kay 2016).

Increase Human Moments

In Section 1, you will recall that we discussed the human moment, which is an encounter when people share the same physical space with an emotional interaction. These moments can happen quickly, spontaneously, and serendipitously. They can also be purposefully planned and organized for focused encounters. Make a conscious effort to maximize more human moments in your life at work, at home, and in your everyday life encounters with everyone you meet.

One way to do this is to disconnect from the electronic world. Turn off your computer, cell phone, and notebook. Do not watch TV, listen to the radio, or read a book. You will help yourself by reducing your stress level, your effectiveness at work and at home, and you will be more focused. However, most people depend on being connected because of their job, owning a business, family concerns, and staying in contact with others.

Here are several ideas to provide yourself some tech-free time but still keep in touch with the important things in your life (Moran 2012).

Recruit a gatekeeper. Have someone (an assistant, a friend, a family member) take your phone calls or answer your emails and text messages when you are busy with a project or you schedule time off for yourself. If you prefer, you can change your voicemail message and your email away message to inform people that you are unavailable. Let them know when you will contact them.

Schedule your prime time. When are you the most creative and most productive? Do you get more done in the morning or later in the day? Block that time for yourself, if you can, and do not engage with other people electronically or in person. Having that set time to focus on what you need and want to do will improve the quality of what you do and you will feel better about yourself.

Use a distraction-blocking app. Our electronic devices (phones, notebooks, computers) are amazing, but they can also monopolize our time. There are apps available that will block sites for the time that you choose, so you are not tempted to check every pop-up that occurs. Most phones allow for a "do not disturb" function for call or text messages, while you can set certain people (gatekeeper, partner, or child) to always be able to contact you. You can also choose to turn off the sound or the ringer of your device, if you need to work with it.

Change your culture. We are energized to be "always available" to respond immediately to a call or message. We interrupt whatever we are doing to take care of whatever has been communicated to us. There are times when this is essential, in the case of emergencies or time-sensitive information. However, you can begin to take back control of your life, by choosing when and how to respond. Let others know that you will respond within a set time, perhaps 24 hours. Or let people know that you are not available in the morning to communicate.

Learn to set boundaries for your work life and your personal life. Too many people make themselves available for work-related communications day and night. Learn to keep these parts of your life separated, as much as possible. Be aware of your mindset.

Fixed Mindset or Growth Mindset

There are two types of mindsets. One type is the fixed mindset in which we believe that our qualities are carved in stone. This creates an urgency to prove ourselves repeatedly. A second type is the growth mindset in which we believe that our basic qualities can be cultivated through our efforts. Although people differ in their talents, aptitudes, interests, or temperaments, everyone can change and grow through application and experience (Dweck 2006).

One of the growth mindsets is the science of happiness or positive psychology. According to Chris Peterson, one of the pioneers of positive psychology, it is "the study of those things that make life worth living" (Keener 2013). This mindset acknowledges the positive parts of life, such as "character strengths, positive emotion, resilience, purpose, positive relationships, and creative achievement. It strives to create healthy institutions, joyful and engaged individuals, and flourishing communities" (Keener 2013).

Another growth mindset includes appreciative inquiry, based on positive psychology. This is a questioning approach that asks, "What is right?" instead of "What is wrong?" In most cases, the approach is to identify a problem and find a solution. In appreciative inquiry, we look at the positive aspects that provide changes based on success (Bruce 2013).

Other Action Steps

How can we best work to enhance our self-awareness? Listen to your inner voice, as it is the surest path to self-awareness. I offer the following steps to help you increase yours.

Take a personality test – Myers-Briggs Type Indicator (MBTI) is a good starting point. There are others, and they share common building blocks (for example, The Color Code, Enneagram, etc.).

Participate in a 360-degree assessment – This should include your supervisor, peers, and subordinates. Even include family and friends if possible. To begin to increase your self-awareness, seek feedback on your performance from others by asking good questions and listening without justifying or defending your actions.

Ask for informal feedback – Occasionally ask team members and family for their thoughts or opinions or what they might suggest that could help you.

Reflect on a regular basis – Solitude is needed for this kind of introspection.

Write in a journal – Processing the day's thoughts and experiences is both cathartic and enlightening.

Be mindful – This includes being patient, which is different from being passive or procrastinating because growing patience requires an active mind that is engaged and dynamic. Tamp down impatience by distinguishing between what we can control and what we cannot control.

Pay attention to the signals you send out – When you are feeling impatient, check your body language. How are you sitting in your chair? Are your arms or legs crossed, indicating you are not open to other opinions? How is your eye contact with those with whom youare interacting?

Meditate regularly – First, set your intention by asking these questions: Why am I doing this? Do I want to become more still? More clear? More focused? Do I want to get along better with my team? Be happier? Decide why you want to be more self-aware, and set your intention to work toward this benefit.

Make mindfulness part of everyday activities – Mindful walking is a good practice. We can use this time of walking to cultivate mindfulness and improve our health and our mood. In mindful walking, be aware of the sensations in your body.

Accept change – One of the most difficult things to deal with in life is change. Being mindful and aware can help you be present in every moment. As you notice sensations, thoughts, emotions, and insights, you will realize that they are continually rising and falling; change happens all the time.

Overcome anxiety – Negative thoughts increase anxiety, so start the day with positive affirmations. Use positive, motivating words and phrases several times through the day. Do something, as that will help keep your mind on what you are doing and keep it off your anxiety.

Catching thoughts before they become emotional reactions – Change your point of view – be the victim or the judge or the critic and see the event from a different perspective. Identify a new choice based on respect and your core values.

Conclusion

The three sections of this chapter have given you the knowledge and information about becoming self-aware; given you details about potential blocks that might stand in your way to this personal transformation, and, most important, given you steps to begin your personal journey. This chapter looked at the concept that self-knowledge and relationship management are vital to success in your business and personal life. It offered an exploration of what defines self-awareness, explaining the benefits of being more self-aware and how this affects business and personal aspects of life. Challenges to self-awareness were identified to enable the individual to be aware of the possible presence in their own life and to avoid these challenges. Action steps were given to enable individuals to begin to choose to make the journey toward increasing their self-awareness.

Cross-References

- ▶ Bringing Mindfulness and Joy to Work: Action Research on Organizational Change
- ▶ Identity and Meaning in Transformation
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ The Neurobiology of Personal Transformation
- ▶ The Truth About Transformation: One Person Can Change the World

References

Belsten L (2012) What is the impact of social and emotional intelligence on a business's financial status? http://the-iseiblog.com/what-is-the-impact-of-social-emotional-intelligence-on-a-businesss-financial-status/. Accessed 10 Nov 2016

Berent J, Lemley A (2010) Work makes me nervous: overcome anxiety and build the confidence to succeed. Wiley, New York
Berne E (1961) Transactional analysis in psychotherapy: a systematic individual and social psychiatry. Grove Press, New York
Bowlby J (1969) Attachment. Basic Books, New York
Bradberry T, Greave J (2009) Emotional intelligence 2.0. TalentSmart, San Diego
Bruce J (2013) Appreciative inquiry: A solution to be embraced or a problem to be solved? http://www.cpiworld.com/knowledge-center/blog/appreciative-inquiry-a-solution-to-be-embraced-or-a-problem-to-be-solved. Accessed 11 Nov 2016
Burns D (1999) Feeling good: the new mood therapy. William Morrow, New York
Canaday S (2012) How to detect your blind spots that make your colleagues disrespect you. http://onlinecareertips.com/2012/10/how-to-detect-your-blind-spots-that-make-your-colleagues-disrespect-you/. Accessed 18 Nov 2016
Chopra D (2013) The conscious lifestyle: a leader must know what to do. https://www.linkedin.com/pulse/20130222172646-75054000-the-conscious-lifestyle-a-leader-must-know-what-to-do. Accessed 18 Nov 2016
Dornbrook J (2015) Three questions with former GE CEO Jack Welch. http://www.bizjournals.com/kansascity/news/2015/04/30/jack-welch-leadership-analytics-advice.html. Accessed 10 Nov 2016
Dweck C (2006) Mindset: the new psychology of success. Random House, New York
Escoda NP, Alegre A (2016) Does emotional intelligence moderate the relationship between satisfaction in specific domains and life satisfaction? Int J Psychol Psychol Ther 16:131–140
Goldsmith, M (2015) Can you control your environment and trigger your most desired behavior? http://www.marshallgoldsmith.com/articles/can-you-control-your-environment-trigger-your-most-desired-behavior/. Accessed 11 Nov 2016
Goleman D (1998) Working with emotional intelligence. Bloomsbury, New York
Goleman D (2005) Emotional intelligence: why it can matter more than IQ. Bantam, New York
Goleman D (2011a) Leadership: the power of emotional intelligence. More Than Sound, Northampton
Goleman D (2011b) The brain and emotional intelligence: new insights. More Than Sound, Northampton
Goleman D (2013) Mindfulness: An antidote for workplace ADD. http://www.danielgoleman.info/category/workplace/. Accessed 11 Nov 2016
Goulding R, Goulding M (1976) Injunctions, decision and redecisions. Transactional Analysis Journal 6:40–46
Hayward S, Newman M (2014) Connected leadership. Training Journal https://www.trainingjournal.com/articles/feature/connected-leadership. Accessed 10 Nov 2016
Kay NS (2018) The self-aware life: four pillars to long-lasting fulfillment and success as you go through life's transitions. SelfAware 101, Fayetteville, Arkansas
Keener M (2013) What is the science of happiness?. http://www.huffingtonpost.com/meghan-keener/positive-psychology_b_2410890.html. Accessed 18 Nov 2016
Kimsey-House H, Kimsey-House K, Sandahl P, Whitworth L (2011) Co-active coaching: changing business, transforming lives. Nicolas Brealey Publishing, Boston
Maslow AH (1943) A theory of human motivation. Psychol Rev 50:370–396
May DR, Gilson RL, Harter LM (2004) The psychological conditions of meaningfulness, safety and availability and the engagement of the human spirit at work. J Occup Organ Psychol 77:11–37
McGraw P (2005) Defining your internal factors. http://www.drphil.com/advice/defining-your-internal-factors/. Defining your external factors. http://www.drphil.com/advice/defining-your-external-factors/. Accessed 10 Nov 2016
McLeod SA (2010) Stress, illness and the immune system. www.simplypsychology.org/stress-immune.html. Accessed 16 Nov 2016
McLeod SA (2014) Rapport and neuro-coaching http://www.trainingjournal.com/articles/magazine/september-2014. Accessed 16 Nov 2016

Moran G (2012) 4 ways to disconnect and get more done without unplugging completely. https://www.entrepreneur.com/author/gwen-moran. Accessed 18 Nov 2016
Murcko T (2016) Be present. http://www.howtolive.com. Accessed 18 Nov 2016
Musselwhite C (2007) Self awareness and the effective leader. http://www.inc.com/resources/leadership/articles/20071001/musselwhite.html. Accessed 17 Nov 2016
Nightingale J (2008) Think smart—act smart: avoiding the business mistakes that even intelligent people make. Wiley, New York
Pascual-Leone A, Paivio S, Harrington S (2016) Emotion in psychotherapy: an experiential-humanistic perspective. American Psychological Association, Washington, DC
Pittman CM, Karle EM (2009) Extinguishing anxiety: whole brain strategies to relieve fear and stress. Foliadeux Press, South Bend
Radecki D (2015) https://www.voiceamerica.com/episode/85810/the-neuroscience-behind-bias-with-dan-radecki. Accessed 17 Nov 2016
Rose C (2016) The Anxious Brain: https://www.youtube.com/watch?v=gfJcMV4XJXo. Accessed 16 Apr 2016
SAMHSA (2004) Clinical guidelines for the use of buprenorphine in the treatment of opioid addiction. Substance Abuse and Mental Health Services Administration, Rockville
Satir V (1983) Conjoint family therapy: science and behavior books. Science and Behavior Books, Palo Alto
Schaufeli WB, Salanova M, González-Romá V, Bakker AB (2002) The measurement of engagement and burnout: a two sample confirmatory factor analytic approach. J Happiness Stud 3:71–92
Schwartz T, Porath C (2014) Why you hate work. http://www.nytimes.com/2014/06/01/opinion/sunday/why-you-hate-work.html?_r=0. Accessed 10 Nov 2016
Stanclift M (2013) How does a mindful practice do anything? http://www.huffingtonpost.com/michael-stanclift-nd/mindfulness-practice_b_2615371.html. Accessed 11 Nov 2016
Stanley TJ (2000) The millionaire mind. Andrews McMeel, Kansas City
Stein SJ, Book HE (2011) The EQ edge: emotional intelligence and your success. Jossey-Bass, Mississauga
Webber R (2016) Odd emotions. https://www.psychologytoday.com/articles/201601/odd-emotions?collection=1084004. Accessed 11 Nov 2016
Williams S (2003) Self-awareness and personal development. http://www.wright.edu/~scott.williams/LeaderLetter/selfawareness.htm. Accessed 10 Nov 2016
Wolter D (1994) Forgiving our parents: for adult children from dysfunctional families. Hazelden Publishers

Identity and Meaning in Transformation

Cynthia Cavalli

Contents

C. Cavalli (✉)
Cynthia Cavalli Consulting, Santa Ana, CA, USA
e-mail: cynthiacavalliconsulting@outlook.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_42

Abstract

The psychological framework of Swiss psychiatrist C.G. Jung offers a dynamic system approach to understanding the complex concepts of ego identity and personal transformation. It also offers a compelling conception of meaning associated with the phenomenon of synchronicity with ramifications for individuals and organizations. Organizational dynamics are notoriously messy and complex and require approaches that recognize the interconnectedness and interrelationships of the nested systems inherent to human situations. Synchronicity and objective meaning are phenomena that are best understood within a much larger psychological framework. Leveraging Jung's perspective as a foundational framework for organizational transformation yields insight and value because it incorporates within its paradigm a fuller spectrum of reality in which human systems occur. Specifically, a Jungian understanding of organizational structures includes what is visible and invisible, conscious and unconscious, and individual and collective.

Keywords

Identity · Meaning · Synchronicity · Meaningful coincidence · Transformation · Individuation · Jung · Collective unconscious · Archetypes

Introduction

Although the connection between identity and meaning has been well studied, C. G. Jung's concept of synchronicity reveals a new level of understanding concerning their relationship with each other. The concept of synchronicity was first introduced to the world by Jung in his 1929 foreword to Richard Wilhelm's *Secret of the Golden Flower* (von Franz 1992). Also known as meaningful coincidence, synchronicity is the sudden occurrence wherein an inner event, such as a thought, premonition, fantasy, or dream, is matched by an event in outer reality, with no possibility that either event could *cause* the other. In other words, they are connected not by cause and effect, but by objective meaning.

This phenomenon challenges certain core beliefs. The occurrence of two parallel events – one within the psyche and one in outer reality – that coincide with no way for either to *cause* the other, yet which are nevertheless connected *meaningfully*, forces us to reconsider our understanding of reality. To imagine that *meaning* is what connects such events not only flies in the face of rational thought, it directly undermines conventional understanding of how reality is organized.

Jung makes the claim that *meaning* can be a connecting factor between two events unrelated by cause and effect, that *meaning* can manifest as an objective agency of change, and that *meaning* is a *phenomenon of nature* as well as of human agency.

Organizational dynamics are notoriously messy and complex and require approaches that recognize the interconnectedness and interrelationships of the nested systems inherent to human situations. Synchronicity and objective meaning are phenomena that are best understood within a much larger psychological framework. Leveraging Jung's perspective as a foundational framework for organizational transformation yields insight and value because it incorporates within its paradigm a fuller spectrum of reality in which human systems occur. Specifically, a Jungian understanding of organizational structures includes what is visible and invisible, conscious and unconscious, and individual and collective.

The concepts of synchronicity and objective meaning also not only raise critical questions about the nature and organizational structure of reality but also situate a region where objective reality and subjective reality meet in our experience of the world. Jung believed these phenomena helped penetrate the very intersection of psyche and matter, a theoretical space which science has been unable to adequately understand or explain. These two concepts also raise questions about personal human purpose and destiny, how they shape and order our experience of reality on an individual and collective level.

The main focus of this chapter is identity and meaning in transformation. Jungian psychology provides an excellent framework to help us grasp the deeper implications of how objective meaning affects reality and the development of individual identity.

The chapter begins with an extensive introduction to Jung's psychological framework with emphasis on its system's perspective and goals toward wholeness. This movement toward wholeness is known as *individuation* and involves developing an individual identity that lends a degree of unique separateness from one's parents, family, tribe, etc. Individuation is the central process of transformation in the Jungian framework. Because a fuller understanding of the term requires development of several related concepts, it will be defined in basic terms initially and expanded upon throughout the chapter.

With the conceptual framework in place, the focus turns to exploring the concepts of synchronicity and objective meaning and how they impact identity and can be used as powerful tools for individual and organizational transformation.

Introduction to the Psyche: Basic Concepts

The term *psyche* refers to the whole personality, the comprehensive totality of psychic processes including consciousness and the unconscious (Jung 1921). It is used instead of "mind" to avoid confusion with popular terminology that refers instead to aspects of conscious mental functions (Hopwood A. Jung's model of the psyche. In: Jung's model of the psyche. Available via http://www.thesap.org.uk/wordpress/wp-content/uploads/2015/08/ModelofPsyche.pdf accessed May 11, 2013). All individual experience of reality is mediated *through the psyche*.

The psyche is recognized as the primary organ of (psychic) perception. It is a system, meaning that the elements or agents of which it is comprised operate in relationship with each other toward a common goal. In this case the goal is developing, engaging, and furthering the conscious and unconscious processes of the personality toward greater wholeness. As a system, the psyche evolved alongside physical organs and processes as part of the overall integrated human organism including all body structures and dynamics. Like physical systems, the psyche's function and operations are homeostatic and self-regulating, just as the functions and operations of the body's physical systems are. The psyche nevertheless retains its unique functions and focus, even as it is integrated with the rest of the body system.

The goal of the psyche system is to bring the inchoate personality to wholeness. The two spheres that comprise the psyche, *consciousness* and *the unconscious*, operate as a closed system. This means that what happens in the sphere of consciousness impacts what happens in the sphere of the unconscious and vice versa.

These two spheres of consciousness and the unconscious consist of three distinct but dynamically interrelated levels: *consciousness*, the *personal unconscious*, and the *collective unconscious*.

Individuation

Wholeness is achieved through *individuation*, the central process of transformation in the human psyche. This process involves integrating the conscious and unconscious parts of the personality. Unconscious content tends toward consciousness, while conscious content leans toward becoming increasingly more differentiated, expanded, and deepened, to achieve a more complete knowledge of oneself (Hall and Nordby 1973). In short, self-knowledge is the successful outcome of the individuation process.

The term "individuation" was chosen by Jung to ". . .denote the process by which a person becomes a psychological 'in-dividual', that is, a separate, indivisible unity or 'whole'" (Jung 1948). More will be said about the individuation process throughout the chapter, which directly relates to the transformation of ego identity over the course of life.

Consciousness

Consciousness is the dimension of psyche most available to us for exploration because it consists of what we are aware of in waking life. It is also known as *ego-consciousness* and includes "the range of experience in a person's awareness at any moment" (Aziz 1990).

The organizing center of consciousness is the *ego*, also known as the ego complex. The ego's executive function is to apprehend meaning and assess value for further survival and make "life worth living" (Hopwood A. Jung's model of the psyche. In: Jung's model of the psyche. Available via http://www.thesap.org.uk/wordpress/wp-content/uploads/2015/08/ModelofPsyche.pdf accessed May 11, 2013). The most critical feature of consciousness is its power of differentiation and discrimination (Brooke 1991).

It should be noted that the term "consciousness" in this chapter is used as a specific Jungian term that is distinct from other definitions where, for example, consciousness may mean sentience.

Ego

Jung described the ego as "a complex of representation which constitutes the centre of my field of consciousness and appears to possess a very high degree of continuity and identity" (Jacobi 1973, p. 21). The ego, therefore, is composed of conscious thoughts, perceptions, memories, and feelings and is the conceptual entity containing one's identity. In other words, the ego is the origin of our continuing identity, even as it matures and transforms over the course of our lifetime.

One goal of *individuation* is to educate and broaden the ego, thereby transforming individual identity from an undifferentiated ego mass to an efficient conscious structure that serves the individual well.

Jung also referred to ego as the *subject of consciousness*, by which he meant that whatever is not sensed through the ego is not conscious (Jacobi 1973). What is not registered by the ego (such as fantasy content) is by definition a product of the unconscious.

Structure of Consciousness

At birth, the nascent ego gets its first sense of itself through identification with its parents or caregivers. There is a gradual and cyclical process of identification and separation with its surroundings constituting an education of what is "me" and what is "not me." This is how the developing ego accumulates personal experience that, as the center of consciousness, helps it relate to both the sensory outer world and the unconscious inner world (Robertson 1995).

This growing conscious development of the ego occurs through the application of four mental functions that comprise the fundamental structure of consciousness. According to Jung, a psychic function is "'a certain form of psychic activity that remains theoretically the same under varying circumstances' and is completely independent of its momentary contents" (Jacobi 1973, p. 25). These functions facilitate the child's ability to actively engage her world, to form a personal identity in it, to be shaped by it, and in turn to shape it through her participation.

These four functions, *thinking*, *feeling*, *sensing*, and *intuition*, occur as two pairs of oppositional types. *Thinking* and *feeling* are at opposite ends of what Jung referred to as the *rational* axis, because they involve evaluations and judgments. *Sensing* and *intuition* are at opposite ends of the *irrational* axis, because they involve perceptions that are not evaluated or interpreted (Jacobi 1973). The intuitive function, for example, is a noncognitive mode of thinking.

In actuality, there is no such thing as a pure thinking type or feeling type of individual; each of these types occurs along a sliding scale on the axis, or within a matrix that encompasses the entire field of functions. However, as a child matures, one function naturally predominates and serves as the child's superior mode of engagement in his or her world.

How, for example, a *thinking* type of child processes experiences and information is distinctly different than a *feeling* type. This natural mode of engagement is known as the *primary function* for that individual. There can also be secondary and even tertiary functions, which may be developed later in life as the individual matures and circumstances require. But secondary and tertiary functions never belong to the same axis as the primary function.

While the primary, secondary, and even tertiary functions have the effect of strengthening the ego's ability to engage the world and broaden consciousness, the fourth function has the opposite effect, lowering the level of consciousness. Also known as "the inferior function," it is always the opposite of the primary function and, because it lowers consciousness, serves as a gateway to the unconscious (Von Franz and Hillman 1971). We can see then how the overall psyche counterbalances itself, drawing either toward consciousness or away from it as different situations require to achieve optimum performance.

In Jung's framework, the goal in the first half of life is to develop oneself through the primary function and engage life as fully as possible. In the second half of life, the focus turns to inward development. This is when the connection to the unconscious becomes especially important, because the primary function may have become overused or exhausted; what once worked in the first half of life increasingly becomes ineffective in the second half since the goals are markedly different. A life spent using the primary function will hopefully have produced a positive result: a stable marriage, children, a home, a satisfying profession, etc. But the second half of life is less concerned with material existence and more on preparing oneself for death and an eternal afterlife. In this case, the least developed function offers a way of developing latent potentials that lie deeply embedded in the unconscious.

The Personal Unconscious

There is a constant stream of psychic activity that flows throughout the day, some of which is acted upon, while other of this activity is forgotten or repressed. Consciousness can be difficult to pin down. Although humans consider themselves conscious creatures, daily activity actually moves in and out of largely automatic behaviors for which conscious engagement is not required. For example, eating and drinking do not require constant attention, while autonomic behaviors like digestion, elimination, and breathing generally require varying degrees of attention to no attention at all. There are also repetitive activities like preparing food, driving to work, tying shoes, and performing household chores that develop into habits and thereby are unconsciously mediated.

Robertson, in his book on Jungian archetypes, describes consciousness as "a sliding frame which moves along, sometimes lit by awareness, sometimes not" (1995), while the underlying reality belongs to a different level, which Jung and Freud both referred to as the *unconscious*.

This indicates that the ego, while located primarily in the level of consciousness, is partly seated in the unconscious as well. Beneath consciousness and ego awareness lies the level of the *personal unconscious*. Here are contained all the experiences that the ego fails to recognize, such as habitual actions; the experiences that the ego recognizes but then forgets; and the painful experiences the ego represses. It is the repository of all that was ever once conscious in an individual, everything that was ever known but forgotten. This is also the level where most dreams originate.

The ego's partial location in the unconscious enables consciousness to become aware of what is unconscious to the individual. One of the ego's critical functions is to defend against threatening material from the unconscious. The individual may want to strike out against someone who is disliked, but the ego intervenes and finds more civilized channels to defuse aggressive drives. There are also other defenses such as *projection* that serve to mitigate symptoms; dreams too work in this way to work through the unconscious scenarios to foster new insights. The ego's ability to become aware of what is unconscious therefore happens only indirectly, through *projection*, psychic *symptoms*, dreams, or *complexes* revealing the activity beneath the layer of consciousness.

Symptoms and Projection

A *symptom* is a physical or psychic indication that the normal flow of energy is obstructed in some way. It might be a signal that something is wrong or inadequate in the conscious attitude of the individual, indicating a need for a broadening of consciousness.

Projection is one way that humans become aware of what is unconscious to them, by projecting it outward onto another person or thing. This happens when the individual is unable to differentiate herself from the object she is not yet able to apprehend. In other words, the contents of the psyche are not yet differentiated from those of the collective psyche.

The projection can be positive or negative. Often the target of the projection is an unwitting human being. Keep in mind that the goal of the psyche is to become whole, to become more conscious. As the individual gains the ability to differentiate and discriminate (in other words, as she becomes more conscious of the projected content), she can withdraw the projection and assimilate the previously unknown content into her own psyche where it belongs and where it can now serve her consciously. Instead of hating her brother-in-law for sharing an off-color joke, for example, she might recognize her own inner prudishness and become more relaxed in his company.

Dreams

Dreams are another way that information from the unconscious becomes known to consciousness. In fact, dreams offer what Freud called a "via regalia" to the unconscious. We can dream about something and later come to understand the dream. In this way, something that was previously unknown to us (i.e., from the unconscious) manifested itself through dream images enabling us to get its message.

Dreams never simply confirm what we already know. The dream structure and landscape reflect for us in imagery or symbolic form what the inner situation of our psyche is. Simply put, they are like x-rays of the psyche, and like radiologists, we learn to decipher their mysterious meaning.

Jacobi describes Jung's perspective on dreams, saying that "The dream is a statement, uninfluenced by consciousness, expressing the dreamer's inner truth and reality 'as it really is: not as I conjecture it to be, and not as he would like it to be, but *as it is*'. Thus for Jung the manifest content of a dream is not a façade but a fact which always reveals what the unconscious has to say about the situation and which always says exactly what the unconscious means" (Jacobi 1973, p. 90).

Dreams and their interpretation play a central role in Jungian therapy and are the main sources of insight into the activities within the unconscious. They also offer a useful method for any individual wanting to develop a more conscious, meaningful existence.

Complexes

A *complex* is a center of psychic energy around which themes or types of personal experience are clustered (Brooke 1991). Jung describes complexes as "psychic entities that have escaped from the control of consciousness and split off from it, to lead a separate existence in the dark sphere of the psyche, whence they may at any time hinder or help the conscious performance" (Jacobi 1973, p. 36). Accordingly, Jung first utilized the name "complex psychology" to describe his work.

Jacobi describes how, as the complex gathers libido (psychic energy) in the unconscious, it rises toward the threshold of consciousness. The weight of the rising complex causes the threshold of consciousness to sag enough to permit the complex to invade the conscious sphere. Energy therefore is withdrawn from consciousness causing the individual to fall into a more passive state, what was termed *l'abaissement du niveau mental* by Janet (Jacobi 1973, p. 37).

This consciousness-breaching complex behaves like a self-contained, highly autonomous foreign invader, producing various symptoms. It typically has an intensely emotional tone and is incompatible with the individual's normal conscious attitude; its cause very frequently is moral conflict (though not necessarily sexual).

So-called Freudian slips are examples of complexes at work although they don't necessarily indicate inferiority on the part of the individual exhibiting them. Jung discovered that complexes are not purely pathological, but can also be normal. Everyone has them; they are part of the normal psychic makeup and are only the cause of psychological illness in certain circumstances.

The Collective Unconscious

Jung also found that some of the information that emerges into consciousness is collective (Robertson 1995). His unique contribution was to recognize another level beyond the personal unconscious, which he describes as "... a second psychic system of a collective, universal, and impersonal nature which is identical in all individuals. This collective unconscious does not develop individually, but is inherited. It consists of pre-existent forms, the archetypes" (Jung 1948, p. 43).

Jung describes the psychoid archetype as that dimension of the collective unconscious that contains completely unknown, unconscious material that never comes into contact with consciousness. While this psychic material does not constellate, it nevertheless is thought to play a critical role in the dynamics between psyche and soma.

Jung received considerable acclaim for his discovery of the collective unconscious. By the end of the nineteenth century, it was commonly believed that both the conscious and unconscious mind originated from experience. Freud and others considered consciousness the essential attitude, while the unconscious consisted of repressed childhood experiences of trauma, a position he later modified (Hall and Nordby 1973).

By contrast, Jung proposed that consciousness was the secondary phenomenon, emerging out of the unconscious. His research indicated that the unconscious was older than consciousness and was the primary entity out of which consciousness arises and is continually renewed. Jung describes consciousness as emerging out of the "... functioning of the unconscious." This was affirmed by his observation, for example, that children begin life in a state of unconsciousness and grow into consciousness (Jacobi 1973, p. 10).

While the scientific materialists of his time regarded the psyche as an epiphenomenon of the brain and physical body structures, Jung proposed an alternate theory: The psyche evolved as part of the total human developmental system, in the same way that the body and other organs did. Evolution and heredity, therefore, provided "the blue prints of the psyche" as they did for the body (Hall and Nordby 1973).

This idea that each of us is connected not only with our immediate past, but the past of the entire species, as well as the preceding long line of evolution, became unfortunately correlated with the theories of Lamarck, which have gone in and out of favor over the years (Sheldrake R. Rupert Sheldrake's blog – Science set free: Epigenetics and Soviet biology. Available via http://www.sheldrake.org/about-rupert-sheldrake/blog/319-epigenetics-and-soviet-biology accessed June 29, 2016).

Lamarckism is the idea that characteristics acquired over a lifetime can be passed on to offspring. This fell out of favor as the field of genetics developed. However recent findings in the field of epigenetics support the idea of inherited psychic structures (Sheldrake, personal communication Sept 2015).

The collective unconscious is a dynamic reservoir of inheritable forms, patterns of behavior, and images that are culturally informed; its contents are the instincts and archetypes. It contains unconscious material that is completely unknown, some of which *never* comes into consciousness (Brooke 1991).

Instincts and Archetypes

Archetypes are universal potentialities, the sources of typical patterns of behavior and experience that characterize human psychology (Brooke 1991). They are a priori patterns of order, manifested through symbols as psychic and instinctual behavior.

Jung's use of the term instinct originated with his association to Freud but over time became progressively less connected to Freud's interpretation and eventually was superseded in significance by the term archetype (Jacobi 1973). He developed a continuum with instincts at one end and archetypes at the other to show the developmental progression from least to most conscious.

Archetypes

Archetypes are similar to Plato's concept of ideas, or original forms; however, they differ in that Platonic ideas are conceived as purely cognitive content, whereas the archetype may also manifest as a feeling, or fantasy, or emotion (von Franz 1992).

There is also a difference between the archetype itself and its form of manifestation as an archetypal *image*. The archetypes themselves are not directly observable. It is only with the movement of inner psychic process that they manifest into archetypal images. For example, the archetype of the trickster is itself not visible, but we are frequently delighted and amused when sufficient psychic energy produces images of fools and clowns.

Archetypes are expressed through symbols in a graphic and succinct manner, rendering them visible, memorable, and imagistically concrete. Symbols also attract personal energy and further energize the emergent archetypal patterns, thus transforming and channeling psychic energy. The symbolic process creates images and themes that give ultimate meaning to each individual's life (Stein M (2011) Symbols and the transformation of the psyche. Available via http://www.murraystein.com/symbols.html accessed July 29, 2012).

The cross, Star of David, and the Taoist's yin-yang are potent examples of powerful symbols.

Archetypal Structure

The archetypal *structures* are inherited; the archetypal *images* are not. This is where the confusion lay between Jung's ideas and Lamarck's. Jung never claimed that the images themselves were inherited, only the archetypal structures, the disposition for the archetype (von Franz 1992).

As the inborn archetypal structure manifests in the form of an archetypal image, the psyche "makes use of impressions from the external surroundings for its means of expression" (von Franz 1992, p. 6). These images are produced afresh in each individual according to the cultural expressions of the time in which the individual is born; they may not appear in identical form, but will be similar in structure.

For example, the archetype of *mother* appears in similar but not duplicate form throughout humankind and even across the entire animal kingdom. It also appears in nonbiological contexts, such as the world of organizations in the form of institutions and other entities with various characteristics.

Experience of Archetypal Image

The way that archetypal encounters are experienced is also worth mentioning. They are typically psychologically significant events because they are accompanied by a sense of *numinosity* that can radically alter the individual's perspective.

The term was created by Protestant German theologian, Rudolf Otto, who developed the terms *numinosum*, numinous, and numinosity in his work *The Idea of the Holy* to describe "the Holy" in a way that distinguished it from other theological, philosophical, or ethical ideas of "good" or "goodness" (Otto 1923).

According to von Franz, the word *numinosum* derives from "the verb *nuere*, which means 'to nod' or 'give a sign.' Thus when Zeus gives a sign with his eyebrows, something numinous occurs" (von Franz 1992, p. 21).

Otto used words like "shudder," "stupor," and "astonishment," to describe the experience.

Most people can recall an otherwise inexplicable encounter with some ineffable thing that was immense, aware and alive, and impossible to put into words. Such extraordinary peak experiences often involve encounters with natural phenomena or animals. They can also occur mysteriously during otherwise ordinary moments when something as simple as light bouncing off a shiny surface captivates our attention. Mindfulness and meditation can also precipitate such numinous experiences. Experiences like this are unforgettable; the encounter with an archetypal image is frequently life-changing.

Archetypes and Stages of Development

The stages of development in Jungian psychology are identified differently than in other psychological schools. Jung believed that biological existence and perpetuation of the species did not explain the conscious development of the individual; involution was as important as evolution in understanding how identity matures over a lifetime. As mentioned previously, the task of the first half of life is to develop the ego and personality by engaging outer life, while the task in the second half of life is to turn inward and consolidate the personality by integrating the conscious and unconscious parts of the psyche. Jung's psychology focuses on development in the second half of life.

The tasks of life's second half are marked by the appearance of archetypal images and motifs that are recognizable hallmarks of an inner development process, one marked particularly by adding further meaning to one's life. As described in our discussion of projection, these archetypal figures are often projected outward onto others until the individual is able to become aware of them and if successful, withdraw the projection, making that energy available for more healthy behavior.

This is part of the process, known as individuation, which involves integrating and maturing the ego toward wholeness. It is a process where consciousness is broadened by making certain contents in the unconscious conscious. It is essentially an ongoing dialogue between consciousness and the unconscious. Archetypes inform and shape consciousness, adding vibrancy and meaning to identity.

The most common archetypes that appear in the course of a person's development are *shadow*, *anima/animus*, and the *Self*.

It is difficult to discuss shadow without understanding its relationship to persona, the archetype that comes closest to visibly understanding identity. The following discussion therefore begins with a description of persona and the importance of these archetypes to a meaningful development of the personality.

Persona

Persona is closely associated with identity. In the early stages of life, we know little about ourselves beyond what others tell us. But a child is able as early as 4 months of age to separate enough from her parents to possess a rudimentary identity. Identity development continues at a rapid pace in the early years and consolidates significantly in adolescence.

As we become adapted to living in the world as a member of society, we learn that certain behaviors and expressions are more acceptable than others, resulting in more or less favorable outcomes.

Borrowing from its Greek roots (πρόσωπον – *prosōpon*), Jung employed the term *persona* to describe the societal mask each of us develops to get along in life, a compromise between "the demands of the environment and the inner structural necessity of the individual" (Jacobi 1973, p. 28).

The individual whose persona consists of only what society deems acceptable will have the persona of a "mass man" that is to say someone lacking in individuality and expressing only collective thoughts and concerns. If, on the other hand, a person chooses to express her individuality in disregard of societal influence, she may appear as an eccentric or a rebel.

The persona includes not only psychic qualities but also external appearance, such as expressions of style and habits of behavior (clothing, hairstyles, gait, makeup, manners of speech, etc.). The teenage years in particular are marked by a struggle for identity. Teenagers may even take on a series of personas, adopting some and rejecting others depending on familial or societal expectations as they seek to define a persona distinguishes them from their parents.

The persona is a necessary archetypal figure that protects and aids the ego in the first half of life, but it is not identical with the ego and should not be confused with it. The ego and the persona of the individual are not the same thing, and part of the individuation journey is to understand what rightfully belongs to either. Although the ego is the source of a person's ongoing sense of identity, the individual may identify with her persona or what other people think of her instead. Persona becomes an obstacle to growth and wholeness if the individual erroneously becomes identified with it, mistaking the mask she shows to the world with her own true self. High-profile celebrities and public figures are especially at risk. If a celebrity confuses who they are with whom others think they are, and don't acknowledge to themselves where their true identity departs from that of public perception, they effectively rob themselves of the primacy of their unique human experience and the potency of their individuality.

There are key milestones in life when identity changes: becoming a wife, a mother, a caregiver, a retiree, etc. Sometimes an old persona no longer fits who the individual has become. For the individual who has devoted themselves to a certain role or image, the discovery that it no longer reflects who they are can result in a painful crisis of identity. Eventually, ongoing discrepancies between true ego identity and persona may even manifest in bodily symptoms and illness.

Shadow

Persona helps the ego adapt to society but is not identical with it. But what happens to the dreams and expressions of personality that society might deem unacceptable? The *shadow* is the "counterpart of our conscious ego, growing and crystallizing in pace with it. This dark mass of experience that is seldom or never admitted to our conscious lives bars the way to the creative depths of our unconscious" (Jacobi 1973, p. 112). It is a complex in the personal unconscious with its roots in the collective unconscious; it is the complex most easily accessible to the conscious mind" (Hopwood A. Jung's model of the psyche. In: Jung's model of the psyche. Available via http://www.thesap.org.uk/wordpress/wp-content/uploads/2015/08/ModelofPsyche.pdf accessed May 11, 2013). Its appearance in the dreams and waking experience of the individual marks the first stage of the individuation process.

As with all unconscious material, the way in which we most immediately experience the shadow is by projecting it on to other people. For example, we can be fairly sure that the negative traits we find unbearable in other people, especially if we've only just met and don't know them, really belong to ourselves.

Confronting our shadow projections is hard work. It requires a "mercilessly critical attitude toward one's own nature" which is difficult for most people to accomplish (Jacobi 1973, p. 113). But it is vitally important for two main reasons.

First, the shadow contains not only the unsavory elements of our being but also our unrealized potential. It contains the life paths we did not choose and the dreams of our becoming that were never realized. It also possesses elements of our personality that can be redeemed and which then have a tremendously vitalizing influence on our whole psyche.

Second, shadow work is critical because it comprises the first step in developing an objective attitude toward our own personality. This objective attitude is essential to the quest of wholeness which is the individuation process. Shadow is the gateway to seeing life as it really is in its fullness, and not what we wish it to be.

Collective Shadow

Shadow can also be collective. In society, shadow most often is projected on those without power, the oppressed, and the underrepresented. This is often anyone that falls outside societal norms in terms of behavior, status, health, wealth, intelligence, education, the law, etc. When things don't work as planned, as often happens, the dominant element of society that wields the most power and has the most to gain from retaining that power is prone to projecting the shortcomings and failings of society onto its most vulnerable members.

It happened in World War II with people of Jewish descent and other minorities; we also see it in the United States in the treatment of Black Americans as well as Native Americans and other indigenous peoples and minority populations around the world.

But just as the individual shadow contains unrealized potential, so does the collective shadow contain potential that if properly integrated could transform society in a positive way. It must first be withdrawn from those upon whom the shadow projection was foisted. Working with shadow at both the individual and societal level is the agency for transformational change.

Relationships offer excellent opportunities to become conscious of our own shadows because it is most readily apparent to those closest to us. Spouses, children, siblings, parents, friends, and coworkers – all – will be able to identify for us shadow qualities of which we are not conscious. Similarly, we are aware of the shadow of others, and shadow work can be a mutually beneficial process for anyone willing to undertake it. By learning to deal with our own shadow, we are in fact performing a genuine service for the world (Jung 1960a).

Anima/Animus

As we continue to understand how identity is shaped through the life cycle, we encounter in the second stage of the individuation process a “contrasexual” aspect. In a woman this appears as an inner, unconscious male archetypal figure called the *animus*; in a man this appears as a female archetypal figure called the *anima*.

These archetypal figures are directly related to *persona* and possess qualities that counterbalance the characteristics of the persona, which is to facilitate the ego’s adaptation to society by providing an acceptable, protective mask. While the persona is the mediating figure between the ego and the outside world, the anima/animus is the mediating figure between the ego and the inner world.

Projection of this archetypal image, especially in romantic relationships, can manifest as unrealistic idealization of others. In private affairs, projection can sometimes result in marriage; in the business world it can take the form of hasty partnerships. But the relationship becomes deeply challenged when the projection inevitably ends for one or both parties in the marriage or partnership. This is actually when the opportunity to relate as true individuals begins, unless the partnership was based on unrealistic fantasy and is no longer sustainable. Thus we see here the beginning of the *objective* psyche.

Jacobi explains, “Once the anima/animus image is recognized and revealed, it ceases to operate from out of the unconscious. At last we can differentiate this contrasexual part of the psyche and integrate it with our conscious attitude. The result is an extraordinary enrichment of the contents of consciousness and a great broadening of our personality” (Jacobi 1973, p. 142).

Self

Just as the *ego* is the organizing intelligence of consciousness, the *Self* is the organizing archetype behind the personality as well as the whole psyche. Its goal is wholeness through the process of individuation, to develop the organism's fullest potential. In this chapter, the term is capitalized to indicate the elevated aspect of this archetype. Many people experience this archetype as a divine being, or God. (In the literature this term is not always capitalized.)

The realization of the Self is a life goal. It represents the full flowering and most complete expression of individuality (Jacobi 1973). It comprises the whole of the psyche, conscious and unconscious, though the only part of it that we can know directly is the ego. The Self on the other hand can only be known through experience and never be fully or directly known to us. This is because the part can never fully comprehend the whole.

The Self empowers the individuation process and seeks the development and education of the ego personality; it accomplishes this through the dynamic operations of the psyche.

To summarize, the tasks of the first half of life are to turn outward and engage life and the world in order to develop oneself, to learn who one is and who one is not. The *persona* helps the ego relate to the outer world by providing a mask to protect the developing ego. This can create problems if later the ego is unable to differentiate herself from her persona. At the same time, the *anima/animus* helps the ego relate to the inner world. The *shadow* is comprised of all the denied aspects of the individual that are repugnant to the ego. Withdrawing shadow projections is important not only because it reveals raw materials of the qualities that are precious and unique to the individual, but because it offers the first step in learning to deal objectively with one's unconscious content. The Self is the organizing archetype that aids in differentiating the individual's ego toward wholeness. Where ego is knowledgeable, Self is wise. The process of individuation is a succession of encounters between the ego and the unconscious through these archetypal figures, each of which provides the opportunity for the ego to gain greater depths of self-awareness that help the individual discover their unique identity in the world.

Dynamics of Individuation and the Psyche

As a relatively closed system, the psyche possesses a self-regulating feature that maintains equilibrium and balances the opposites between its conscious and unconscious spheres (Aziz 1990; Main 2004). There are several mechanisms by which this occurs, including *complementarity*, *compensation*, and the *transcendent function*. There is also a teleological dynamic that acts on the psyche. Teleology is the notion that these mechanisms operate dynamically together for a purpose or goal, also known as final causes. For example, the goal or teleology of a seed is to ultimately become a tree (or plant). The operations involved in these dynamics are made more visible through the processes described in earlier sections of this chapter (see sections on "Symptoms," "Complexes," and "Dreams").

Complementarity

Complementarity occurs when what is lacking in one sphere is balanced in the other sphere. For example, an artist who is extroverted in her life may be introverted in her work (Jacobi 1973). In this case, the unconscious *complements* the position held by consciousness.

Compensation

Compensation describes the dynamic that occurs when the conscious attitude is too strongly oriented in one direction so that the unconscious activates a counterbalancing adjustment to *compensate* for the "lopsided" attitude of consciousness. The unconscious may even break into consciousness in the form of dreams, fantasies, symptoms, etc. (Main 2004). Dreams are not always compensatory, but they often serve this function. Synchronistic events can also appear to compensate for psychic imbalance. As a homeostatic system, the unconscious *compensates* for what is missing or out of balance with the conscious position.

Jung's discovery of this compensatory process is actually what led him to formulate his concept of individuation. While a single dream might address the immediate compensatory needs of the individual's consciousness, series of dreams can reveal pronounced compensatory patterns. These dreams series revealed to Jung the occurrence "a kind of developmental process in the personality itself." He realized that the compensatory principle served not only the immediate needs of the individual, but facilitated "the comprehensive development of the personality" (Aziz 1990, p. 17).

Transcendent Function

There are times when the dynamics in the psyche come to a distinct standstill, as happens when libido builds in both the conscious and unconscious spheres. As Jung notes, this situation leads to an immobility of psychic energy where "the will can no longer operate" because "every motive has an equally strong countermotive" (Jung 1921, p. 479).

In this situation, the tension of opposites produces "a new, uniting function that transcends them. This function arises quite naturally from the regression of libido caused by the blockage" (Jung 1921, p. 479). This is known as the *transcendent function*.

The first step in making the unconscious conscious is to give form and meaning to the unconscious content. The ego is then in a position to reconcile its position with the unconscious. This is the second and more important stage of the procedure, because it creates a critical tension that can produce a third position, i.e., the transcendent function. At this stage, it is no longer the unconscious that takes the lead but the ego (Aziz 1990).

For this process to be successful, the ego must be strong enough to "maintain its standpoint in the face of the counterposition of the unconscious. Both are of equal value. The confrontation between the two generates a tension charged with energy and creates a living, third essence. From the activity of the unconscious there now emerges a new content, constellated by thesis and antithesis in equal measure and standing in a compensatory relation to both. It thus forms the middle ground on which the opposites can be united" (Jung 1921, p. 479).

This transcendent function is characterized by a new attitude with which the individual creates new meaning that can transform a person's identity.

The transcendent function is therefore a powerful mechanism of creation that introduces into reality something completely new that not only did not previously exist but which could not possibly be predicted beforehand. For this reason, Jung believed that neurotic conflicts are outgrown rather than cured.

This concept also has value in relationships especially when conflict exists in equal valence between two or more parties. If the tension between the opposing positions can be mindfully sustained, a transcendent third position often manifests, offering a beautifully integrated solution to the situation.

Teleology

Teleology is the idea that events that happen have a purpose or an end cause. Jung referred to this also as final causes, something he recognized that scientists are loath to discuss because it conflicts with the orthodox view of an impersonal, random universe.

It is easy to see from the developmental trajectory of every living organism that it matures toward *something*, be it reproduction, old age, or even death. Whether it's a seedling or an egg, living organisms have a blueprint for developing into eventual adulthood and a timely death. Jung believed that the teleological goal of the psyche is the full flowering of wholeness.

Summary: Dynamics of Psyche

The dynamics of the psyche can be summarized by recognizing that in Jung's thinking, the transformations and symbols of libido have a specific teleological goal. As described by Stein, this is "the unfolding and full emergence of the potential personality, which is given from the beginning of life. This takes place in two major movements – differentiation and synthesis. The first has to do with establishing separateness, identity, uniqueness. . . . The second has to do with creating wholeness through integration or assimilation of the aspects of the *Self* that are left behind in the course of building up separateness and a unique identity. Generally the first movement is emphasized in the so-called first half of life, and the second movement in the second half of life. Libido is the force that drives this process of development, the energy within the dynamic movements of the psyche toward unfolding and individuation. It becomes extremely important, therefore, in practice to recognize what the psyche is intending when it produces symptoms, dreams, fantasies, and symbols of all sorts and varieties" (Stein M (2011) Symbols and the transformation of the psyche. Available via http://www.murraystein.com/symbols.html accessed July 29, 2012).

Summary: Individuation

The dynamics of the psyche serve to further the individuation process, which possesses three critical characteristics. First, the ego doesn't so much choose its goal as it is led to it. Second, the only real way to make progress is by submitting to the process and allowing it to unfold. And third, this comprehensive compensatory movement has a goal, which is the realization of what Jung called the "Self" (Aziz 1990).

Individuation is essentially therefore a "comprehensive developmental process" where the ego, through the process of psychic compensation, becomes more connected with the still unconscious potentials and strives consciously to integrate them. To the extent that the ego is able to accomplish this vital task, the conscious personality becomes more stable and broad. This serves to bring about the fullness of the whole personality and the conscious realization of the *Self*. This ego-*Self* relationship is thus central to the individuation process (Edinger 1972; Aziz 1990).

How then is identity connected with the individuation process? Identity originates in the ego, as it (ego) relates to itself (self-consciousness) and its environment (social consciousness). A child isn't born with a ready-made identity. Self-consciousness precipitates the eventual emergence of an identity formed by the child, which over time is informed by persona, shadow, anima/animus, and the Self.

As the ego integrates unconscious contents, the individual's unique identity place in the wider world is enhanced.

Synchronicity and Meaning

With the basic framework of Jung's psychology in hand, it becomes possible to explore some of his other more controversial research. As Jung was exploring the idea of the collective unconscious in the mid-1920s, he repeatedly came across connections that could not be explained by chance. He noticed that symbolic images from the dreams of his patients frequently coincided with events in waking reality. He also observed that these coincident events carried meaning in much the same way as the elements in a dream. These experiences prompted him to formulate his most ambitious concept – synchronicity (Jung and Pauli 1955).

Simply put, synchronicity is a phenomenon that occurs when an inner event, like a thought, hunch, premonition, dream, etc., is matched by an event in outer reality where there is no possibility that one event could have caused the other.

The following example from clinical therapy illustrates the basic concept. A therapist was having trouble conveying to his patient just how severe the patient's marriage troubles were. In exasperation the therapist exclaimed, "Your marriage is like a car wreck!" As he was uttering the words "car wreck," the jarring metal crunch of an automobile accident could be heard just outside the office. The patient was stunned and deeply shaken.

Note that the therapist did not *cause* the car wreck to occur by saying "car wreck" – nor did the car wreck cause the therapist to utter those words. Yet there was unmistakable meaning connecting the two events. The outer event of a car wreck coincided with the inner image symbol of a car-wrecked marriage being discussed in the therapy session, finally capturing the patient's complete attention and successfully relaying the message (T. F. Cavalli, personal communication, March 15, 2012).

Synchronistic events may be simultaneous, as in the previous example, or they can be separated in time. The important point is that the inner and outer events are connected not by cause and effect but by meaning.

The proposition that meaning can be the sole connecting factor between two otherwise unrelated events, events that may be far distant from each other in time and space, is remarkable. In the sciences, such an idea is preposterous, even blasphemous, since it appears to run counter to the idea that the world of our experience and the evolution of life are the result of random chance.

Nevertheless, the idea is not exactly new. There are many historical examples of concepts similar to synchronicity. For example, the Hippocratic idea of the "sympathy of all things"; the alchemist Zosimos' idea from the third century of the "monad," referring to the unity of all things; and much later Leibniz' concept of "preestablished harmony" to describe an "acausal coordination" especially between soul and body (von Franz 1992) all represent attempts to describe the basic phenomenon behind synchronicity.

Perhaps the example that aligns most closely is the concept of the Tao as revealed in the *Tao Te Ching* and the divinatory method known as the *I Ching*. These illustrate the principle of synchronicity as it was embraced in the living experience of an entire culture in ancient China. Here synchronicity is described as "things that like to happen together," a statement capturing the essence of meaningful connection and pattern matching (von Franz 1980, p. 71).

As scientific materialism gained ground, such ideas became regarded as superstitions. However, the discoveries of phenomena found in quantum physics and complexity science require serious consideration of these concepts once again.

Meaning as an Ordering Principle

As evidence mounted to support his observation that meaning was a real and potent connecting principle, Jung was forced to conclude that reality appears to be organized in two ways, one through cause and effect and the other acausally. In the first instance, causality is the connecting principle; it also happens to be the predominant scientifically accepted understanding of how reality is ordered. Although findings from quantum mechanics pose serious challenges to this view, this is, for all intents and purposes, how reality seems to function at the macroscopic level.

Based on his observations of synchronistic phenomena, Jung suggested that reality also appears to be organized through meaningful connections, where meaning is the connecting principle. Both organizing principles operate in conjunction with each other to govern the unfolding of the phenomenal natural world.

Since the term "meaning" has anthropomorphic connotations, Jung suggested the alternative term *equivalence* to indicate the way that nature might match patterns and concepts irrespective of time or causality (Jung and Pauli 1955). Later researchers have suggested other alternate terms, including the term "saliency" by William Sulis to emphasize the deep connection without implying human involvement (as cited in Robertson 2000).

The Bridge Between Psyche and Matter

Faced with the implications of a theory which threatened to disrupt the scientific paradigm, Jung collaborated with renowned physicist Wolfgang Pauli to discuss his ideas about archetypes and synchronicity and the ramifications for the organization of reality. Both men agreed that the acausal order characterizing synchronicity might in fact be a specific instance or narrow example of general *acausal orderedness*. Jung compared this acausal quality of synchronicity with phenomena found in quantum physics and the discovery of discontinuous phenomena, or elementary particles, that could not be broken down further.

The parallel discoveries of the archetypal foundations underlying synchronicity in psychology and of discontinuous phenomena in quantum mechanics in physics led researchers in their separate fields to entities they could only describe as *irrepresentables*. These incredibly similar but seemingly dead-end conclusions – which were reached independently by researchers exploring the nature of reality in vastly different fields – struck Pauli and Jung as significant (Card 1996).

Because archetypes were found to consistently act as the mediating principle behind the meaningfulness of a synchronistic event, it occurred to Jung that archetypes might also be the mediating principle behind general acausal order. This led Pauli and Jung to formulate their archetypal hypothesis, which is based on these perceived parallels between quantum physics and depth psychology and the resulting discovery of irrepresentables in both fields. In depth psychology, these were the archetypes; in quantum physics, these were elementary particles. Was it possible perhaps that these two different sets of irrepresentables found in completely different fields of exploration might in fact be different faces of the same phenomenon?

Jung explains, “Since psyche and matter are contained in one and the same world, and moreover are in continuous contact with one another and ultimately rest on irrepresentable, transcendent factors, it is not only possible but fairly probable, even, that psyche and matter are two different aspects of one and the same thing” (Card 1996, p. 10).

Jung called the transcendent unitary reality underlying the duality of psyche and matter the *unus mundus*. This unitary reality must necessarily contain all the preconditions that determine the form of both mental and physical empirical phenomena. These preconditions are unconscious and only take on specific forms (images or numerical structures) when they reach the threshold of psychic perception.

Consequently, says Jung, “. . .archetypes are the mediating factors of the *unus mundus*. When operating in the realm of psyche, they are the dynamical organizers of images and ideas; when operating in the realm of *physis*, they are the patterning principles of matter and energy. Thus, archetypes lie behind the acausal orderedness of the physical world, as well as act as structuring principles for causal processes. When the same archetypes operate simultaneously in both realms, they give rise to synchronistic phenomena” (Card 1996, p. 10).

Card summarizes succinctly the essential connection between archetypes and synchronicity as follows, “Archetypes acting simultaneously in both the realms of psyche and *physis* account for instances of synchronistic phenomena" (Card 1996, p. 10).

Jung recognizes the function of archetypes as the "sought-for bridge between sense perceptions and ideas" (von Franz 1974, p. 36). This speaks directly to the unresolved question of where inner and outer experiences meet and where psyche and matter connect.

As mentioned earlier, this idea that archetypes can affect observable changes in the material world led Jung to his conception of the psychoid archetype, where "the psychic element appears to mix with inorganic matter" (von Franz 1992, p. 4). Jung observed that archetypes act as the mediating principle in synchronistic phenomena, which, as physicist Card puts it, "accounts for the meaningfulness of the coincidence of the associated mental and physical events" (Card 1996, p. 8).

Experiencing Synchronicity: The Healing Power of the Numinous

Accounts of the *experience* of synchronicity provide additional insight into its nature. Phenomenological research exploring objective meaning in synchronicity indicates the experience can radically alter a person's understanding of their purpose or reason for being (Cavalli 2013). Participants reported that the synchronicity event imbued each with a deep sense of self-worth and belonging in the world, frequently shedding light on the unique role each played in serving others.

Such synchronicity events often either coincided with or were preceded by a traumatic event or crisis. But even when the event brought pain or disappointment, participants expressed gratitude that it actually saved them and shaped them into the unique individual they are today.

The research identifies several frequently overlapping elements to the overall experience of meaning in synchronicity. These include an initiating event (often a crisis but not always), a synchronistic event, a sudden glimpse of life's larger pattern, an experience of awe or numinosity, and an experience of meaning so profound it effected complete transformation (Cavalli 2013). For some, these elements coalesced into a single event, while for others these elements appeared as distinct events.

While the events were not necessarily sequential, it nevertheless appears that the initiating event throws the individual out of a habitual mindset or mode of perception, as if to deliberately arrange a space of profound *not knowing*. It can be very easy to rationalize or dismiss a synchronicity as "imagination" when life is running smoothly, but when the familiar world turns topsy-turvy, new perception can emerge. The critical event seems to facilitate the ability to recognize that a synchronicity occurred. Synchronicity inherently connects inner and outer experience, confounding rational expectations while simultaneously providing a lightning flash of understanding that life is not only greater than we imagined, but we are inextricably part of a grand design.

As a result of the glimpse of life's larger pattern, participants reported instantly recognizing they had a place in the world at large. This perspective seemed to release any immediate fears concerning physical security, financial gain, or life and death.

Some individuals experienced complete healing and peace from any emotional trauma resulting from the initial crisis. Contrast this with the findings of studies of survivors of incest or rape whose continued search for meaning actually extended their suffering no matter how much time had passed (Silver and Updegraff 2008).

Participants described the experience as ineffable and were struck by the realization that what is visible on the surface and what can be put into words constitute a mere fraction of reality. The experience changed the way they related to the world around them so that the world now seemed alive and intelligent, participative, and communicative. They reported a greater sense of trust toward life about the future and events beyond their control and expressed willingness to wait for synchronicities to guide them forward.

There are interesting similarities to personal descriptions of synchronicity that characterize the experience. These include reports of shock or surprise: a sense that something extraordinary or inexplicable has occurred and also a sense of something uncanny, tremendous, sacred, and holy, *as if God himself reached down and touched them*. These are similar to descriptions of the numinous previously mentioned; numinous is here used to emphasize the human experience of the holy (Otto 1923). And as Card has remarked, the experience of the numinous is a hallmark of archetypal activity.

In fact, it appears that it is the numinous experience that is responsible for healing. The synchronicity event confounds the ego with an extraordinary juxtaposition of inner and outer reality. In the ineffable wake of a transformative synchronicity, participants reported not only awe, but the uncanny feeling that the universe itself seemed to *know* something about them *personally*. This realization frequently struck like a thunderbolt.

But far from resulting in an inflated attitude about themselves, each participant reported being deeply impressed that what had happened to them was not really about them at all, but about "much bigger things" happening at a higher level (Cavalli 2013).

Jung spoke about the nature of this particular healing experience. Responding to a comment about his unique therapeutic approach to neurosis and pathology, he wrote, "It always seemed to me as if the real milestones were certain symbolic events characterized by a strong emotional tone. . . . the main interest of my work is not concerned with the treatment of neuroses but rather with the approach to the numinous. . . . the approach to the numinous is the real therapy and inasmuch as you attain to the numinous experiences you are released from the curse of pathology" (Stein 2014, p. 38).

This statement reveals that it is actually life's strange twists of fate, those unwelcome disruptions to our careful plans that nevertheless appear by ingenious arrangement of circumstance, that are the true milestones of our lives. These unexpected events bring us to the experience of the numinous – pure acts of grace – that offer a chance for deep healing.

For the participants in the study, the experience of meaning appears to have been facilitated by the coincident elements of numinosity, synchronicity, a recognition of the greater context in which our lives occur, and one's higher purpose within that greater context. Thus the very experience of what Jung termed *objective meaning* was found to effect profound transformation.

Referring specifically to the healing that this kind of meaning produces, von Franz describes the realization of objective meaning in synchronicity as a "quantum leap" in the psyche, "an experience whose essence . . . if it has a healing effect . . . it is . . . because even the greatest pain becomes bearable when we glimpse its meaning" (von Franz 1992, p. 257).

This particular kind of meaning that emerges from deep within nature is beautifully captured in the following quote from Henri Bortoft. Speaking about the hermeneutic circle, he writes, "Logic is analytical, whereas meaning is evidently holistic, and hence understanding cannot be reduced to logic. We understand meaning in the moment of coalescence when the whole is reflected in the parts so that together they disclose the whole" (Bortoft 1996, p. 9).

It should be noted, however, that synchronicities are not only harbingers of good providing positive uplifting experiences, but can herald powerful forces of destruction.

For example, a young girl dreamed of a devastating car accident in which a dear friend was airlifted away and despite resuscitation attempts by the EMT died before reaching the hospital. When just 2 weeks later the dream played out in waking life exactly as she'd dreamed it, she fell into a downward spiral of deep depression and became suicidal. Ultimately the experience transformed her, but not without first taking her to the very depths of despair.

Events don't always work out in a way that we might consider successful. But since the goal of the individuation process (and by extension, life) is wholeness, it should not be surprising that elements of destruction are sometimes necessary in order to achieve greater wholeness.

Transformation, Complexity, and Emergence

While individuation achieves a differentiated, unique, and more whole identity through transformation of the ego-Self relationship, there is another kind of transformation opportunity (or pattern) that also affects identity. It takes the form of a call or quest, also known as the hero's journey. In the course of human development, the individual may at some point feel compelled to leave behind their current life, with its societal and community demands, in order to pursue a more individual path of heart and unique creativity. Or they may find they have simply outgrown the work that they do, the friends that they see, and the goals they've pursued. When life seems to dry up or lose its meaning, if suddenly all the characteristics of personality that served so well now seem stale or ineffective, it is quite likely that big change is on the horizon.

It may feel, when undergoing such a crisis, like life is falling apart or working against you. There may be depression and confusion or feelings of deep loss possibly precipitated by crises such as divorce, the loss of job, or the death of a loved one. Typically, one's identity is threatened in some way by the unexpected disruptions.

The pattern of alternating cycles of falling apart and coming together in ongoing repetition is captured in the alchemical recipe *solve et coagula* which basically translates to "dissolve and coagulate" (Cavalli 2002, p. 335). This describes the fundamental process of transformation in two steps, which is to take apart what existed previously in order to bring together a new level of system identity. In one stage there is a catastrophic collapse of resources that clears the way for successive developmental challenges; in the next step, the path is clear for system resources to come together again in novel ways to support the next upcoming stage of development.

For an individual, too much chaos/variability or too many fluctuations may result in an existential crisis, where identity is most critically under question. This is often precisely when synchronicities occur. An archetype is activated by the accompanying high emotional tension stirred up in the unconscious. This aligns with Card's statements earlier. At such moments, psyche and matter no longer appear as separate entities but seem to have arranged "themselves into an identical, meaningful symbolic situation" as if the "physical and psychic worlds are two facets of the same reality" frequently giving rise to synchronicities (von Franz 1992, p. 124).

Organizational models of transformation too depict cycles that alternate broadly between order and chaos, where system resources build together to support the system for a time, only to eventually fall apart to make way for the next level of system incarnation.

Where complete order prevails, the system cannot adapt to changing life conditions. But if there is too much chaos, the system cannot maintain sufficient structure to sustain any sense of itself.

Complex adaptive systems (CAS) are a special category of systems. They are known as *adaptive* because they possess the ability to respond to rapid changes in their environment; they are known as *complex* because they possess the ability to display emergence. This means that interactions between the elements of CAS produce behaviors that are greater than the sum of the interactions. They also have the ability to spontaneously produce higher order system behavior in response to environmental factors (Cambray 2009).

CAS are nonlinear, which means that small changes to initial conditions can have large-scale impact. CAS can also reach a threshold of complexity at which point the system begins functioning in unpredictable directions where its initial conditions become lost and can never be reversed or recovered (Briggs and Peat 1989).

CAS also cycle back and forth continually, between order and chaos. But the region that is far from equilibrium (where perfect order prevails) but not yet devolving into chaos offers particularly rich and promising opportunities. As open systems, operating in the "far-from-equilibrium" region where the classical laws of thermodynamics no longer apply, CAS are not only self-organizing, they produce new levels of organization at the expense of dissipation of energy through the phenomenon of *emergence*.

Emergence is the spontaneous manifestation of new forms and novel solutions to system challenges. Examples of emergent behaviors include spontaneous and radical system reorganization, information processing, evolution, and learning. Synchronistic events appear to also belong to this list of emergent phenomena that manifest in the region far from equilibrium (on the edge of chaos).

Organizations also evolve and become more robust over time when they are allowed to adapt to changing environmental conditions. Self-organization is a spontaneous response in reaction to a critical challenge in the system. In the case of organizations and other human systems, it is the behavior of humans operating in networks that becomes critical.

The conditions that facilitate emergence include decentralized control; distributed leadership; flat hierarchies; bottom-up, grassroots, democratic decision-making; and a common goal or challenge around which the system agents can rally.

Emergence to the next higher level of system functioning is not guaranteed. Sometimes the system cannot sustain itself and falls apart (system death). The critical challenge in an organization typically appears as a conflict or tension of some kind (Cambray 2009).

The way that tensions are handled is critical. According to Cambray, "building consensus that holds rather than collapses diversity can lead to unanticipated creative solutions" (Cambray 2009, p. 92). This can be accomplished by means of mediation, especially where a dialectic between opposing positions can facilitate emergence of a third position. This directly correlates to the process where a tension of opposites gives rise to the transcendent function (described earlier in this chapter).

At the organizational (or collective) level, synchronistic phenomena appear to play a critical role in providing unique opportunities for emergent processes in focused group activities.

While emergence can seem (and often is) miraculous, it too has a shadow side and can give rise to systems and results which are "morally and ethically ambiguous" (Cambray 2009, p. 91). Emergence therefore requires grounding in thoughtful reflection. It also requires vigilance to maintain its proximity to the edge of chaos where its emergent responses are produced.

Interconnected Reality

The framework of reality described by Jung and Pauli consists of complex forms and patterns, archetypes possessing psychoid qualities that can structure matter and mysteriously connect inner and outer experience. In this reality, which is *our* reality, synchronicity and causality together shape the world of our observation and experience. This reality is deeply interconnected at all levels down to its foundational strata. It is a world where what occurs beneath the visible, the concrete, and the observable is far greater and more powerful than what is visible. It is a world where inexplicable events can coincide and miracles are not uncommon, because meaning is a fundamental shaping factor in this universe.

It may be tempting to confuse the ideas of synchronicity with the popular concept of the law of attraction. It is especially erroneous where the law of attraction itself is frequently misunderstood as simply setting intentions to get whatever one wants in life. The inverse of this idea of course is that anyone living in misery or suffering clearly doesn't know how to manifest their intentions. Aside from the fact that this idea falsely places blame on the individual for every woe that may befall him or her, this way of thinking misunderstands the primary goal of the individuation process which is *wholeness*. The direction and purpose of individuation as we saw in the previous sections is not about serving the whims and desires of the ego, but about shaping the ego through dialogue with the unconscious (and, more specifically, with the Self) in the form of dreams, synchronicity, and the transcendent function and through trial and tribulation toward a more differentiated wholeness. In this process, the ego is not in charge but rather is led to its fate by the Self.

This is not to say that setting intentions doesn't work. Intentions can and do bring us closer to desired goals. But our conscious mind is only one player out of several tasked with achieving our purpose. Also involved are fate and destiny.

In this radical understanding of reality, thoughts, deeds, words, and intentions matter. Humanity matters. How we treat nature and the earth and all her inhabitants matters deeply. Our actions have consequences.

Implications of Synchronicity

The idea that meaning acts as a principle in nature to connect events outside of human agency has important repercussions.

One consequence of the synchronicity concept is that unique events are now given recognition and can be included as data. Traditional scientific methods require repeatability of results and use statistical mathematics to analyze data. This necessarily excludes unique events or events with a low rate of occurrence. By recognizing that meaning is also a connecting principle in nature allows events that were previously excluded to now be recognized.

Another significant implication of synchronicity research is that meaning is no longer restricted to the human realm, but exists within the larger context of (physical) reality – nature – in the form of patterns and deep interconnectedness that precede cause.

In this case, matter itself contains some modicum of meaning because, as Jung postulated, archetypes are psychoid, which is to say they structure matter as well as psychic events.

Summary and Discussion

Individual human identity is developed over a lifetime, following recognizable patterns and typical experiences that shape our personalities. In our lives, we are confronted by obstacles that challenge the bedrock of our reality. Middle age is known for the confrontation of this painful situation even as it offers the chance for transformation.

Abstract, unseen constructs like objective meaning and causality partner together to shape not only our everyday reality, but who we are as individuals as well. By maintaining a conscious attitude and core sense of self through the inevitable tumult of development to maturity, we need not be subject to instincts and habits alone, but rather we gain the freedom to become uniquely individual in response to life's challenges. Ultimately we may even learn to dialogue *with life itself*, in a conversation with fate, destiny, and our unique meaning that lasts our entire lives.

In *The Power of Myth*, comparative mythologist Joseph Campbell recalls a fascinating idea put forward by German philosopher Arthur Schopenhauer. According to Campbell, "... when you reach an advanced age and look back over your lifetime, it can seem to have had a consistent order and plan, as though composed by some novelist. Events that when they occurred had seemed accidental and of little moment turn out to have been indispensable factors in the composition of a consistent plot. So who composed that plot? Schopenhauer suggests that just as your dreams are composed by an aspect of yourself of which your consciousness is unaware, so, too, your whole life is composed by the will within you. And just as people whom you will have met apparently by mere chance became leading agents in the structuring of your life, so, too, will you have served unknowingly as an agent, giving meaning to the lives of others. The whole thing gears together like one big symphony, with everything unconsciously structuring everything else" (Campbell and Moyers 2012, pp. 283–284).

Campbell could just as well be describing synchronicity, since "seeming accidental" and "indispensable factors" are accurate descriptors of such unique, acausal, meaningful events. His rich characterization of life articulates an unfolding process of how individuals and organizations evolve with a unique, spontaneous capacity for growth.

The predominant worldview, which overrelies on empirical science alone, fails to recognize the tremendous value of mystery and the unexpected, of surprise, wonder, and synchronistic occurrences. On a meta-system level, it is not surprising perhaps that the twin discoveries of quantum mechanics in physics and synchronicity in psychology disrupt the dualistic paradigm to reveal the underlying reality of the *unus mundus* and the essential interconnectedness of all things.

Since Jung's time, advances in computing capability have made it possible to more deeply explore dynamic systems using chaos theory and complexity science that are even better suited to modeling the human psyche. Scientists from varying disciplines are increasingly speaking out publicly. These include Rupert Sheldrake and his idea of morphic resonance (2009), Dean Radin's work exploring parapsychology with the Institute of Noetic Sciences (2013), and the work of scientists at Princeton Engineering Anomalies Research (PEAR) studies. Their work provides empirical evidence of the deep interconnectedness of our lives and the reality around us. As true scientists, they seek to create integrative frameworks that, rather than marginalize or diminish their nonrational experiences, are more inclusive of all things human – the rational and irrational, conscious and unconscious, and objective and subjective.

The experiences of individuals adhere to form collective organizations. Critical thresholds under the right conditions trigger emergent properties and transform individuals into collective entities. Just how individuals experience something personal before it becomes expressed externally is an area needing further investigation.

The factors of individual development and transformation affect every organization. The cycles of transformation that inevitably occur for any individual are inevitable also for organizations even if the manner of manifestation differs, another area for future investigation.

As the process of individuation demonstrates, dissolution and chaos within an organization is not necessarily a sign that something has gone awry. Rather, it signals that a system is evolving, growing, and possibly moving toward a new, and potentially better stage in its development. It should be added however that "better" refers to ultimate wholeness. Sometimes the natural next stage is death.

Too often an intervention at this "threshold of chaos" can interrupt the natural cycle of a system's teleological evolution. The phenomenon of objective meaning opens our eyes to dynamic forces at play that transcend our personal definition of what constitutes identity. Just as Copernicus radically redefined the geocentric world, so too do concepts like objective meaning and synchronicity reveal that we alone do not have the final word on what defines the *unus mundus*. Instead of seeking to assert control over people and organizations, this new view encourages us to ride the rhythms and cycles of change. If we can trust the deeper logic of the dynamic, intelligent forces that shape our lives, we might be better able to risk uncertainty so that a new and greater reality may emerge.

Questions and Conclusions

What the Jungian framework reveals is that the evolution and development of individual personality and identity follow a trajectory that moves toward a goal, one that is whole-making for the individual and, simultaneously, the world at large. This amazing process is in other words *purposeful* and appears to involve individual fate. Just what that fate may be is often revealed in nonrational ways, like dreams and synchronicities.

This raises several questions and ideas that organizational leaders ought to consider, when striving to understand the role of organizations in a collective individuation process.

If individuals come to organizations with a personal purpose, what role might the organization play in facilitating this purpose? How might organizations take into account the various individual goals and purposes while achieving organizational-level goals?

Perhaps organizations do not need to *control* employees so much as facilitate the whole-making function of psychic processes. The more the organizational environment supports self-aware individual wholeness and self-knowledge, the more the organization is enriched by an engaged, individuated workforce.

At the same time, it is critical to recognize that organizational outcomes may be very different than expected in more traditional approaches of conducting business. Especially when using approaches that support complexity and emergence, the natural process of the system may unfold in unpredictable ways, possibly leading to the demise of the team, project, or even organization. “Demise” does not necessarily mean “death” but metamorphosis. The individuals, the teams, the project, or the organization itself may transform to provide different products or services.

Since the world is based on an underlying interconnected reality, the *unus mundus*, what implications might this have for employees and other members of organizations? How might this affect the relationship organizations have with the communities in which they reside? What does this view say about how we treat each other, our neighbors, our communities, our environment, and our natural resources? What impact does this perspective have on how we grow and develop future strategies?

If the meaning that imbues the life of each individual is not random but purposeful, then it naturally follows that the meaning an organization possesses collectively is also purposeful. To the extent that the organization serves the needs of the collective, it can flourish as an agent of real change in the world.

The concept of objective meaning as a connecting principle that acts in conjunction with cause and effect also introduces fate as a shaping force in the events that occur for individuals and organizations. Synchronicity and the concept of objective meaning offer a new horizon in further exploring the formation of individual and collective identity, how meaning is created in both instances, and the role played in transforming chaos into cosmos.

Cross-References

► An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
► Personal Transformation: The Next Big Risk
► Self-Awareness in Personal Transformation
► The Neurobiology of Personal Transformation
► The New Leader as Spiritual Hero: The Way of Awakening

References

Aziz R (1990) C. G. Jung’s psychology of religion and synchronicity. State University of New York Press, Albany

Bortoft H (1996) The wholeness of nature: Goethe’s way toward a science of conscious participation in nature. Lindisfarne Press, Hudson

Brooke R (1991) Jung & phenomenology. Routledge, Pittsburgh

Cambray J (2009) Synchronicity: nature and psyche in an interconnected universe. Texas A&M University Press, College Station

Campbell J, Moyers BD, Flowers BS (2012) The power of myth. NY: Doubleday

Card C (1996) The emergence of archetypes in present-day science and its significance for a contemporary philosophy of nature. Retrieved 29 Mar 2012 from http://www.tetras-consult.gr/resources/Resources/Archetypes%20%20Mythology/The%20Emergence%20of%20Archetypes%20in%20Present.pdf

Cavalli T (2002) Alchemical psychology: old recipes for living in a new age. Tarcher/Putnam, New York
Cavalli C (2013) An exploration of objective meaning in transformational synchronicities. Int J Hum Resour Dev Manag 13:4
Edinger E (1972) Ego and archetype. Shambhala Publications, Boston
Hall CS, Nordby VJ (1973) A primer of Jungian psychology. Penguin Books, New York
Hopwood A . Retrieved 11 May 2013 from http://www.thesap.org.uk/wordpress/wp-content/uploads/2015/08/ModelofPsyche.pdf
Jacobi J (1973) The psychology of C. G. Jung. Routledge & Kegan Press Ltd., London
Jung CG (1921) Psychological types. York University, Toronto
Jung CG (1948) The archetypes and the collective unconscious. Princeton University Press, Princeton
Jung CG (1960a) Psychology and religion. Vail-Ballou Press, Binghamton
Jung CG (1960b) On the nature of psyche, in the structure and dynamics of the psyche, The Collected Works of C.G. Jung, vol 8 (trans: Hull RFC). London: Routledge
Jung CG, Pauli W (1955) The interpretation of nature and the psyche. Pantheon Books, New York
Main R (2004) The rupture of time: synchronicity and Jung's critique of modern western culture. Brunner-Routledge, New York
Otto R (1923) The idea of the holy. Oxford University Press, London
Peat FD, Briggs J (1989) Turbulent mirror. Harper & Row, New York
Radin D (2013) Supernormal: science, yoga, and the evidence for extraordinary psychic abilities. Deepak Chopra Books, New York
Robertson R (1995) Jungian archetypes. Nicolas-Hays, York Beach
Robertson R (2000) Mining the soul: from the inside out. Nicolas-Hays, Inc., York Beach
Sheldrake R (2009) Morphic resonance: the nature of formative causation. Park Street Press, South Paris
Sheldrake R. Retrieved 29 June 2016 from http://www.sheldrake.org/about-rupert-sheldrake/blog/319-epigenetics-and-soviet-biology
Silver R, Updegraff JA (2008) Searching for and finding meaning following personal and collective traumas. In: Markman K, Prouix T, Lindberg M (eds) The psychology of meaning. American Psychological Association, Washington, DC
Stein M (2011) Symbols and the transformation of the psyche. Retrieved 29 July 2012 from http://www.murraystein.com/symbols.html
Stein M (2014) Minding the self: Jungian meditations on contemporary spirituality. Routledge, New York
Von Franz M-L (1974) Number and time: reflections leading toward a unification of depth psychology and physics. Northwestern University Press, Evanston
Von Franz M-L (1980) On divination and synchronicity: the psychology of meaningful chance. Inner City Books, Toronto
Von Franz M-L (1992) Psyche and matter. Shambhala Publications, Boston
Von Franz M-L, Hillman J (1971) Jung's typology. Spring Publications, Zurich

Self-Knowledge: Master Key to Personal Transformation and Fulfillment

Satinder Dhiman

Contents

In this chapter, the words "Self" and "Reality" are used interchangeably, for the truth of our true self (*Ātman*) and the truth of the universe (*Brahman*) are essentially one. The understanding of the essential oneness of the individual and the universal – called the Truth of truth (*satyasya satyam*) – is the harbinger of all individual happiness and social harmony.

S. Dhiman (✉)
School of Business, Woodbury University, Burbank, CA, USA
e-mail: Satinder.Dhiman@woodbury.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_12

Abstract

This chapter takes it as axiomatic that Self-knowledge is the master key to personal transformation and fulfillment. All wisdom traditions of the world have upheld the importance of Self-knowledge as a prelude to every pursuit of happiness and fulfillment. Since "self" is everyone's most favorite subject and since happiness is sought for the sake of the self, it stands to reason that any quest for transformation and fulfillment should verily begin with *knowing* the self. *Self-knowledge deals with who and what we truly are.* Self-knowledge is not a journey of *becoming*; it is a matter of *being.* It is a journey from "me" to the real "I." Self-transformation is the fruit of Self-knowledge. The Self, our true nature, is the ever-present awareness of our own being.

The chapter is divided into three broad sections. The first section discusses the need and importance of Self-knowledge for personal transformation. The second section deals with establishing that fulfillment is voyage of inner discovery and that Self-knowledge is the key to abiding happiness. The third section introduces the philosophy of Advaita Vedānta, as enunciated in the Indian wisdom texts called Upaniṣads and the Bhagavad Gītā, to *dis*cover Self-knowledge and fulfillment, right here and now, as our essential nature. The chapter shows that Self-knowledge, as the knowledge of our true nature, is a self-evident, self-established fact. Due to Self-ignorance, we are unaware of this vital fact. Through the medium of teaching stories, metaphorical poems, and illustrative vignettes, this chapter presents clear pointers to cognize our true nature.

Keywords

Self-knowledge · Personal transformation · Fulfillment · Happiness and well-being · Vedānta · Bhagavad Gītā · Upaniṣads

Introduction

> When asked what was the most difficult thing, Thales, a pre-Socratic Greek philosopher, mathematician, replied, "*To know thyself.*"

This chapter takes it as axiomatic that Self-knowledge[1] is the master key to personal transformation and fulfillment; nay, Self-knowledge *is* Self-transformation. All wisdom traditions of the world have upheld the importance of Self-knowledge as a prelude to every pursuit of happiness and fulfillment. Self-knowledge is also universally acknowledged as the alpha and omega of all spiritual quest. Since

[1]"Self" is capitalized throughout this chapter to denote our *highest Self*, our "true" nature. Used as lower case, "self" denotes the "ego," or "psychosomatic apparatus," or "personality" that we generally take ourselves to be. Perhaps the most often used word in the English language is "I." We rarely pause to think what does this "I" really mean. For the most part, we take it to mean our "ego" or the "me-notion." Self-knowledge is the journey from the *pseudo* "me" to the *real* "I."

"self" is everyone's most favorite subject and since happiness is sought for the sake of the self, it stands to reason that any quest for transformation and fulfillment should verily begin with *knowing* the self. While much physical discomfort in life is unavoidable, most psychological suffering is optional. This chapter makes the felicitous assumption that true Self-knowledge can ameliorate most of our optional suffering and pave the way to lasting fulfillment. Therefore, it makes the plea that one needs to know oneself. The quest for Self-knowledge, however, has nothing to do with what is popularly known as self-improvement or spiritual betterment. As J. Krishnamurti eloquently puts it: "We are talking of something entirely different, not of self-improvement, but cessation of the [separate] self."[2]

Through Self-knowledge, this chapter provides the philosophical basis for the quest of transformation and fulfillment. It is divided into three broad sections. The first section discusses the need and importance of Self-knowledge for personal transformation. The second section deals with establishing that fulfillment is voyage of inner discovery and that Self-knowledge is the key to abiding happiness. The third section introduces the philosophy of Advaita Vedānta, as enunciated in the Indian wisdom texts called Upaniṣads[3] and the Bhagavad Gītā,[4] to *dis*cover Self-knowledge and fulfillment, right here and now, as our essential nature. The chapter shows that Self-knowledge, as the knowledge of our true nature, is a self-evident, self-established fact. Due to Self-ignorance, we are unaware of this vital fact. Through the medium of teaching stories, metaphorical poems, and illustrative vignettes, this chapter presents clear pointers to cognize our true nature.

[2]Cognizing that there is no *separate entity* standing *apart from the deeper harmony of things*, the core truth of our being is the "cessation of the self" as we know it.

[3]Although there are 108 Upaniṣads that are extant, out of these ten Upaniṣads are considered more important because the great commentator, Ādī Śaṅkara, wrote elaborate commentaries on these: Bṛhadāraṇyaka Upaniṣad, Chāndogya Upaniṣad, Māṇḍūkya Upaniṣad, Kena Upaniṣad. Kaṭha Upaniṣad, Muṇḍaka Upaniṣad, Aitareya Upaniṣad, Taittirīya Upaniṣad, Praśna Upaniṣad, and Īśa Upaniṣad. Once a seeker, so the story goes, approached a Mahātmā ("a great soul") and asked: Revered Sir, how many Upaniṣads do I have to study to know myself?" The Mahātmā replied with a question: "How many mirrors do you need to look at yourself?!" ~Narrated by Swami Tejomayananda, *Discourses on Brahma-Sūtra*, No. 1.

[4]The Bhagavad Gītā holds a special place in the world's sacred and philosophical literature and has wielded an enduring influence on the spirit of humankind. According to a preeminent modern Sanskrit scholar, J. A. B. van Buitenen, "No other Sanskrit text approaches the Bhagavad Gītā in the influence it has exerted in the West" [J. A. B. van Buitenen, ed. and trans., *The Bhagavad Gītā in the Mahābhārata: A Bilingual Edition* (Chicago: University of Chicago Press, 1981)]. L. Basham and other Sanskrit scholars agree that the significance of the Bhagavad Gītā in India is comparable to that of the New Testament in Western civilization [K. W. Bolle, *The Bhagavadgītā: A New Translation* (California: University of California Press, 1979), 224]. Noting its widespread appeal and popularity, Robert N. Minor, a modern exegetical commentator, states that the Bhagavad Gītā has become "the most translated text after the Bible" [R. N. Minor, ed., *Modern Indian Interpreters of the Bhagavad Gītā* (Albany: State University of New York Press, 1986), 5]. Count Hermann Keyserling, a German philosopher, hailed it as "perhaps the most beautiful work of the literature of the world" [Cited in Will Durant, *The Case for India* (New York: Simon and Schuster, 1930), 6]. Steve Jobs' credo "Actualize yourself" seems to have come directly from the Bhagavad Gītā's philosophy of Self-realization. Peter Senge, one of the preeminent management thinkers of our time, has quoted the Gītā in two of his celebrated books, *The Fifth Discipline* and *Presence*.

In the Vedāntic scheme of things, there is no difference between Self-knowledge and Self-realization, for to *know* the Self is to *realize or to be* the Self. As Afdal al-Din Kashani (c. twelfth century C.E.) puts it succinctly, "To know oneself is to know the everlasting reality that is Consciousness, and to *know* it is to *be* it" (Chittick 2015). When one *knows* that the fire burns, one does not have to put one's hand in the fire to *realize* this fact. Put differently, in the realm of Self-knowledge, *knowing is being and being is knowing*. Unlike things that are separated from us by time and space – for which we have to do something to attain them – Self-knowledge does not involve doing something new or attaining something afresh. It is only a matter of re-cognizing, re-discovering an already existing fact – *prāpatasya prāpati*[5] – and attaining the already attained.

By way of a holistic approach to fulfillment, the chapter unfolds the vision of Oneness as propounded by Vedānta, the non-dual philosophy enunciated in the Upaniṣads and the Bhagavad Gītā, the key spiritual texts of India. In Indian philosophy, enlightenment is spoken of as Self-realization, the attainment of the Supreme Self. However, it is important to understand the exact sense in which the word "realization" is used. Sri Ramana Maharshi, the great Indian sage, clarifies:

> We loosely talk of Self-Realization, for lack of a better term. But how can one realize or make real that which alone is real? All we need to do is to give up our habit of regarding as real that which is unreal. All religious practices are meant solely to help us do this. When we stop regarding the unreal as real, then reality alone will remain, and we will be that. (Devaraja Mudaliar 2000a)

Vedānta takes it as axiomatic that "the highest aim of religion is . . . Self-knowledge" (Giri 1984) and that the knowledge of the Self and the knowledge of the Ultimate Reality are identical. Ādī Śaṅkara, the great Advaita philosopher, urges that "you must realize absolutely that the *Ātman* [the Self] is Brahman [the All-Self]" (Prabhavananda and Isherwood 1975).

The Knowledge Worth Sacrificing Everything For!

> When Nālandā University, a great Buddhist center of learning from 427 to 1197 CE, was ransacked in c. 1200 CE, two surviving monks managed to salvage the most precious manuscripts from the pillaged library. While ferrying this priceless cargo, water started entering the boat. The two exchanged glances and, the story goes, that without a word the elder monk jumped into the river, sacrificing his life for knowledge. (Veerendrakumar, cited in Panoli 2008)

What type of books or what kind of knowledge it could have been that the senior monk in the story did not even blink to sacrifice his life for? It must have been the treatises, the knowledge, one may surmise, which leads one from illusion to reality, from Self-ignorance to Self-knowledge, and from mortality to immortality. The knowledge that bestows the supreme bliss of life eternal, the liberating wisdom

[5]In order to retain some flavor of the original, the chapter presents some Sanskrit terms and phrases in transliteration, using diacritics according to the International Alphabet of Sanskrit Transliteration (IAST) convention. A small bar drawn over a word (e.g., "ā") indicates elongated sound: as "a" in the word "park."

which reveals our inseparableness from the Divine Ground of Being and establishes the identity of the microcosm with the macrocosm, the oneness of the *ātman*, the individual self, with Brahman, the universal reality.

Did the senior monk pay it too dearly with his life for preserving the books containing such knowledge? Not really, considering what Sage Vaśiṣta tells the young Rāma[6]:

> *yāvadanyanna santyaktam tāvat sāmānyameva hi* /
> *vastu nāsādyate sādho svātmalābhe tu kā kathā* //
>
> Even in the course of ordinary secular life, unless you leave something, you cannot attain another. In order to attain the all-pervading Self, how much more of sacrifice is necessary?

Accordingly, the extent of sacrifice required in order to attain the all-pervading Self has to be immense. And why should it be otherwise? If you want to *buy* gold, you must *pay* for it in gold.[7] We are told that "the only Zen you find on tops of mountains is the Zen you bring up there"(Pirsig 2006). Only those who are willing to stake all and everything of their false self can expect to discover the fullness of their true self.

What Is Self-Knowledge?

Self-knowledge is the *knowledge that we are the Self*, the Unchanging Witnessing Consciousness. Self-knowledge refers to the knowledge of our true nature.[8] Our true nature is the felt sense of being conscious and present. Every type of experience – sensations, thoughts, feelings, perceptions, etc. – presupposes your own awareness-presence. While all other types of knowledge pertain to knowing everything that can be objectified externally as the knowable, Self-knowledge is about *knowing* the "Knower" *without* subject-object dichotomy. However, being the knower, the inmost Self (*pratyak ātmā*) cannot be an object of knowledge.[9] Our knowledge of the world *appears* to be *direct*, but in reality it is only a *mediated* knowledge, experienced through the medium of the five senses and the mind. Self-knowledge, the knowledge

---

[6]यावदन्यन्न सन्त्यक्तम् तावत् सामान्यमेव हि ।
वस्तु नासाद्यते साधो स्वात्मलाभे तु का कथा ॥

[7]An Urdu verse speaks about a seeker who aspires for savoring the depth of the ocean but, ironically, expects to discover the depth at the surface of the ocean: *Mujhko gahrāee mein utaranā hae, Par mein gahrāee staheh par chāhun*. ~ Jān Aeliyā

[8]Śrī Śaṅkara in his commentary to Brahma-Sutra 1.1.6 states that "*ātmā hi nāma svarūpam*" आत्मा हि नाम स्वरूपम्: What is meant by the word "Self" is one's own nature. See V. Panoli, trans., *Prasthanathraya, Volume VI – Bramasutra* (Kozhikode, Keralam, India: Mathrubhumi printing & publishing Co. Ltd., 2011), 75.

[9]"Through what should one know That owing to which all this is known!" [*Bṛhadāraṇyaka Upaniṣad* 4.5.15] See also Swami Satprakashananda, *Methods of Knowledge: According to Advaita Vedanta* (London: George Allen and Unwin Ltd.), 230. This book presents the most succinct, lucid, and comprehensive exposition of some highly intricate concepts regarding the epistemology of Advaita Vedānta, perhaps the best single-volume presentation on this topic in English language.

of one's own existence – being of the very nature of Consciousness itself – alone is *direct* and *immediate* intuitional experience (*sākśādaparokśād*).[10] There is no path to Self-knowledge. What path does one need to reach oneself?[11] Actually, the image of the path is misleading. This is the most essential point to grasp in approaching the question "who am I." As the undeniable truth of our being, Self is already and always there as our conscious presence. The quest for Self-knowledge, therefore, is *not a journey* but *a homecoming*.

What we usually call "knowledge" is information *about* the objects, about the things other than our self. By its very nature, Self-knowledge is the knowledge of the knower, the very subject – the pure witnessing Consciousness (*sākṣhi chaitanyam*) – that illumines all knowledge. The question of questions is: While one uses perception and inference to know the external world, by what means should one know the knower – the knowing Self? The wisdom traditions of the world recommend several methods that can serve as good catalysts for Self-knowledge, such as self-awareness, self-remembering, and self-inquiry. This chapter will focus on Self-inquiry as the key method to know or intuit the Self.

That we exist is the only fact we know beyond any shadow of doubt, for no one can ever deny or doubt their own existence.[12] To say that "I do not exist" is illogical for it presupposes my existence in order to claim that I do not exist! This understanding reverses the popular Cartesian logic of 'cogito, ergo sum,' "I think, therefore I am," into "sum, ergo cogito," "I am, therefore I think."[13] After all, "I am" is *prior* to thinking and my being does not depend upon my thinking. *I do not need to think in order to be.* My true nature is presence-awareness: "I *am*" and I *know* I am. Though aware of our own existence, we are not aware of our real nature. It is with reference to our real nature that Socrates gave the instruction, "Know Thyself."

---

[10]यदेव साक्शादपरोक्शाद्ब्रह्म, य आत्मा सर्वान्तरः "The Brahman that is immediate and direct—the self that is within all." "This is your self that is within all." See Swāmi Mādhavānanda, trans., *The Bṛhadāraṇyaka Upaniṣad with the commentary of Śaṅkarācārya* (Mayavati, Almora, Himalayas: Advaita Ashrama, 1934/2008), 330.

[11]Consider the following exchange between a Zen master and a student:

Student: What is the way to Enlightenment?
Master: What *path* do you need to *reach yourself*?
Student: So practice does not help?
Master: No, it does help.
Student: How so?
Master: Enlightenment is an accident. Practice makes you more accident-prone!
Student: Then what is the cause of unenlightenment?
Master: *Seeking enlightenment*!
[Source: Unknown]

[12]Śri Śaṅkara in his commentary to Brahma-Sutra 2.3.7 states, "Being the basis of all proof and disproof, the self is established prior to them. . ..What is extraneous can be denied, but not the self. For, he who denies that is the Self." Satprakashananda, *Methods of Knowledge*, 231. Also see V. Panoli, trans., *Prasthanathraya, Volume VI – Bramasutra,* 669.

[13]It is not that "I think, therefore I am"; rather, "I am, therefore I think!" How can our *being* depend upon *thoughts* which come and go?

"It is enigmatic," says a modern Vedānta teacher, "that man with all his pretensions to knowledge does not know himself. Nay, he knows himself wrong;"[14] hence, the need and importance to know one's true nature.

As Sri Ramana Maharshi has observed, "To the ignorant, 'I' is the self limited to body. To the wise, 'I' is the Infinite Self."[15] Through Self-inquiry, when we realize our true nature as the limitless Self, it puts an end to relentless seeking, suffering, fears, worries, and desperation. In Self-knowledge, we discover the source of supreme peace and freedom. We discover inner joy that is our own true nature. This joy is *not experiential* in that it does not depend upon external props. This is evident from the fact that everyone loves themselves the most. Our self must be the unconditional source of joy, for no one can love that which is the source of distress. This understanding brings about Transformation in the form of freedom from fear, insecurity, and worry – once and for all.[16] One recognizes oneself to be forever free, whole, and complete (*puraṇa*). All seeking and doubts – that I am small, separate, limited entity – are conclusively resolved, once the fullness (*puraṇatvam*) of the Self is realized.

The Need for Self-Knowledge

The importance of Self-knowledge in personal transformation can hardly be overemphasized. It is said that, "one who knows oneself knows God."[17] The Bhagavad Gītā, the Hindu wisdom text par excellence, describes it as "That which has to be known, knowing which immortality is attained."[18] The Upaniṣads, the primary Hindu treatises on Self-knowledge, extol that "there is nothing higher than the attainment of the Self,"[19] that "the knower of Self reaches the Supreme Felicity,"[20] that "Self-knowledge is the harbinger of liberation while living,"[21] and that "the knower of Self crosses over sorrow."[22] The Kena Upaniṣad warns, "By not knowing

[14]Satprakashananda, *Methods of Knowledge*, 232.

[15]Cited in Swami Rajeswarananda (ed.), *Thus Spake Ramana* (Tiruvannamalai: Sri Ramanasaramam, 1995), 21.

[16]The knower of Self crosses over sorrow (*tarati śokamātmavid*), declares Chāndogya Upaniṣad 7.1.3.

[17]Paraphrasing an important *Hadith*: "*man 'arafa nafsahu faqad 'arafa Rabbahu*." "Know yourself and you shall then know God, "says Śri Ramakrishna. Cited in Swami Satprakashananda, *Methods of Knowledge,* p. 232. Muṇḍaka Upaniṣad 3.2.9 goes a step further: Who knows Brahman becomes Brahman: ब्रह्म वेद ब्रह्मैव भवति

[18]. . .*yaj jñātvāmṛtam aśnute* . . .यत् ज्ञात्वामृतम् अश्नुते/BG 13.12.

[19]"*ātmalābhānna paraṁ vidyate*: आत्मलाभान्न परं विद्यते"

[20]*Brahmavidāpnoti param* || ब्रह्मविदाप्नोति परम् || [Taittirīya Upaniṣad 2.1.1]. In Upaniṣads, the words Ātman (Self) and Brahman (Absolute) are used interchangeably, denoting the oneness of the individual Self and the universal Self.

[21]Brahma-Sutra Bhashya 1.1.12.

[22]*Tarati śokam ātmavit*: तरति शोकम् आत्मवित् ~ Chāndogya Upaniṣad (7.1.3).

the True Self, one is at a great loss."[23] Similarly, in the Greek wisdom tradition, Socrates succinctly framed it as the highest principle of wisdom to "Know Thyself."[24] He did not mince words when he said, "The unexamined life is not worth living."[25] However, Socrates has left no self-help manual for us beyond such pithy dicta. His student, Plato, points out that "the essence of knowledge is Self-knowledge."[26]

> ***What the Hell Is Water?***
>
> *There were these two young fishes swimming along, and they happen to meet an older fish swimming the other way, who nods at them and says, "Morning, guys, how's the water?"*
>
> *And the two young fish swim on for a bit, and then eventually one of them looks over at the other and says, "What the hell is water?"*

Since happiness is sought for the sake of the self, it stands to reason that the quest for fulfillment should begin with knowing the self. As the foregoing story[27] illustrates, without Self-knowledge one can overlook one's essential reality, even when completely *immersed* in it.

This is an excellent example of missing out on reality due to Self-ignorance. How can we explain the enigma of Self-ignorance when self is ever-present and self-evident? It is our common experience that when we want to know or perceive something, there has to be some distance between us and the thing to be perceived. While all other types of knowledge pertain to the external, objective phenomena, Self-knowledge is the knowledge of the Knower, the very subject, the Self. For example, we are not able to *see* a book if it is held too close to our eyes. Since our self is closest to us, perhaps that is why we tend to overlook it. It requires a certain measure of detached objectivity and alert awareness to know oneself. Lao Tzu was right: "To know others is intelligence; to know oneself is wisdom." Hence the importance of Self-knowledge in discovering the truth of our being!

---

[23]*na cedihāvedīnmahatī vinaṣṭi*: न चेदिहावेदीन्महती विनष्टिः Kena Up. 2.5.

[24]*gnōthi seautón* ("Know Thyself") is an ancient Greek aphorism and one of the two most famous Delphic maxims, the other being "nothing in excess."

[25]Plato, *Apology*, 38a.

[26]Plato, *Phaedrus*, 230a, H. and C., p. 478.

[27]This story was told in a commencement speech by David Foster Wallace to the 2005 graduating class at Kenyon College.

The following story[28] shines further light on the importance of Self-knowledge before starting any journey of self-discovery:

Who Is Lost?

A tale is told of a tourist who went to an exotic travel gift shop to buy some maps for the city he wanted to visit. He saw an item on display that looked like a compass. The compass had a lid, the inside of which contained a mirror. A little surprised over the combination of compass and mirror in one product, the tourist asked the owner about the rationale behind such an unusual product.

*The owner explained, "The compass helps to find out **where** one is lost, while the mirror helps to determine **who** is lost!"*

In a famous dialogue that occurs in the most important Upaniṣad, *Bṛhadāraṇyaka Upaniṣad* (4.5.6), the sage Yājñavalkya tells his wife, Maitreyī: *ātmanastu kāmāya sarvaṁ priyaṁ bhavati*: "It is for the sake of Self, everything becomes dear." The great sage is not glorifying selfishness but pointing out a most profound psychological fact: Self is always loved unconditionally by everyone. And everything else is dear for the sake of self alone. That being so, one should know the Self, since it is for the sake of Self alone that everything is sought. The sage wanted to awaken the yearning for Self-knowledge.[29]

Self-knowledge puts an end to a life of relentless *becoming* by revealing a Self that is at once whole, full, and complete (*puraṇa*). Anchored in Self-knowledge, fulfillment becomes more a matter of *being* than *having*, more a matter of *belonging* than *belongings*, and more a matter of *values* than *valuables*. True happiness is not experiential; it lies *within*, to be discovered as limitless Consciousness and bliss supreme. "…Inside you" reminds Hermann Hesse, "there is a stillness and a sanctuary to which you can retreat at any time and be yourself,…Few people have that capacity and *yet everyone* could have it"(Hesse 1982). This is then the greatest of all paradoxes: *chasing all around to get back to yourself*! It is perhaps due to the utter simplicity of the fact of Self-knowledge that it is said that millions seek, thousands teach, and only a few arrive.[30]

[28]A traditional tale transcribed by the author.

[29]This dialogue occurs twice in the *Bṛhadāraṇyaka Upaniṣad*: 2.4.5 and 4.5.6. For this famous dialogue on the importance of (and the means to) Self-knowledge, See Swāmi Mādhavānanda, trans., *The Bṛhadāraṇyaka Upaniṣad with the commentary of Śaṅkarācārya* (Mayavati, Almora, Himalayas: Advaita Ashrama, 1934/2008), 246–247 and 538–539.

[30]See the Bhagavad Gītā 7.3: Hardly one among thousands strives for perfection; of those striving, and attaining perfection, hardly one knows Me in truth. In the Bhagavad Gītā, wherever Śri Kṛṣṇa says "me' (*mama*), it signifies the universal Self.

The Importance of Self-Knowledge

All wisdom traditions have emphasized the importance of Self-knowledge in spiritual quest. The following story alludes to the power of knowledge and its relation to peace and security:

> A certain billboard pictured a dog and a cat looking at each other. The ferocious dog was trying to pounce at the cat, yet the cat seemed unperturbed and even amused, sitting quietly in front of the dog.
>
> The caption simply read: The Power of Knowledge!
>
> The dog was on a leash. The cat was aware of this fact.This knowledge gave the cat the freedom to enjoy the moment with great peace of mind.[31]

Such is the power of knowledge!

If mere knowledge of our surroundings confers such security, imagine what level of security Self-knowledge can engender. It is here that we are told that there are no recipes, no formulas, and no quick, royal road to Self-knowledge.

Self-knowledge does not bestow any obvious advantages in the practical sense. It is not needed to be proficient in any discipline of knowledge – for which all one needs is five senses supported by the mind. Thus, one can be an expert in any number of fields and still continue to be ignorant about one's own true nature. Similarly, one may be the most *well-known* person in the world and still *unknown* to oneself. Since Self-knowledge is not really required to function well in the world, one may remain blissfully ignorant of oneself, even though outwardly being very knowledgeable and successful. To see this point *clearly* is a great step on the path to Self-knowledge.

If Self-knowledge does not bestow any special advantage, then why should one know oneself at all? A little reflection will show that our "self" is the only constant factor underlying all our experiences, perceptions, thoughts, and emotions. Wherever we go, there we are. Some people speak about finding oneself as if one can ever lose oneself! And no matter how far we travel, we cannot really get away from ourselves. The following exchange highlights the need and importance of Self-knowledge.

Why Should I Seek Self-Knowledge?

> Once, a successful executive of a Fortune 500 company was travelling with a Swāmi, an Indian spiritual teacher.[32] They happen to be sitting next to each other. After a while, the executive turned towards the Swāmi and asked, "What do you teach, Swamī ji?"
>
> "Self-knowledge," replied the Swāmi.

[31]This vignette is based on a discourse of Swami Paramārthānanda, a contemporary teacher of Vedānta. The pious teachings of the saints, *Gurubani*, likewise point out that, without Self-knowledge, the fog of delusion does not disappear: *Jan Nanak binu āpā chīnai mitae na bhram kī kāī* ||2||1|| ਜਨ ਨਾਨਕ ਬਿਨੁ ਆਪਾ ਚੀਨੈ ਮਿਟੈ ਨ ਭ੍ਰਮ ਕੀ ਕਾਈ ॥੨॥੧॥: (SGGS 684).

[32]Inspired by Swami Tejomayananda's discourses on the Bhagavad Gītā and Kenopaniṣad.

> "How is Self-knowledge *relevant* to my life?" the executive asked.
>
> "Are *you* relevant to your life?" asked the Swāmi.
>
> Still undaunted, the executive countered, "Well, why should I seek Self-knowledge? I am highly successful in what I do. I am blessed with good health, wealth, family, friends, power and all that. I am happy with my life as is?"
>
> The Swāmi smiled and said, "I am happy that you are happy! However, with Self-knowledge, you will be '*happier!*' Moreover, now your happiness is dependent upon your position, possessions, circumstances, things, etc. You never know: Anything can change tomorrow. It is not that Self-knowledge will make everything go well. But it will give you that objectivity, detached inner freedom, to deal with any surprises life will bring in its wake for you. It will give you the inner security which is not dependent upon external circumstances and things. Above all, with Self-knowledge you will come to realize that the most important things in life are not 'things.' And, finally, since happiness is sought for the sake of Self, it stands to reason that one should know oneself."

This could be our common story. We may take the passing attractions of the "finite" world of things, objects, and experiences to be all that there is to our mortal life. Like the executive in the story, we may even ruminate that wealth, power, success, etc., are the supreme goals of human life, without ever realizing their obvious limitations and their tantalizing transience. Life in its infinite bounty and compassion may still arrange an impromptu encounter with truth, as in the case of our dear executive in the story – *albeit silently and in the manner of "To whom May It concern!"*

It has been observed that "philosophy bakes no bread, but without it no bread would ever have been baked." Likewise, Self-knowledge does not bestow any practical advantage per se. But without it, nothing makes sense really. The following story further illustrates the seminal role of Self-knowledge (Thompson 2002):

The Case of the 18th Horse!

A father left a large inheritance of land, money, gold, and 17 horses to be divided as 1/2, 1/3, 1/9 among three children. Everything else got divided easily but they were confused how to divide the horses.

In desperation, they contacted an old friend of their father. He came riding on his horse and offered to add his to the herd, to make the total =18 in all.

Now they could easily divide it in 1/2, 1/3, 1/9, as (9+6+2) =17.

And the family friend still had his horse.

Self-knowledge is like the 18th horse in the story, without which the calculus of life makes no sense.

Discovering Self-Knowledge

Be as you are. (Ramana Maharshi, cited in Godman 1985)

A good place to start the journey of self-discovery is to realize that we often have false ideas about ourselves. We are not what we normally take ourselves to be. What does it really mean to know oneself? To know oneself at what level – at the body/physical level or at the mind/intellectual level? Or is there something more lurking behind these intuitively obvious categories? In our common usage, we tend to refer to these as "my body," "my mind," and "my intellect." We do not say "I-body," "I-mind," and "I-intellect." This is not just a linguistic contrivance or convenience but a fundamental distinction that goes to the very root of who we are. To refer to our body as "my" body and our mind as "my" mind is to say that I am *not* my body, *nor* my mind. For example, we are used to saying "my body is strong/weak," "my mind is sharp/clear," etc.. In other words, "I" and "my body/mind" are two separate things. After all, I "experience" my body and mind. It is a basic rule that "I am different from whatever I experience." Ontologically and epistemologically, the subject is always different from the object(s).

When the senses perceive external objects, they act as the subject to the myriad objects. When mind perceives the senses or emotions – for example, when I say "my eyesight is weak" or "I am feeling happy" – mind acts as the subject and senses and emotions act as the objects. Similarly when I say, "my mind is confused," my intellect is objectifying my mind. When I say "I want to think about this matter," my ego is objectifying my intellect. When I say, "I have low self-esteem," "I" the subject is objectifying the ego, the seat of self-esteem. However, "I" the subject can never be objectified, for "I" is the ultimate Subject.[33] This is what is referred to as our "being." This knowledge of our being, our true Self, is not an intellectual concept. It is prior to even the mind and the intellect. Before the next thought arises, we are there, ever-present as conscious-awareness. This intuiting of separation between "I" and my "body-mind-senses" apparatus is sometimes referred to as the awareness of "I-Amness," the awareness of our innermost being or felt presence. Come to think of it, this feeling of "I-Amness" is our only true capital. Everything else is either borrowed or construed knowledge/information.

Essentially, the process of discovering our true nature is largely a process of elimination[34] – finding out what you are not leads to the knowledge of what you are: I am not this body, I am not these emotions or thoughts, etc. On the path of

[33]This methodology, *prakriyā*, is called *dṛk-dṛṣhya* viveka, the discrimination of the seer and the seen.

[34]This approach is called via *negativa* नेति नेति: *neti*, *neti* – not this, not this. *sa eṣa neti netyātmā*: स एष नेति नेत्यात्मा: This self is That which has been described as "Not this, not this." See Swāmi Mādhavānanda, trans., *The Bṛhadāraṇyaka Upaniṣad*, mantra 4.2.4, 413–414. It should be noted that the methodology of *neti neti* – not this, not this – negates the reality of the objective world from the absolute standpoint. It does not – nay, cannot – deny the witnessing Self, which is the conscious principle, the ultimate Subject. This approach is called via *positiva*, *eti*, *eti* – this, verily this indeed.

Self-knowledge, one does not gain anything. Only Self-ignorance is lost. This is called arriving at the Self (*ātmā*) by negating the nonself (*anātmā*). This is a key methodology of arriving at Self-knowledge and is referred to as *ātmā anātmā viveka* – discrimination between the Self and the non-Self. As Sri Nisargadatta Maharaj, a modern Vedānta teacher, succinctly put it:

> To know what you are, you must first investigate and know what you are not. The clearer you understand that on the level of mind you can be described in negative terms only, the quicker you will come to the end of your search and realize your limitless being. (Cited in Wheeler 2002)

Once one has negated the non-Self, what remains is the Self, the natural state of the conscious Witness, the transcendent Self that is described as "Not this, not this."[35] However, it is equally important to emphasize the positive side of the equation of who we *are*: the unchanging conscious witnessing principle that illumines the senses, emotions, thoughts, memory, and the "me-notion." This silent witness is our true nature. Re-cognizing this Eternal Witness principle in and through all our experiences is called Self-knowledge.

Kena Upaniṣad verse 2.4 describes a simple methodology *how* the Self is known: "Self is known through each and every cognition."[36] Śrī Śaṅkara's comment on this verse is categorical: "There is no other way to attain the knowledge of the inner Self."[37] Bṛhadāraṇyaka Upaniṣad 3.4.2 further clarifies: "Self is the Seer of vision, the Hearer of hearing, the Thinker of the thought, the Knower of knowledge (Gambhīrānanda 1957). In sum, Self is the illumining principle of the senses and the proceedings of the mind. This knowledge, avers Kena Upaniṣad 2.4, bestows immortality.

Seeker Is the Sought

> *What you seek is so near you that there is no place for a way.* (Frydman 2012)
> *~Nisargadatta Maharaj*

While what we seek keeps on changing, the seeker in us continues to be the same. Self-knowledge reveals the radical fact that the *seeker is the sought.*[38] The following traditional tale (Mādhavānanda 1934) illustrates the point splendidly by highlighting both the predicament of Self-ignorance and a way to end it:

---

[35]See Swāmi Mādhavānanda, trans., *The Bṛhadāraṇyaka Upaniṣad*, 414 [Saṅkara's commentary on *mantra* 4.2.4.].

[36]Kena Upaniṣad 2.4: pratibodhaviditaṁ matamamṛtatvaṁ hi vindate: प्रतिबोधविदितं मतममृतत्वं हि विन्दते ।| The Self, which is self-evident, is re-cognized in every cognition. As consciousness, it is present as the invariable truth of all experience.

[37]nānyaddvāramantarātmano vijñānāya: नान्यद्द्वारमन्तरात्मनो विज्ञानाय: V. Panoli, trans., *Prasthanathraya Volume II: Isa, Kena, Katha, Mandukya with the Karika of Gaudapada* (Kozhikode, Keralam, India: Mathrubhumi printing & publishing Co. Ltd., 2006), 114.

[38]One sage says, "What one is searching *for* is what one is searching *with*."

The Missing Tenth Man

Ten monks crossed a river, and one of them counted their number to see if everyone had safely crossed. To their dismay, one was found missing. Then everyone took their turn at counting, but the result was the same. So they began to lament, when a kind passer-by inquired what it was all about.

On being told what had happened, he readily understood the situation, and asked one of them to count again. When he stopped at nine, the passer-by said to him, "You are the tenth man." This he repeated with the rest of them. Then they saw their mistake and went away happy. Everyone had left himself out in the counting!

This story highlights that the uniqueness of Self-knowledge lies in the fact that, unlike all other forms of knowledge, it does not entail any new acquisition of information. It only involves freedom from Self-ignorance. Like the tenth man in the story, gaining the essential Self means *realizing* our mistake of self-forgetfulness or Self-ignorance. The Self, like the tenth man in the story, appears initially to be not known through ignorance, but subsequently becomes known through knowledge. From an absolute standpoint, again – like the tenth man in the story – the essential Self was never lost to begin with and is ever-attained.

Sri Ramana Maharshi underscores this point succinctly in the following important passage:

> There is no greater mystery than this, that we keep seeking reality though in fact we are reality. We think that there is something hiding reality and that this must be destroyed before reality is gained. How ridiculous! A day will dawn when you will laugh at all your past efforts. That which will be the day you laugh is also here and now.[39]

Strictly speaking, we cannot objectively *know* our Self because we *are* the Self. *The seeker is already the sought*! We are the knowing self – the pure awareness – the subject, and the knowing *subject*, by definition, can never become the *object* of knowledge. John Wheeler clarifies this important point that "you *are* what you are seeking" succinctly:

> Trying to focus on your true nature is something like looking for your eyes, when the whole time you are looking through them. If you try to focus on your being or aware presence, you will be trying to turn it into an object. Since you are not an object, you will be looking in vain. Just see this point and pause. Being-awareness is here in all of its immediacy and clarity. *That* is it. Why should you try to focus on it, when you *are* it? See the false concept

[39]Cited in Swami Rajeswarananda (ed.), *Thus Spake Ramana*, 111. See *Talks with Sri Ramana Maharshi* (Tiruvannamalai: Sri Ramanasramam, 2000), 134.

and the error contained in it. Your being is not to be obtained. It is pointed to as a present fact. (Wheeler 2012)

The Self seems *as though* veiled currently due to certain inhibiting factors, primarily ignorance. This ignorance does not denote any lack of information or knowledge in any general sense. The ignorance that is referred to here is actually Self-ignorance, the ignorance or unawareness of our essential nature. The entire quest of fulfillment therefore is of the nature of awakening, a journey of recognition without distance from *here* to *here*. The following story[40] splendidly underscores the paradox of missing our reality, while riding on it, metaphorically speaking:

Lost Donkey?

A man bought 4 donkeys and rode home on one of them.

When he reached home, his wife came out to greet him.

While sitting on one donkey, he started counting and found he had only 3 donkeys.

He said to his wife that he was missing one donkey!

His wife asked him, "How many donkeys did you buy?

He said, "I bought four, but now I only see three."

His wife smiled and said: "I see five!"

The man in the story is Mulla Nasruddin Hodja, a populist philosopher and a consummate jester. He is known to poke fun at our common incongruities, using himself as an example. Our search for the Self may be "likened" to looking for the fourth donkey in the story: We have been at it all along, so to speak, yet failing to recognize it while comfortably riding on it! Paradoxically, avers Anthony de Mello, "Wisdom tends to grow in proportion to one's awareness of one's ignorance" (De Mello 1988).

Attainment of the ever-attained Self, therefore, essentially means letting go of our false notions about what we take ourselves to be, that is, a limited body-mind-senses complex subject to mortality and unhappiness. It is about chipping away, so to speak, the fabricated edifice of the false "I," the imposter ego, posing itself to be the real Self. This special understanding requires subtle discernment to reclaim our true heritage. And this requires *knowledge*, not any special effort or *action*. We just have to *know* ourselves as we truly are. To *know* the Self is to *be* the Self.

[40]A traditional Sufi tale, transcribed by the author.

Self-Knowledge: An Already Accomplished Fact

The only thing that is self-evident and ever-present is the Self – the *felt* awareness of our *being* or *presence*. Everything else becomes evident through the Self which is of the nature of pure awareness or Consciousness. Sri Ramana Maharshi explains succinctly:

> 'I exist' is the only permanent, self-evident experience of everyone. Nothing else is so self-evident (*pratyaksha*) as 'I am'. What people call 'self-evident' viz., the experience they get through the senses, is far from self-evident. The Self alone is that. *Pratyaksha* is another name for the Self. So, to do Self-analysis and be 'I am' is the only thing to do. '*I am*' is reality. I am *this* or *that* is unreal.[41]

Our whole existential experience can be reduced to two basic entities: "I" and "not-I." There is this "I" and everything else is "not-I." "I" refers to "I-am," the conscious principle, the "locus" of all experience and every emotion and thought. When Moses saw the blazing light of God on the Mount Sinai and, in awe, asked for God's name, we are told, the Light responded: "YHWH" – "I am That I am."[42] "I am" remains the most unique, the most exclusive, singular epithet to refer to oneself, as if, partaking the Divine Reality.

This is also evident how pronouns work in all languages. The second- and third-person pronouns, You, They, He, She, and It, can be used to refer to any person or thing. But the first-person pronoun, "I," can only be used to refer to one and only one person – namely, "you."[43] There is only one person that is referred to when anyone refers to himself or herself as "I am." There is only one person in the whole creation that is like you and that is you. You are the sole actor/director of your life's drama. It is a one-act play, a monolog. And it is so for every single person![44]

Little wonder, we have transitioned from a "me culture" to a "*selfie* culture." Ever wonder about the secret of Apple's success. Apple Inc. chose their logo very well, all the way: First at the dawn of creation, it was the apple that was offered by Eve to Adam. Perhaps the same apple fell on Newton's head, knocking out all knowledge so that gravity can get in. And we are told that "an apple a day keeps the doctor away." Apple Inc. names its products ingeniously: *i*Mac, *i*Pod, *i*Phone, and *i*Pad. Notice the prominence given to the "I." Hence, their success.

If Self-knowledge is a self-evident fact, how come we are told, as in the opening quote, that to know one's own self is the most difficult thing? How do we reconcile these two divergent viewpoints – that Self-knowledge is the most difficult thing and

---

[41] A. Devaraja Mudaliar, *Day By Day with Bhagavan,* 182 [emphasis in the original].

[42] Sri Ramana Maharshi used to say that the whole Vedānta is contained in the two Biblical statements: "I am that I AM" and "Be still and know that I am God." See *Talks with Sri Ramana Maharshi* (Tiruvannamalai: Sri Ramanasramam, 2000), 320.

[43] Sri Ramana Maharshi has frequently emphasized this point in his writings: "It is only after the first personal pronoun arises that the second and third personal pronouns appear. Without the first person, the second and third persons cannot exist." See his famous essay: *Who Am I*? Retrieved: October 15, 2016: http://www.davidgodman.org/gen2/p/ramana/who-am-i/who-am-i.html.

[44] Remember, you are a completely unique and distinct person. Just like everyone else. ~ Anon

that Self-knowledge is the most naturally self-evident and an already accomplished fact? If Self-knowledge is an already accomplished fact, we may ask, why do we need all these reminders such as "Know Thyself" (Socrates)? If by its very nature the Self is the most self-evident fact, why do we need any teaching at all to know ourselves? The sages point out that although we know ourselves in a general way – we are *conscious* that we exist – we do not know our true nature.

It can be explained in this manner: "I am" is a self-evident fact. "Who am I" is a *discovery*. And this discovery needs a specialized means to proceed. It is because even if we have eyes, we still need a mirror to see our face. Vedānta – the science of truth about our existence – acts as a mirror to reveal "who am I." I know *I am*, but I do not know that *I am Brahman* – the Limitless Absolute Reality. Vedānta says you are not the limited "body-mind-senses" complex that you take yourself to be. You are whole, limitless Consciousness. Know yourself to be so and be happy. Whenever we feel sorrowful, we are missing something, for all sorrow is born of some sense of limitation – physical or psychological. All seeking essentially involves a desire to be free from limitations. We are all seeking *puraṇatvam*, the fullness of our being. Vedānta says you are already *puraṇa*, whole and complete: Reclaim your true status – as limitless Consciousness – and be free.

Fulfillment Is the Palm of Your Hand

At any rate, that is happiness; to be dissolved into something complete and great.
~Willa Cather, *My Antonia* (1918) Chapter I, Ch. 2

This section unfolds a vision that fulfillment is not a place we *go to*; it is a place we *come from*. The basic premise of this chapter is that we already *are* the fulfillment we long to be. As Aldous Huxley so eloquently put it, "Nobody needs to go anywhere else. We are all, if we only knew it, already there"(Huxley 1962). This fact remains hidden from us due to Self-ignorance. When we *dis*cover fulfillment *within* through Self-knowledge, we then find it everywhere. The word "ignorance" is not used in any pejorative sense. It only means ignoring, being unaware of, the truth of our existence. This treasure of fulfillment is found revealed *within* when Self-knowledge dawns.

Because self-love is the highest form of love, and because all love of objects necessitates the knowledge of the object of love, Self-knowledge becomes a *sine qua non* to all overt or covert pursuits of happiness and fulfillment. Fulfillment is a natural state of well-being infused with inner joy, independent of any external factors – objects, people, and circumstances. It is a voyage of inner discovery. To be fulfilled represents the highest good, the desideratum and the summum bonum of human quest and existence.[45]

[45]Happiness is the goal. Happiness has no goal. Everything else we desire we desire *in order* to be happy. That is why Greek philosophers such as Plato and Aristotle regarded happiness as the ultimate good.

The intrinsic happiness of our conscious-being-presence is our true nature. This happiness is of the nature of pure, uncaused joy and does not depend upon any external props – persons, objects, and experiences. This happiness resides in our Self, in the very core of our being. It is so full and so complete that one cannot add to it, nor can one ever lose it. How can we lose what we are?! It is our very own nature. The reason we are never really completely satisfied with any object, person, or experience is because we are looking for permanent, absolute happiness outside. How can that which is itself limited and finite give us absolute happiness? By definition, such happiness can only reside in the Absolute! Very often, we keep vainly searching for happiness in the next object, person, or experience without realizing the futility of our pursuits. Only when you will be able to sit on your own shoulder, says an old Indian adage, that you will be able to find happiness outside of your Self! Sri Ramana avers, "Happiness is your nature. It is not wrong to desire it. What is wrong is seeking it outside when it is inside" (Cited in, Zubko 2000).

Regardless of their economic or social status, everyone is granted this experience of absolute happiness daily during deep sleep. All worries, concerns, pain, and suffering subside in the bosom of deep sleep. There is complete absence of any persona, position, power, fame, wealth, status, objects, etc. during deep sleep. Yet we experience greatest joy during sleep. The Divinity in its boundless compassion grants a glimpse of this pure bliss to each one of us naturally and effortlessly. This proves that happiness is our innate nature, the very essence of our Self. This happiness does not depend upon anything extraneous to us.

If that is so, one may wonder, how come we do not experience this natural happiness during our waking state? It is because all day long, our mind is running after objects and experiences in the external world. Like the mythical musk deer, it is running in all directions, looking for the exotic scent that it thinks is coming from the outside. When at last, tired and exhausted, it lies down to rest – with its nose resting close to its belly – it discovers that the fragrance was in fact coming from inside! Even so, it is with us. The happiness we are seeking so frantically everywhere resides in the inner recesses of own Self, within our being, our conscious presence. If we make a point to return to Self and if we, through conscious effort, make our mind steady in the Self: *ātmasaṃsthaṃ manaḥ kṛtvā* (the Gītā: 6.25), we will realize that this intrinsic happiness is there even now, right where we are, self-shinning, illumining all and everything.

This natural happiness of our conscious-being, the Self, is the only happiness worth its name.

Happiness (*ĀNANDA*) Is Our Essential Nature

By universal acclaim, happiness is the ultimate end and purpose of human existence. Observation and reflection make it evident that without Self-knowledge, we keep searching for happiness in the wrong places, without realizing that it may inhere in understanding our essential nature. Once we truly understand the nature and limitations of our pursuits, we begin to see the tyranny of searching for fulfillment in the external haunts of happiness. As the Indian sage Ramana Maharshi succinctly put it, "Nearly all mankind is more or less unhappy because nearly all do not know the true self. Real happiness abides in Self-knowledge alone. All else is fleeting. To know one's self is to be blissful always."[46] Sri Ramana Maharshi reiterates this important point, "Every living being longs always to be happy, untainted by sorrow; and everyone has the greatest love for himself, which is solely due to the fact that happiness is his real nature. Hence, in order to realize that inherent and untainted happiness, which indeed he daily experiences when the mind is subdued in deep sleep, it is essential that he should know himself" (Maharshi 2002). The sage succinctly illustrates that happiness is the very nature of the Self; therefore, one should strive to know oneself.

One of the most radical observations made by Vedānta is that we *are* the happiness that we are seeking. It is due to Self-ignorance that we overlook the happiness that we are. Vedānta uses a fairly simple set of logic to reveal that happiness is our essential nature as follows:

1. *Real happiness is our natural state*; that is why whenever we are in pain or distress, we want to come out of it as quickly as possible and get back to our natural state of peace and comfort. If it were natural for us to be unhappy, we will be comfortable being unhappy and not take any steps to end it. It is everyone's experience that when we are happy and peaceful, we do not want that state ever to end. Nobody ever wants to be unhappy, and no one is ever tired or complains of being happy. This shows that happiness *is* our essential nature.
2. *Everything is loved for the sake of the Self* (*ātmanastu kāmāya sarvaṁ priyaṁ bhavati*).[47] Self is loved for its own sake. Similarly, happiness is loved or sought for its own sake. Everything is loved for the sake of happiness. Therefore, the Self must be of the nature of happiness itself. Hence, it is enjoined that the Self should be *realized* – should be *heard* of, *reflected* on, and *contemplated* upon: *ātmā vā are draṣṭavyaḥ ś rotavyo mantavyo nididhyāsitavyo maitreyi, ātmano vā are darśanena śravaṇena matyā vijñānenedaṃ sarvaṃ viditam*.[48] This is, however, not to glorify self-love. As KAK Iyer explains: "The instinct of self-love with which we all act consciously or unconsciously in life only reveals the lovability of our self as Pure Consciousness. It may degenerate into selfishness but its origins are holy" (Krishanswamy Iyer 1930).
3. *We can only love that which is a source of joy and happiness*; we cannot love that which is a source of unhappiness and pain to us. Since we love our self unconditionally all the time, it must be the greatest font of happiness.
4. *Happiness does not necessarily depend upon the fulfillment of desires*. It is our common experience that quite often just watching a beautiful sunset or listening to our favorite music or hearing a funny joke, we experience happiness. During that moment, our *wanting self* gets *resolved momentarily,* and we feel happy even though our desires remain unfulfilled or problems remain unsolved. If our

[46]Attributed to Sri Ramana Maharshi.

[47]*Bṛhadāraṇyaka Upaniṣad* 2.4.5: आत्मनस्तु कामाय सर्वं प्रियं भवति।

[48]Ibid., आत्मा वा अरे द्रष्टव्यः श्रोतव्यो मन्तव्यो निदिध्यासितव्यो।

happiness depended upon the fulfillment of desires, we will never experience it since no person's all desires ever get fulfilled.[49]

5. Another proof that happiness is innate to us or lies within us is the fact that *during deep sleep – devoid of the awareness of our body, mind, senses, and external possessions – we feel deeply peaceful and happy.* This is evident from the fact that when we get up in the morning, we say, "I slept so peacefully. It felt so good." Since Self alone *is* during deep sleep, it must then be the very nature of the pure Self to be peaceful.
6. When we experience or get an object of our desire and feel happy, the momentary repose we get is due to the fact that it (inner calm) puts us in touch with our true Self. If happiness really resided in the objects and experiences per se, they would always make everyone universally and unconditionally happy which is not true for any object, person, or experience. If it were so, we will never have garage sales, chocolate will always make everyone happy, happiest people will only hail from Hawaii, and married people will never get divorced or get remarried again.
7. Using the "wave-ocean-water" analogy, Vedānta explains that our quest for looking for happiness by turning outward is like the wave going out in search of water. Wave *is* the water itself. In fact, both wave and ocean are water only. What a tremendous joy to live with this understanding.

Wave-Ocean-Water! No Wave. No Ocean. Water Only!

Once upon a time, a wave felt inadequate and insecure.[50] It felt daunted confronting the vast expanse of the ocean. It used to brood over the meaninglessness of its existence, the futility of it all and get depressed with a very low self-esteem.

Then one day a *guru* wave came along and said, "Hey! Why you look so depressed?"

"I feel so small and frail amidst all these big waves and the vast ocean," replied the tiny wave.

"But you are not what you take yourself to be. In essence, you are not any different from the ocean!"

"Me? Ocean?!! You must be kidding!!!"

"No, I am serious. Actually, you *are* the ocean! Tell me what does the ocean consists of?"

"Water."

"And you?"

"Water."

"So, both you and the ocean are really the selfsame water only. In fact, there is no wave or ocean *apart from* water."

"Realize your essential nature to be water indeed, and *be free*."

Saying so the guru wave took leave and resolved into the big ocean.

No wave. No ocean. Only Water!.. Bingo!

Right at that very moment, the tiny wave became en-*light*-ened. It became playful and carefree. It stopped feeling small, limited, and inadequate. It stopped comparing itself to the surrounding waves or seeking validation from them. All struggle of becoming this or that came to an end. Its self-esteemed soared and its job dissatisfaction vanished. The wave attained the

[49]This point is inspired by the spiritual discourses of Swami Dayananda on *Ananda Mimamsa*.

[50]Based on the Vedāntic teachings of Swami Dayananda Saraswati as presented during *13 Discourses on Ānanda Mīmāṁsa*. Audio Retrieved July 15, 2015: https://archive.org/details/AnandaMimamsa.

highest security and felicity in realizing that no matter what, I can never cease to be water. Best of all I do not have to *do* anything to become water. All along I have *been* water only. Realizing itself to be water indeed, it *dis*-covered the ever-flowing, abiding joy of the fullness of its being!

The guru wave further explained, 'No need to be in awe of this big ocean: In essence, you and ocean are not different at all, but water only! For interacting with other waves—at home and at work—you can *still* continue to *play* the *role* of *being* a wave. But *always remember your real nature to be water only*, and *be free*."

The wave tried to express thanks to this *Guru* wave with folded hands and a deep bow, in reverence.

The *Guru* wave said, "You are still missing the point! There is no need to feel grateful. We are both waves, and, in essence, water only. There is no real difference at all. Water is water is water. Let's just *be friends*."

Then before resolving into the ocean, finally, the *Guru* wave said, "I will sent you a friend request on Facebook soon."

Both waves burst into laughter and submerged into the vast space of the ocean.

The foregoing observations reveal a cardinal fact about our existence – that happiness or fulfillment that we seek is our own essential nature. This fact remains hidden from us due to Self-ignorance, hence the importance of Self-knowledge in the quest for fulfillment. What if someone were to offer us the wealth equal to the value of Earth's weight in gold? Sages say that the wealth of Self-knowledge is even more precious than that.[51] One should stake one's salvation on no less a treasure than the supreme wealth of the Self.

This then is the considered conclusion of Vedānta: *You are already what you are seeking*. Know your true self and be fulfilled. We have come full circle! We conclude this section with a quote that encapsulates the essence of quest for Self-knowledge:

The spiritual quest is journey without distance
You travel from where you are right now
To where you have always been
From ignorance to recognition.
~Anthony de Mello (Cited in Chang 2006)

Vedānta: The Supreme Key to Self-Knowledge

While all wisdom traditions of the world uphold the importance of Self-knowledge as necessary precondition to every pursuit of wholeness, happiness, and peace, perhaps in no other tradition Self-knowledge is explored in such great depth and breadth as in the Indian culture. The entire philosophy of Vedānta is devoted to discovering Self-knowledge, fulfillment, and freedom. As stated earlier, this chapter

[51]In the famous Upaniṣadic dialogue, Maitreyī asks her husband, Yajñāvalkya: "Venerable Sir, if indeed the whole earth full of wealth belonged to me, would I be immortal through that or not?" "No," replied Yajñāvalkya, "your life would be just like that of people who have plenty of wealth. Of Immortality, however, there is no hope through wealth." For the complete dialogue, see *Bṛhadāraṇyaka Upaniṣad* 2.4.1–14.

primarily draws upon Advaita Vedānta which is considered to be the crest jewel of Indian wisdom.[52] "Advaita" is Sanskrit for "non-dual," and "Vedānta" literally means "the end or inner core of the Vedas," the books of knowledge. Vedānta is the most widely known system of Indian philosophy, both in the East and the West (Deutsch 1973a). It is a philosophy of non-duality based on the Upaniṣads, which are the concluding portions of the Vedas (Murty 1959). The word "*Veda*," derived from the Sanskrit root *vid* (to know), means that which makes us know.[53] The Vedas are among the oldest sacred texts in the world. The Upaniṣads, the *Brahma-Sutra*, and the Gītā form the "triple standard" (*prasthānatraya*) on which Vedāntic schools of philosophy are based.[54]

Advaita Vedānta is widely considered by Western scholars of religion and Hindus themselves to be the philosophical culmination of the Indian spiritual tradition (Deutsch 1973b). As a system of Self-knowledge, Advaita Vedānta is free from any narrow sectarian dogma or doctrine. Its tenets are rational, universalistic, and scientific in spirit, and there is much Advaita metaphysics in the contemporary quantum physics. It reveals the oneness of humanity and the intrinsic divinity, infinity, and immortality of the soul. It presents its message through logical axioms that are self-evident. There are no creeds to follow and no dogmas to adhere to. All that is required is an open mind and willingness to understand objectively the truth of our own existence. Vedānta does not posit happiness as a future possibility but helps the seeker to appreciate it as an ever-attained fact in the present.

Advaita Vedānta teaches that the phenomenal world, though real at a relative level, is merely the manifestation of the one underlying Absolute Reality, known as Brahman. At the individual level, this reality is experienced as pure awareness or Consciousness, the Self (*ātman*), which is essentially an expression of Brahman itself (the Absolute). There is one limitless Consciousness which is the substratum of all and everything. This vision of the essential oneness of our reality (*ātman*) and the reality of the world (Brahman) provides a sound foundation and raison d'être for acting for the good of others. Once understood clearly, it becomes a lived experience, nay, a living reality, serving both as the path and the goal for our quest for fulfillment in the form of Self-knowledge and selfless service.

The basic truth of Vedānta is the Self which is essentially of the nature of pure Consciousness. This truth of the Self is self-existent and self-evident: We *exist* and we *know* that we exist. No further proof is required to prove that we exist. Nor can the existence of the Self ever be denied, for to deny the Self is to actually prove its existence! Representing the culmination of all secular and sacred knowledge, Vedānta has been aptly called as the philosophia perennis, the perennial philosophy, whose truth is found in many different traditions of the world that emphasize

---

[52]"On the tree of Indian wisdom, there is no fairer flower than the Upanishads and no finer fruit than the Vedanta philosophy."~Paul Deussen, *Outline of the Vedanta System*, vii.

[53]Ibid., xvii

[54]See K. Satchidananda Murty, *Revelation and Reason in Advaita Vedanta*, xvii.

"oneness of being."[55] As Swami Nikhilananda has noted, "The existence of the Self, or Consciousness, cannot finally be doubted, because the doubter himself is the Self, or Conscious Entity. It cannot be denied, because the denier himself is the Self, or Conscious Entity" (Nikhilananda 1987). In the similar vein, Sureśvarācārya, a ninth-century Advaitin, explains:

> Wheresoever there is a doubt, there, the wise should know, the Self [the Real] is not. For no doubts can arise in relation to the Self, since its nature is pure immediate Consciousness.[56]

In the form of Consciousness-presence, our Self is indubitable, undeniable, self-established, and self-evident fact.

Who Am I? The Trump Card of Vedānta

> *There is no such thing as a healthy ego any more than there is a thing called healthy disease*.[57]
>
> ~ Sri H. W. L. Poonja ji

Vedānta says that there is only one question worth asking and answering: "Who Am I?" Through the simple process of self-exploration called Self-Inquiry ("who am I?"), Vedānta points out that we are not what we normally take ourselves to be: a limited body-mind-senses complex. Vedāntic wisdom tells us that we are in fact limitless Consciousness that inheres and enlivens the body, mind, and senses. According to Sri Ramana Maharshi, "Self-inquiry is the one, infallible means, the only direct one, to realize the unconditioned, Absolute Being that you really are."[58]

Sri Ramana used to say that the very inquiry "Who am I?" will lead us to *realize* the Self if consistently pursued. By conducting the "Seer-Seen discrimination," *dṛg-dṛśya viveka*, I can realize that all that is seen – from the world of objects up to my own mind – cannot be I, the Seer. We do not notice this because our attention is generally focused on the objects outside. The practice of this inquiry into the nature of the Self will slowly

[55]For example, the Sufi doctrine of *waḥdat al-wujūd* literally means the "Unity of Existence" or "Unity of Being." This, along with its corresponding doctrine of the "Oneness of Perception" (*wahdat al-shuhud*), was formulated by Ibn al-Arabi (1165–1240 AD), which postulates that God and His creation are one, since all that is created preexisted in God's knowledge and will return to it.

[56]Cited in Eliot Deutsch, *Advaita Vedanta*, 19.

[57]Cited in Dennis Waite, *The Chapter of One: The Ancient Wisdom of Advaita* (Winchester, UK: O Chapters, 2011), 23.

[58]See *Maharshi's Gospel: The Teachings of Sri Ramana* (Tiruvannamalai: Sri Ramanasaramam, 2003), 38. Michael James, the preeminent translator of some of Sri Ramana's most important books, once told this author that this is perhaps the most succinct and inspired collection of Sri Ramana's teachings. It is believed that Maurice Frydman, the gifted, self-effacing Polish humanitarian, is the compiler of *Maharshi's Gospel*. Frydman is also the compiler of another modern spiritual classic, *I Am That*. Everything Frydman did is touched with distinction.

turn our attention inward – first to the mind, then from the mind to the "I-thought," and finally from the "I-thought" to the Self. As Swami Sivananda explains beautifully:

> The Upanishads declare that the Atman [Self] is the unseen seer, the unheard hearer, the unknown knower. One cannot see the seer of seeing, one cannot hear the hearer of hearing, one cannot know the knower of knowing. The Atman [Self] has neither a subject nor an object. The subject and the object are both comprehended in the Atman [Self] in which all divisions appear and which is raised above them all. (Sivananda 2009)

When we ask "Who Am I," we are basically inquiring about the essential nature of the Self. Upaniṣads tell us that the Self, *ātmā*, is of the nature of pure Consciousness (*shuddha chaitanya-svarūpa*) or of the nature of pure Knowledge (*shuddha jñāna-svarūpa*). Swami Paramārthananda, a modern Vedānta teacher, explains the nature of the Self, *ātmā*, as follows[59]:

1. The Self is not a part, property, or product of the body.
2. The Self is an independent conscious principle that pervades and enlivens the body.
3. The Self is not limited by the boundaries of the body. It is all-pervading, like space.[60]
4. The Self is unborn and eternal and does not die with the death of the body.

As a primary spiritual practice, Vedānta recommends a process of Self-Inquiry (*ātma-vicāra*) – a methodology of inquiring into the essential nature of our self – discerning the real by separating it from the unreal: *nitya-anitya-vastu-viveka*. It requires certain level of preparation on the part of the seeker to appreciate the subtlety of this methodology. It is recommended that one should learn the truth of Vedānta in close association with a teacher who is well-versed in this teaching tradition (*sampardāya*).[61] It is believed that when a seeker is really ready, the Divinity so arranges that a teacher will cross path with the seeker.

To discern what is "I" and what is "not-I" (*ātmānātma-vicāra*), Vedānta uses several methodologies to intuit our true Self such as *adhyāropa-apavāda* (Superimposition and Negation), *dṛg-dṛśya viveka* (Seer-Seen Discrimination), *panca-kośa viveka* (discrimination of the five sheaths), *avasthā-traya viveka* (discrimination of the three states), *anvaya-vyatireka nyāya* (method of co-presence and co-absence), and so forth. For the purpose of this chapter, we will now briefly focus on *anvaya-vyatireka* as a choice method to cognize our Self.

What is invariably present in all our experience and what is not subject to change is *anvyaya*. What is sometimes present and sometimes absent and what is, therefore,

[59]Swami Paramārthānanda, *The Essence of Vedanta*-Part 1. General Talks.

[60]Being all-pervading, it is called by two names: *ātmā* and *Brahma*.

[61]*Samapardāya*, a Sanskrit word, denotes more than just a tradition. It means a system that hands over the knowledge properly *as is*, in an unbroken chain of teacher-student relationship – *samyak pradiyate iti sampardāya*.

subject to change is *vyatireka*. The *anvaya-vyatireka* analysis is generally used to establish cause-effect relationships between two events or things. For example, gold is present when the necklace is present. This is *anvaya*. When gold is absent, the necklace is also absent. This is *vyatireka*. From this analysis, it is concluded that gold is the *cause* of the necklace. In other words, gold is *really* real, while necklace is *apparently* real. This analysis can also be applied to the three states of waking, dream, and deep sleep to arrive at the understanding of the Self as the invariable Witness of these states. As the *Catuḥślokī Bhāgavatam* 2.9.32–35 avers, "He who wants to know the truth of the Self should investigate as to ascertain what it is *that exists everywhere and always*, for that is the Self" (Raghunathan 1976). That which is invariably and ubiquitously present in all states and times is the Self, the Ultimate Reality.[62] Self is the substratum of the appearing and disappearing of the three states. To further illustrate the *anvaya-vyatireka* analysis, we present below a detailed analysis of the three states as a direct means of cognizing our true nature.

Waking, Dream, and Deep Sleep States: Intuiting the True Nature of the Self

Although we all daily experience three states – waking, dream, and deep sleep – we tend to confine our observations and conclusions about reality to waking state only.[63] This is called monobasic view of life. We consider dream state as some sort of illusory experience and relegate deep sleep to a state of unconsciousness. Vedānta, the science of Reality, takes a tribasic view of life and regards our experiences during all three states to be equally important to understanding life in a comprehensive manner.

One of the clearest statements about the Self vis-à-vis three states comes from John Wheeler, a neo-Vedānta teacher in the tradition of Śrī Nisargadatta Mahārāj and Sailor Bob Adamson:

---

[62] एतावदेव जिज्ञास्यं तत्त्वजिज्ञासुनात्मनः ।
अन्वयव्यतिरेकाभ्यां यत्स्यात्सर्वत्र सर्वदा ॥ ०२.०९.०३५ ॥ *Catuḥślokī Bhāgavatam*
What the seeker after Truth has to grasp is that Substance which persists always through all its Transformations into its various effects or forms, but suffers no diminution in the process. The Supreme Self is the ultimate Substance [Translation adapted from Swami Tapasyananda, *Srimad Bhagavata* – Vol. 1 (Chennai, India, Sri Ramakrishna Math, 1980)].

[63] This section is partially based on KAK Iyer's masterpiece, *Vedanta or the Science of Reality* (Holenarasipur: Adhyatma Prakash Karyalaya, 1930/1991). It is perhaps the most important book in English language on the topic of *avastha-traya prakriya*, the methodology of three states. Also see Sri Devarao Kulkarni, *Avasthātraya Viveka* (Calcutta: Manas Kumar Sanyal, 1990), Swamiji Sri Satchidānandendra Saraswati, *Avasthatraya, or The Unique Method of Vedanta* (Holenarasipur: Adhyatma Prakash Karyalaya, 1938/2006). This writer feels blessed to have come in contact with Sri Sreenivasa Murthy of Bangalore who studied Vedānta for several years with Sri Devarao Kulkarni (who in turn was a gifted disciple of Swamiji Sri Satchidānandendra Saraswati). During his daily *Satsangs*, Mr. Murthy explained and clarified some complex Vedantic concepts – nay, "showed" them in author's own direct experience – in a manner that one seldom comes across these days. Mr. Murthy joyfully taught me how to take correct standpoint in the unchanging Witness Principle while studying Vedānta. My gratitude is too deep for words.

> When you awake in the morning, consciousness dawns. In this state of being conscious, you perceive a body, mind and world. These are appearances only, not what you are in essence. To identify oneself with any of these appearances gives rise to the notion of being a separate person, self or individual entity. This is the cause of all seeking, suffering and doubts. Consciousness is a state that comes and goes. In sleep, unconsciousness or under anesthesia, the experience of being conscious subsides....However, before you awoke and became conscious of anything else, including the fact of being conscious, you existed.
>
> Your fundamental position is prior to consciousness. From this non-conceptual source, which is what you are, arises initially the sense of conscious presence. This is also the sense of being, the experience that 'I am', or the bare fact of knowing that you are. This is the first appearance upon your original state. Little can be said about your essential nature because it is clearly beyond all concepts and even prior to consciousness. Some pointers that have been used are: non-conceptual awareness, awareness unaware of itself, pure being (beyond being and non-being), the absolute, the unmanifest, noumenon, cognizing emptiness, no-thing-ness – to name a few.
>
> This non-conceptual essence is pure non-duality or unicity in which the notions of both subject and object are merged. Just as the sun does not know light because it is light, so you do not know your original nature (as an object) because you are that. It is forever beyond the grasp of concepts and subject-object knowledge. Yet it is entirely evident and inescapable as that which allows you to say with utter certitude 'I am' and 'I know that I am'. Even when those words subside, you *are*. Even when the Consciousness that knows those words subsides, you *are*. Consciousness is the light of creation. But you are the primordial non-conceptual awareness, being or 'no-thing-ness' in which Consciousness and all subsequent appearances come and go. (Wheeler 2008)

We have provided this rather long extract because it captures the entire gamut of teachings about the Self as our true nature that is prior to the arising of all thoughts, emotions, experiences, and the three states. During the dream state, the mind conjures up a "dream ego" and "dream world" with its own coordinates of time and space. In deep sleep, the mind subsides fully but still "I," the true Self, continue to exist. Otherwise, how else would I be able to recall upon waking that "I slept well, I knew nothing," and so forth? It is everyone's own, undeniable intuitive experience that there is no "I am" in deep sleep. But upon waking, the experience of deep sleep is appropriated in the memory of having slept well. What is the common factor in all the three states? It is the presence of the invariable Self, because of which one says, I am awake, I dreamt, and I slept well. Obviously, I was present in the state of deep sleep as Pure Awareness, illumining the objectless, pure, subjective experience. The entity or the "ego" which appears in waking and dream is therefore not my real nature at all. My Real Nature illumines the states, Itself unchanging, uninvolved and untouched by their coming and going.

When sleep gives way to the waking state, the "me-notion" and the whole manifestation (with time, space, and causality) appear simultaneously. The waking state cancels out both the dream state and deep sleep state, with all their respective contents. But at no time, "I" can be canceled out. I, the Self, continue to subsist in and through all states. Since I am prior (*agrayam*) to the arising of the states, "I," the Self, is not conditioned by the states. This realization is truly unique, liberating, and transformative and represents the highest understanding regarding Self-knowledge. Śrī Dakṣiṇāmūrti Stotram, a short devotional text attributable to Śrī Śaṅkarācārya, distills the entire teaching on the subject in a short compass of few lines as follows:

> Self persists in all stages of life like boyhood etc., in all states like waking etc., and all other conditions,– among all these conditions which constantly manifest, the Self continuously illumine them as 'I am.'[64]

To conclude this section, we cite an important verse from Kaṭha Upaniṣad that encapsulates the methodology and glory of cognizing the Self as follows:

> *svapnāntaṁ jāgaritāntaṁ cobhau yenānupaśyati* |
> *mahāntaṁ vibhumātmānaṁ matvā dhīro na śocati* || 2.1.4 ||

Knowing that great and all-pervading Self by which one sees the objects both in the sleep and the waking states, the wise do not grieve.[65]

Likewise, the Bhagavad Gītā 2.11 begins with the message, "The wise do not grieve." The Gītā defines a wise person (*sthitaprajña*) as one who has developed equanimity of mind (*samatvam*) and steadily abides in the wisdom of the Self.

Uniqueness of Vedānta

Vedānta tells us that we are not what we take ourselves to be. We take ourselves to be limited, wanting, and mortal beings. Our experience also tells us that we are small, fragmented, limited beings. Essentially, all our pursuits are geared toward overcoming this sense of limitation and inadequacy. And we continue chasing one object after another, never really getting fully satisfied, no matter what we get. This also proves our fundamental search for everlasting fullness which is at the core of our being.

Vedānta uniquely tells us quite the opposite: that we are whole and limitless. If in fact we were limited beings, then no matter what we do, we will always remain limited, for limited actions cannot accomplish unlimited results. Vedānta tells us that we already *are* what we want to be – limitless, whole, and complete. Perhaps our conclusions about ourselves have been wrong all along. The ultimate aim of Vedānta is spiritual freedom through Self-knowledge. It is accomplished through experiential realization of the truth of the Self as Pure Consciousness, by oneself, in one's own experience. But Self-knowledge is no mere intellectual creed gleaned from reading books, for how can the Self be found in books. Sri Ramana Maharshi explains succinctly:

> As for reading books on Vedanta, you may go on reading any number of them. They can only tell you, 'Realize the Self within you.' The Self cannot be found in books. You have to find it out *for yourself, in yourself.* (Devaraja Mudaliar 2000b)

[64]Translated with explanation by Br. Pranipata Chaitanya. Retrieved Oct. 30, 2016: http://advaita-academy.org/shri-dakshinamurti-stotram-part-5/ [Adapted by the author] Br. Pranipata Chaitanya, my late revered teacher, patiently taught me the Bhagavad Gītā with Śaṅkara-Bhāṣya over Skype for a period of 3 years. His dedication to the tradition of Vedānta was truly inspiring.

बाल्यादिष्वपि जाग्रदादिषु तथा सर्वास्ववस्थास्वपि

व्यावृत्तास्वनुवर्तमानमहमित्यन्तः स्फुरन्तं सदा ॥७॥

[65]V. Panoli, trans., *Prasthanathraya Volume II*, p. 242 [slightly modified].

Elsewhere, Sri Ramana memorably explains that the Self *itself* is the best book to read to know the Self: "The Self is the real book. You can glance anywhere in that book; nobody can take it away from you. Whenever you are free, turn towards the Self. Thereafter you may read whatever you like."[66] Books at best are pointers to Self. One is reminded of a Zen story in which a young monk approached a wise old teacher and asked him to explain the Diamond Sutra. The teacher asked the young monk to read out the sutras as he himself didn't know how to read. The young monk was surprised and asked how the old man could explain the meaning if he couldn't even read the text. The old teacher pointed to the full moon shining brightly in the sky and asked what it was. On being given the correct reply he said, "My finger pointed to the moon. But the finger itself is not the moon. In the same way the words in the text point to the truth. But they themselves are not the truth."[67] When we understand this, we do not get attached to teachings.

Vedānta: The Art and Science of Harmonious Living

The key message of Vedānta is that Reality is One without a second (*ekamevādvitīyam*[68]). Postulating one single reality, Brahman, as the Absolute or Ultimate Truth of the world, Vedānta then equates this reality with the sole reality of our own Self, called *Ātman*. This fundamental Reality, the inmost Self of all and everything, is of the nature of Pure Consciousness. The goal of Vedānta is to establish the absolute identity, oneness, of the truth of the individual (*ātman)* and the truth of the universe (*Brahman*). Humanity has not yet conceived a loftier conception of its position in the universe.

Vedānta promotes harmonious living by garnering a vision of oneness of all existence. Outwardly, various forms of life such as plants, animals, birds, and human beings seem to be different from one another, but their underlying life principle of pure awareness, *the Consciousness principle*, is one and the same. From the spiritual standpoint, while interacting with the world and myriad beings, we must remember that they are all none but our own Self. If we perceive someone as different from us, we may have aversion or fear, but if we have the vision of oneness, we will see the other as our own Self, and fear or hatred will not arise.[69] This knowledge and awareness of Oneness should be retained in and through all our activities. This is the glory of the vision of Vedānta.

This understanding of the fundamental truth of oneness that we are essentially One Limitless Consciousness "strikes at the very root of narrow views based on selfishness

---

[66]Sri Ramana Maharshi, *Abide in the Self*. Retrieved Sept. 1, 2015: http://www.inner-quest.org/Ramana_Abide.htm.

[67]Author unknown.

[68]Chāndogya Upaniṣad 6.2.1.

[69]When to a man who understands that the Self has become all things, what sorrow, what delusion can there be to him who once beheld that unity? ~Īśā Upaniṣad verse 7.

and is the foundation of higher ethics. This higher Self is of the nature of Bliss, as displayed in our instinctive love of Self; and to recognize it in others is to bring social harmony, for no one will be inclined to harm himself. It paves the way for spiritual and moral perfection" (Krishanswamy Iyer 1969). By helping us perceive unity in diversity, Vedānta thus fosters a universal outlook of understanding, harmony, and inclusiveness so essential for present times. Sri Ramana put is so well: "Your own Self-Realization is the greatest service you can render the world" (Venkataramaiah 2000).

Vedānta deals with one and only one subject: the absolute identity of the individual self with the universal Self (*ātma-brahma-aikyam*). According to Vedāntic philosophy, spiritual liberation is not possible without realizing this identity, *aikya,* between the *Ātman* and the Brahman: *brahmātmaikya bodhena mokśaḥ sidhyati nānyathā*, says Śrī Śaṅkarācārya in *Vivekacudāmani* (56).[70]

In Vedānta, liberation means realizing Brahman as our own true self (*ātmā*): *Aham Brahma asmi*. Only those who know their self (as the limitless Reality) transcend worldly sorrow, *tarati śokam ātamvit*: Chāndogya Upaniṣad, 7.1.3. Since the bondage, *baṅdhana*, is only due to Self-ignorance, *avidyā*, the spiritual freedom, *mokṣa,* does not entail the creation of something new through some special spiritual practice; it is recognition of an ever-existing/proven thing/fact, *nitya siddha vastu*. That is why it is spoken of as the attaining the ever-attained (*prāptasya-prāpati*). It is a quest from *ignorance* to *recognition*, a journey from *here* to *here!*

Rekindling the Fire of Freedom in the Heart!

> *Freedom is available only to those who want it not merely more than anything else, but to the exclusion of everything else.*
>
> ~ H. W. L. Poonja ji[71]

It is said that Self-knowledge is discovered by those who want it single-mindedly to the exclusion of everything else. To explain this, sages often give the example of a person whose clothes are on fire, who is running toward a river so that he could jump in and quench the flames, or a person whose head is held under water and who wants to come out of water to breathe. There should be a sincere and intense longing in the heart of the seeker to realize the Self and to such seeker only

[70]See Pranipata Chaitanya, trans., and Satinder Dhiman, revised and edited with notes and an Introduction (2012). *Sri Sankara's Vivekachudamani: Devanāgari Text, Transliteration, Word-for-Word Meaning, and a Lucid English Translation* (Burbank, California: House of Metta, 2012), 102. http://www.lulu.com/shop/pranipata-chaitanya-and-satinder-dhiman/sri-sankaras-vivekachudamani/paperback/product-20465360.html.

The book is under revision currently. An e-book version of an earlier iteration can be accessed at http://www.realization.org/down/sankara.vivekachudamani.chaitanya.pdf.

[71]Poonjaji would say, "You are running towards the river with your clothes on fire. You have only one goal: to get to the water as quickly as possible. If you meet a friend on the way who invites you in for a coffee, do you accept his invitation, or do you keep on running?"

The Self reveals Itself. An important verse from the Kaṭha Upaniṣad 1.2.23 highlights this fact as follows:

> The Self cannot be known through much study, nor through the intellect, nor through much hearing. It can be known through the Self alone that the seeker longs to know. To that seeker the Self reveals Its own nature.[72]

The following elaborate parable taken from the book *The Fire of Freedom* illustrates this fundamental point:

> There was once a king who had no children. Since he was getting old and had no heir to succeed him, he decided to adopt one who would be the ruler of the kingdom when he died.
>
> He thought to himself, 'If I don't have an established heir in place when I die, there will be a lot of trouble in the kingdom after I die'.
>
> He called one of his guards and asked him to make an announcement that he would open the gates of his palace the following day from 6 a.m. to 6 p.m. and that all the people of the kingdom could come in and be interviewed for the job of being the next ruler. No one would be prohibited from coming in.
>
> The next morning crowds of people assembled at the gate, each of them hoping that he or she would be the next ruler. They were greeted by the guards and the courtiers.
>
> One of the courtiers announced, 'You are about to meet the king and be received by him. You must look good when this happens. Look at you all! Some of you are just dressed in rags. We will clean you all up, give you a nice bath, feed you and give you some nice new clothes, and then you will be presentable to the king. Come with us.'
>
> Everyone was taken into the palace and offered all the facilities that the king enjoyed. For this one day all the visitors had the run of the palace, which meant that they could take and consume whatever they wanted. Those who were interested in perfumes collected bottles of perfume; those who were interested in clothes collected many items of clothing. Other people luxuriated in the king's baths, ate his food, and watched his dancers and singers perform. This went on all day and everyone forgot what he or she had come to the palace for.
>
> The king waited in his throne room, but no one went there to see him because all the candidates were too preoccupied with enjoying themselves with the king's luxuries. At the end of the day, at 6 p.m., when no one had shown up to claim the throne and the kingdom, the king withdrew his offer and asked everyone to return home.

If anyone had gone to the king immediately, without getting sidetracked, all these treasures would have been his or hers permanently, not just for a few hours. But everyone forgot the purpose for which he or she had come to the palace. The throne of the kingdom of liberation is waiting for anyone who wants to walk in and claim it, but these *jivas* all get sidetracked into enjoying pleasures and accumulating possessions. In this instant look at your own Self. Reject transient pleasures and run inside

[72]Translation adapted from Gambhirananda, *Eight Upanisads*, p. 157, and V. Panoli, trans., *Prasthanathraya* Volume II, p. 212:

नायमात्मा प्रवचनेन लभ्यो न मेधया न बहुना श्रुतेन।
यमेवैष वृणुते तेन लभ्यः तस्यैष आत्मा विवृणुते तनूँ स्वाम्॥1.2.23॥

to meet your inner king. Once you have done that, the whole kingdom will be yours.[73]

Concluding Thoughts

Building upon the key Vedāntic understanding of Self-knowledge, this chapter presented time-honored insights to effect Self-transformation. Self-knowledge is the knowledge that 'I am the Self.' Through powerful stories, anecdotes, vignettes, poems, and quotes, the chapter demonstrated that the key to abiding fulfillment lies in discovering our true Self. It pointed out the obvious but often overlooked fact that there is nothing more intimate and immediate than the Self. The knowledge of the Self is therefore most direct and intuitive devoid of the subject-object dichotomy. Attaining the ever-attained Self-knowledge is not a new acquisition. As the Witnessing-Consciousness of the proceedings of senses, mind, and the ego, it is always already present. To *know* the Self is to *be* the Self. And to be the Self is to be fulfilled forever. This, then, is the true fulfillment of the Delphic Oracle (*gnothi seauton*): get to know yourself!

Just as in the presence of sunlight and space, all actions take place, but both the sunlight and the space remain unaffected by them, even so in the light of the Self, all actions take place while the Self (साक्षी चैतन्य, Witnessing-Consciousness Principle) remains unaffected (असंग). When this knowledge becomes a living experience, one is freed from the noose of actions (and their binding effects) and attains liberation. This knowledge is called Self-knowledge, the only direct path to spiritual freedom. Sages tell us that this knowledge is not possible until our heart is pure and mind is free from wayward likes and dislikes ((राग-द्वेष). All other spiritual practices purify the mind and prepare it to receive this knowledge.

There is no wealth equal to Self-knowledge in the whole creation. Its glory is such that it makes people walk away from the kingdoms. The Buddha is a case in point. He was a prince. He gave it up all to discover the truth of his existence. Today he is revered not because he was a king to be, but because he renounced the transient kinghood *without* and discovered the eternal kingdom *within*. What he found has inspired billions ever since. To know the Self is to realize that there is nothing "personal" about it – in the sense of "myself" or "yourself." Since the true Self is at one with the Absolute Reality, to know the Self is to realize our oneness with all that is. Self-knowledge confers upon us the wisdom to see all existence as the expression of our very own Self and spontaneously act for the well-being of all beings. Selfless love and compassion naturally flow out of this understanding of unity and oneness of all life. This is the flowering of Self-knowledge in the form of Self-transformation.

---

[73]Excerpted from David Godman, *Mostly about Books: Recording the Lives and Teachings of India's Gurus*, 50–53. E-book retrieved August 24, 2016: http://davidgodman.org/interviews/mostly-about-books.version-2-b.pdf.

Swami Paramārthānanda shares the following Mullah Nasruddin story that beautifully sums up the entire gamut of Vedāntic path, the seeker, and the goal:

Drawing the Moon out of the Well!

The Mullah, on his travels, reached a village late at night and, passing a well, looked down into it. And he saw the moon. Jumping to the conclusion that the moon must have fallen down the well, he rushed to find a rope and hook so that he could pull it out. After many unsuccessful attempts, the hook finally caught and he began to pull with all his strength. What had happened, of course, was that the hook had lodged under a heavy rock but he firmly believed that he was now rescuing the moon. Unfortunately, the rock was too heavy for the rope and, after a final tremendous pull, the rope snapped and the Mullah fell back onto the ground from where, looking up, he saw the moon now resting back in its usual place!

According to Swamiji, this story is a metaphor for the process of Self-knowledge leading to Self-transformation. We believe that we are limited and struggle through years of spiritual practice until, when the rope finally snaps, we discover it right where we are (Waite 2011). The root of all seeking and suffering is the lack of knowledge of our true self. Due to this, we take ourselves to be a limited, separate entity. However, when we look directly at our experience, we find that we have this abundant space of radiant awareness-presence which is ever-full and eternally fulfilled. Self-knowledge is only a matter of becoming aware of what you already are! Perhaps the greatest affirmation on the subject is found in the Chandōgya Upaniṣad 6.8.7: You are That! (*Tat Tvam Asi*: तत्त्वमसि). Self-transformation is the fruit of Self-knowledge.

We conclude this chapter with the following poem on the self-revealing, self-shinning, self-evident glory of Self-knowledge:

Already, Always the Self!

All states of mind come and go.
No such thing as 'permanent' state of mind.
Mind disappears daily during deep sleep.
Thankfully, you don't.
Therefore, YOU are not the mind!
When sleep gives way to the waking state,
'Me' and the 'world' appear simultaneously.
The 'me-notion' and the manifold-manifestation:
Appearances only within waking and dream states.
YOU are prior to these states.
In fact, you are prior to all the states!
The states are mere 'appearances'
on YOU, of YOU –
likes waves on the ocean.

YOU abide in and through the three states
of waking, dream, and deep sleep;
And yet prior to them and beyond them.
YOU are the very source of All and Everything!
Notions of time, space, and causality arise within the states.
Being prior to the states,
YOU are not bound by time and space.
Time and space are mere appearances within You!
How can YOU be bound by time and space?
Likewise, the ego appears and disappears,
with the appearing and disappearing of the states.
It is just a self-cherished thought which comes and goes.
YOU are not the ego you fondly take yourself to be.
How can that which comes and goes
be your real nature, your true Self?!!!
Not bound by time and space,
Your true nature is
Eternal and All-Pervading.
Cognize this fact within yourself by yourself!
Abide in the Glory of the Self – The Infinite, the Eternal, and the Immutable.
Be Free, which YOU are
Already, always![74]

Song of the Self!

Your Self is already here, always.
It does not come and go.
You cannot take it, you cannot leave it.
That which is true is always with you!.[75]
The Sages remind us that life is short and can end anytime.
Therefore, one should first resolve the fundamental question –
"*Who Am I?*" *– within oneself, by oneself.*
Bon voyage and Godspeed!

Key Pointers to Self-Knowledge

The point of these pointers is to lead us home which we have never left!
Self-knowledge is the knowledge that 'I am the Self.'
It deals with who and what we truly are.
The Self, our true nature, is the ever-present awareness of our own being.

[74]Satinder Dhiman, *Songs of the Self* (Sept. 27, 2016). From the author's collection of unpublished poems. Dedicated to all my teachers in Vedānta who gave me what cannot be taken.
[75]"That which is true is always with you." A Song composed and sung by John Wheeler.

1. What is Self-knowledge? Who am I? What is my true nature? All three questions point to the same thing: the innate, essential reality of our being. The knowledge of our true nature leads to self-transformation.
2. Our being is never in question. There can never be a doubt about:
   (a) Do I exit? (b) Am I aware?
3. Our true nature is nonconceptual Presence-Awareness which is the source and substratum of all manifestation. All experiences (sensations, perceptions, feelings, thoughts) take place within this Pure Awareness. It is *pure* in the sense that it is untouched by any second thing. It is One, without a second (e*kamevādvitīyam*).
4. Self-knowledge is the most direct, intimate, immediate knowledge of the fact of our being*ness* or presence-awareness.
5. Our knowledge of the world *appears* to be direct, but in reality it is only a *mediated* knowledge – knowledge experienced through the medium of the five senses and the mind.
6. Self-knowledge, the knowledge of one's own true nature – being of the nature of awareness itself – alone is *direct* and *immediate* intuitional experience (*sākṣāt-aprokṣāt*).
7. We *exist* and we *know* we exist (*Sadeva Chit Chideva Sat*). These are the only two facts that can never be denied, doubted, or negated. Self cannot be denied: It is logically impossible to aver, "I am not." Self cannot be doubted: Your own being-presence is beyond any doubt whatsoever.
8. Because it is our essential nature, and because it is already present spontaneously, it tends to be easily overlooked.
9. "I am" is a self-evident fact. "Who am I" is a *discovery* and a *revelation*. I know I am, but I do not know that I am Limitless Awareness, Brahman. My true nature needs to be *revealed* to me. How so? Even if we have eyes, we still need a mirror to see our face. Vedānta – the science of truth about our existence – acts as a mirror to reveal the true nature of "who am I."
10. Vedānta says you are not the limited "body-mind-senses" complex that you take yourself to be. You are One *limitless* Consciousness. Know yourself to be so and be fulfilled.
11. You *are* already what you seek. Self-knowledge is not a fresh attainment or a new acquisition: It is always already here, right now. It is an ever-existent fact of our being, ever-present to be discovered and recognized as such.
12. Self-knowledge is not a journey of *becoming*; it is a matter of *being*. How can you become what you already are?
13. Self is self-existent, self-evident, and self-established. Self-shinning like the sun, our presence-awareness is always there as a substratum of all our experience.
14. Strictly speaking, Self-knowledge is *not a journey*; it is a *homecoming*. As Sri Nisargadatta Maharaj once said, "What you seek is so close to you that there is no place for a way." The metaphors of path and journey are eminently misleading.
15. In the realm of Self-knowledge, the concepts such as "seeking" or "searching" could become a trap, for the *seeker is* the *sought*. *What you are looking is what is*

looking. Seeking Self-knowledge is like looking *for* glasses, while looking *through* them all along!

16. If you are looking for Self-knowledge in a book or by going places, know that your search is misdirected. Paradoxically, every step *toward* Self-knowledge is a step *away* from it. The journey of self to Self, a journey of recognition, is from *here* to *here*.
17. Being of the nature of ever-present fact (*nitya vartamāna svarupa*), it is already attained. Therefore, it's recognition as such is called accomplishing the ever-accomplished (*prāptasya prāpati*).
18. Like eyes can never "see" themselves, you can never "know" yourself – as an "object," for you are the ultimate "Subject." The great sage, Yajñāvalkya, concludes his teachings, inquiring, "Through what should one know That owing to which all this is known!" [*Bṛhadāraṇyaka Upaniṣad* 4.5.15]
19. We are constantly saying "I" "I" all day long, all lifelong. We rarely pause to think what does this "I" really mean. Self-knowledge is the art of closely examining the truth of "I."
20. For the most part, we *mistake* our Self to mean our "ego" or "psychosomatic apparatus" or the "me-notion" that somehow stands apart from the core of being.
21. Upon examination, ego as such is found to be nonexistent, like water in a mirage. Ego turns out to be just an unexamined notion/assumption, a mere concept arising in the mind which comes and goes.
22. Does your "ego" *exist* during deep sleep? Does your being *cease* to exist during deep sleep?
23. Through Self-inquiry, once we directly come to know/see/realize that the ego is just a false assumption – an imposter – the game is over. All conflicts cease, for all problems arise from taking oneself to be a *separate self* that somehow stands apart from the deeper harmony of things.
24. Unless this fundamental point is grasped, most spiritual seeking remains futile, like rowing a boat that is tied to a post. One has to first untie the knot of ego above all before embarking upon the spiritual quest. Paradoxically, the *first* step is the *last* step.
25. Self-knowledge is a journey from the *pseudo* "me" to the *real* "I." Self-transformation is the fruit of Self-knowledge.

Cross-References

► Bringing Mindfulness and Joy to Work: Action Research on Organizational Change
► It's Not What You Do, It's Who You Are

References

Chang L (ed) (2006) Wisdom for the soul: five millennia of prescriptions for spiritual healing. Gnosophia Publishers, Washington, DC, p 436

Chittick W (2015) BĀBĀ AFŻAL-AL-DĪN, poet and author of philosophical works in Persian. Retrieved 30 Aug. http://www.iranicaonline.org/articles/baba-afzal-al-din
De Mello A (1988) One minute wisdom. Doubleday, New York, p 97
Deutsch E (1973a) Advaita Vedanta: a philosophical reconstruction. The University of Hawii Press, Honolulu, p 3
Deutsch E (1973b) Advaita Vedanta: a philosophical reconstruction. The University of Hawaii Press, Honolulu
Devaraja Mudaliar A (2000a) Day by day with Bhagavan. Sri Ramanasaramam, Tiruvannamalai, p 181
Devaraja Mudaliar A (2000b) Day by day with Bhagavan. Sri Ramanasramam, Tiruvannamalai, p 1. emphasis added
Frydman M (2012) tr., I am that: conversations with Sri Nisargadatta Maharaj, 2nd American revised edn. The Acorn Press, Durham, p 196
Gambhīrānanda S(1957/1991) Eight Upaniṣads with commentary of Śaṅkarācārya, 1. Advaita Ashrama, Calcutta, p 67
Giri SY (1984) The holy science. Self-Realization Fellowship, Los Angeles, p 6
Godman D (ed) (1985) Be as you are: the teachings of Sri Ramana Maharshi. Arkana Penguin Chapters, New York
Hesse H (1982) Siddhartha (trans: Rosner H). Bantam, New York, p 69
Huxley A (1962) Island. HarperCollins Perennial Classics, New York, p 41
Krishanswamy Iyer KA (1930/1991) Vedanta or the science of reality. Adhyatma Prakasha Karyalaya, Bangalore, pp 137–138
Krishanswamy Iyer KA (1969/2006) Collected works of K. A. Krishnaswamy Iyer. Adhyatma Prakash Karyalaya, Holenarasipur, p 239
Mādhavānanda S (1934/2008) trans., The Bṛhadāraṇyaka Upaniṣad with the commentary of Śaṅkarācārya. Advaita Ashrama, Mayavati, pp 83–84
Maharshi R (2002) The collected works of Sri Ramana Maharshi. Sri Ramanasramam, Tiruvannamalai
Nikhilananda S (1987) Self-knowledge: Atmabodha. Ramakrishna-Vivekananda Center, New York, p 45
Pirsig RM (2006) Zen and the art of motorcycle maintenance: an inquiry into values, 1st edn. HarperTorch, New York, p 249
Prabhavananda S, Isherwood C (1975) (trans.) Shankara's crest-jewel of discrimination. Vedanta Press, Hollywood, pp 68–72
Raghunathan N (1976/1981) trans., Srimad Bhāgavatam, vol. 1. Vighneswara Publishing House, Madras, p 118 [emphasis added]
Satchidananda Murty K (1959) Revelation and reason in Advaita Vedanta, vol 3. Columbia University Press, New York
Sivananda S (2009) Essence of Vedanta, vol 148. The Divine Life Society, Rishikesh
Thompson BM (2002) The odyssey of enlightenment: rare interviews with enlightened teachers of our time. Origins Press, New York, p 282
Veerendrakumar MP (2008) In publisher's note to V. Panoli, trans., Prasthanathraya Volume-IV Chandogya Upanishad. Mathrubhumi printing & publishing Co. Ltd., Kozhikode, p vii
Venkataramaiah MS. compil.(2000) Talks with Sri Ramana Maharshi. Sri Ramanasaramam, Tiruvannamalai, p 16
Waite D (2011) The book of one: the ancient wisdom of Advaita. O Chapters, Winchester, p 289
Wheeler J (2002) The light behind consciousness: radical self-knowledge and the end of seeking. Non-duality Press, Salisbury. v
Wheeler J (2008) The light behind consciousness: radical self-knowledge and the end of seeking. Non-Duality Press, Salisbury, pp 3–4
Wheeler J (2012) Full stop! The gateway to present perfection. Non-duality Press, Salisbury, p 31. emphasis in the original
Zubko A (2000) Treasury of spiritual wisdom. Motilal Banarsidass, New Delhi, p 225

Personal Transformation: The Next Big Risk

Peggy O'Neal

Contents

Abstract

Transformational change is most useful when you have audacious commitments, without a clue as to how they will be achieved. This chapter begins with the meaning of transformation, which informs us that a necessary component of

P. O'Neal (✉)
Peggy O'Neal Global, Dallas, TX, USA
e-mail: peggy@peggyonealglobal.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_74

transformation is a substantive change in context, or way of being. Next we explore elements of the language of transformation, including change, commitment, choice, declaration, assessments, and desire. Since each of these distinctions plays a key role in our ability to transform, we want to make sure we have a common understanding of terms. A model to illuminate three intertwined aspects of our way of being is explained as a way to undertake the journey of transforming our way of being. Examples of transformation are provided, including (1) a relationship with a particular aspect of life, which herein is commitment; (2) accomplishing major life aspirations; and (3) its application to a short-term, immediate goal. There are challenges to be aware of as well, including our personal history, identification with our identity, cultural pressure, and our ability to be devoted to our path through discipline. This chapter concludes with the potential future of transformation as a lifelong path for the evolution of individual lives as well as for the Universe.

Keywords
Assessments · Authentic · Challenges · Commitment · Declaration · Evolution · Language of transformation · Model · Risk · Spiritual

Introduction

Transformation requires a commitment beyond the usual. There are no guarantees, ways to plan, or know when transformation will occur. It happens in its own time, when you and the Universe are ready. Hence, it's a risky path, filled with hope, adventure, curiosity, pitfalls, angst, setbacks, and uncertainty, all of which support us to experience being fully alive. It is not unlike the courageous step taken as a leap of faith by Harrison Ford's character in *Indiana Jones and the Last Crusade* (Lucasfilm 1989). He is desperate to reach the Holy Grail, which clues in his guide book indicate is on the other side of the chasm on the edge of which he is standing. He hears his father reassuring him to believe and steps into the void above a seemingly bottomless ravine. As he places his foot down, a bridge is revealed which had been hidden all along. Such desire, determination, courage, belief, and faith are key to our individual journeys of transformation.

What is the "insanely bold" (Burrus 2013) future that the most audacious you would declare, right now, if you knew for sure it was possible?

The path of transformation can take you there.

The audacious me dreams that the places where we work every day become environments that model how the world could be. People learn how to be citizens of the world in our offices and manufacturing plants and retail stores and professional services suites. Whatever we do 6, 8, 10, 13, or more hours a day we become. Aristotle said it, "We are what we repeatedly do." So, I say that to let you know this chapter is written with very practical purposes in mind, grounded in personal experience and in my own professional work with others, not from a superficial, hallucinogenic, magical-thinking way of understanding and relating to the world, and human possibility.

The audacious me is also pursuing the integration of lifelong personal transformation as a given in adult life, much as traditional education and brushing teeth are natural and one wouldn't think of not doing them.

Again, What is the "insanely bold" (Burrus 2013) future that the most audacious you would declare if you knew for sure it was possible? And, if you don't have an answer to that question, maybe a question for you is, Who is the audacious me, and what would I declare as that being?

We are all so much more than we can imagine right now. Spiritual leaders tell us that (Almaas 2008). Those who write about Quantum Physics tell us that. All matter is comprised of energy which is pure potential, pure possibility, and it is when that energy is observed, that it acts consistent with the observer. That means that what we see and experience is influenced by who we are. And, everything exists in relationship with everything else. I love how Lynne McTaggart describes who we are, "You and everything around you are simply a collection of charged energy having a relationship" (McTaggart 2011, pp. 11–12).

"[T]he universe is in us. . . . [Our] atoms came from [the] stars" (Tyson 2012).

A transformational approach to bold, authentic dreams is probably the most likely way you will bring them about. If you know right now how you could realize them, or know that if you came up with a good team and a good plan, you could accomplish them, you don't need transformational engagement. Some of the elements of a transformational process might be useful but not necessary. Your usual game-winning strategies are wonderful and should be utilized.

Transformation is most useful when you have incredible aspirations and not a clue how they will be achieved and maybe even doubt the possibility. Or, you want to pursue a lifelong path of transformational evolution. I will speak to both of those here, as well as how transformation can be experienced with regard to specific insights or domains.

We begin by laying a foundation for our approach using explanations of transformation from two key authors in the field. Then we explore the language of transformation, including change as it relates to transformation, commitment, choice, declarations, assessments, and desire. You will next find two models that illustrate the interrelationship between our way of being and our results. This allows us to observe aspects of ourselves that we want to alter through practices in order to align our being with our authentic desires. How to design and use practices is the next topic, followed by challenges that will more-than-likely be faced. Finally, an appeal for the pursuit of lifelong learning and transformation as a fundamental priority is presented.

At this point, you may be saying that you don't have and can't imagine having audacious desires. You don't need those to explore transformation and its application in your life. Yet, as you continue to read this chapter, you may invite yourself to consider transforming your relationship with desires and what you truly, deeply want.

What is the Meaning of Transformation?

Let's look at how two authorities, Hanley (1989) and Erhard (1984), define transformation.

> To *transform* means to change in composition or structure, to change in character or condition, to convert. Thus, a transformation is an act, process, or instance of substantive changing. . . .
>
> Another way to say this is that the *context* from which you operate can *always* change even if some of the facts of life cannot. "Context" is the invisible environment, the interrelated conditions, the structure of interpretation in which your life occurs. The context of your life is like water to a fish. The fish doesn't see the water, isn't necessarily aware of the water, doesn't think about the water. And yet, everything in a fish's world is consistent with and generated from the fact that the fish exists in water. Similarly, everything that shows up in your life, every word you speak, and every action you take is naturally consistent with and indicative of your context (Hanley 1989, p. 33)

I attended my first Lifespring training in 1986, and when I learned that I couldn't just fix my life, I was fairly annoyed, to say the least. I wanted a solution to the issues I had. However, I discovered that transformation was the only path for the life I wanted. My context at that time didn't support my dreams.

The quote above and the next one are from two extraordinary men, who were pioneers in the human potential movement and offered transformational experiences to many thousands of people. Both the men and their work have mixed and controversial reviews, but I continue to be incredibly grateful for my personal experience with the Lifespring trainings, as a participant and later a trainer and area director.

Werner Erhard, who founded est, and continues to work in the field of transformation, said:

> It is in *being* transformed – in being authentically true to oneself – that one lives passionately free, unencumbered, fearless, committed. . . .
>
> This is the work of transformation: this revealing of ourselves to ourselves, which occurs in a profound way that alters the very possibility of being that we are: Inescapably. Decisively. Forever. . . .
>
> Transformation offers no formula for achieving success. It contains no prescription for living, no answers to dilemmas of existence, no magical code to unlock the mysteries of human life. Instead, what transformation makes available – as an inescapable presence – is the moment-by-moment choice from which the realities of our lives are shaped.
>
> Transformation is not an alternative. It releases no hidden potential; it changes no facts; it adds nothing to that which we already know. Rather, in the moment of transformation, we shift our attention from acquiring or mastering rules for survival in our personal lives, to asking and engaging authentically with the questions, "What does it mean to be human? What is the possibility of living?" In the asking of those questions, we are empowered to express those possibilities in our lives and our relationships.
>
> These questions produce no answers to, or definitions of, fundamental issues that are, for most of us, a part of being alive. Instead, in the asking of them, we deepen those same questions, unmask our common assumptions, and begin to think creatively – *to think for ourselves*. In so doing, we come face to face with our original choice in the matter – with the fundamental ways of being that we adopt, and that we create, for our lives (Erhard 1984).

We will explore ways of being in the sections that follow. But first, we will examine several words and concepts we use and relate to regularly, a certain understanding of which is key to proceeding skillfully with the form of change that is transformation. They are: change, commitment, choice, declaration, assessments, and desire.

Language of Transformation

Distinguishing the Process of Change from the Process of Transformation

Transformation is a particular form of change. Change is often approached in this way: a person doesn't like the circumstances she is in, so she wants to change those circumstances and will devise a plan. She might not like her relationship with someone who reports to her and decide that that person should attend a class or receive coaching so he will change and the relationship can get better. That could be a solution to that problem and might actually produce the desired results, depending on how the employee is enrolled in the process and the efficacy of the programs he engages in. That is not, however, transformation on its face. The manager is viewing the situation as a problem to be fixed, and as I've presented the situation, assumes that she is not part of the problem. A focus on problem solving leads to wanting an answer and a resolution; a focus on transformation leads to new possibilities. In addition, with a context of solving problems, there usually will be more problems to resolve.

The manager could also decide that she is "the problem," or at least a participant in it, and decide to learn new skills. Again, that may or may not be useful but is not transformation if only skills are learned and applied.

A transformational approach would mean that the manager acknowledges that the relationship she has with the coworker as well as with the situation is contributing to and sustaining the current state of the relationship and situation. Transformation, then, would involve her transforming, or changing, her way of being, or context, in relationship to the coworker. This will be clarified further shortly.

Another aspect to change is whether or not we believe we can change. For us to be able to change in a transformational way, we want beliefs that support that we can change. For example, many people believe that once they reach a certain age, they are "fixed"; they are who they are. With that belief, it is unlikely that transformation can occur. At some point, they may become aware that change is possible, become so uncomfortable or have some awareness about a possible future that they become open to the possibility of change, of course. As you're reading this, you might want to explore for yourself what your beliefs are about change and transformation, if you are interested in pursuing change in your own life or to support others. Scientific research proves we can change our personalities, intelligence, behavior, even brain structure, and our bodies with intention and practice (Siegel 2017, pp. 184–185).

Commitment

Embracing commitment in an empowering way is supportive for any developmental work. We want to explore what the word "commitment" actually means and a way of relating to it that enhances our ability to accomplish desired results. It is defined by the online dictionary: "an agreement or pledge to do something in the future" (Merriam-Webster 2017, commitment).

If you read the entire definition, there is a feeling quality of being imprisoned. My experience of being fully committed to something is actually freeing. That is because my commitments determine what I focus on and direct my actions toward; it is like a radio station that I can tune into. Committing is not trying or hoping or wishing; it is doing whatever it takes. As Yoda said, "Do. Or do not. There is no try" (Lucasfilm 1980).

We want to move beyond the concept (having information) of that admonition that there is no try, and actually live it, or know it, in all of our being.

> Confusing having information with knowing has left out the emotional and aesthetic dimensions of knowing, plus the intuitive and spiritual aspects of our connection with the world. We have developed our learning practices as a frantic pursuit of more information, relating with the world as if all we can do is to explain it in order to use it, in a gruesomely utilitarian fashion.
>
> I believe that our philosophy of learning and our learning practices must include *and* transcend our concern for conceptual knowledge and effective action; they must also be able to illuminate the paths toward wisdom and effective living (Olalla 2004, p. 9).

We've all heard about and use quite extensively the word commitment or variations thereof. "I am committed to that project." "I commit to meet the deadline," and so on. And, you have lived consistent with commitment but possibly haven't reflected on what commitment means to you and how you engage with it. For example, you probably make sure your children get to school on time every day. Or, you get to the gym five times a week for an hour. Or, you meet your friend for lunch at the time and place you agreed to. All of those situations involve keeping your commitment to yourself and/or others.

Living consistent with commitment doesn't mean keeping commitments only when it's convenient or justifying not meeting a commitment with a good excuse. That being said, we are human and life happens, so we won't always keep our commitments. It's our relationship, however, with commitment that is key here.

My first experience of transformation came during a human potential workshop. I learned about and experienced the distinction called "commitment," which totally transformed how I engage with commitments. For background, I was a practicing lawyer at the time. I always kept my promises and met deadlines necessary to be a responsible professional. However, there was a mechanical approach to it, meaning that it was what I did to do my job exceptionally well. I wanted to be well-respected and a leader in my field. However, I'd never thought much about what commitment meant; I just did what I needed to do.

Near the beginning of the workshop, I promised to do something that at the time I made the promise knew I would not do. I didn't want to be confronted about my decision by the facilitator, thought that no one would ever know, and I didn't have any qualms about it. To me, it was no big deal. This workshop covered several days, and eventually the facilitator reminded us of the promises we had made that first day. As he was reviewing them and addressing what commitment meant, I was appalled at what I had done and the thoughtless way I had engaged. I realized that making promises and keeping them was much more meaningful than doing what one was supposed to do when it was convenient. I began to appreciate the impact of my actions on other people and that they, consciously or unconsciously, were making decisions about who I was, based on whether I did what I said or not.

I realized that my word was an expression of who I was as a human being and what mattered to me; it wasn't mechanical any more. I learned both conceptually and experientially that commitment meant honoring myself as my word and doing whatever it takes to meet the commitment. (As an aside: this doesn't mean that I am perfect and never fail to achieve what I commit to or that I don't renegotiate commitments in a responsible way.)

My relationship with the distinction of commitment totally shifted. From that moment forward, whenever I made a commitment to do something, I followed through, without letting excuses, justifications or reasons be equal to having accomplished it. What I mean by this is that many of us make a promise to do something, such as exercise five times a week for an hour, and if we only go four times, we tell ourselves a story about it in the form of an explanation, or excuse, for why we didn't follow through with that promise to ourselves. If the promise we made and didn't keep involved other people, we do the same thing: provide a good reason for not keeping it, and usually the others are culturally obliged to accept it and move on. It's an unconscious conspiracy we have.

We have collapsed having the results we said we were committed to and a good explanation for not having the results. If a person has a good or culturally acceptable reason for not meeting a commitment, we act as if they did meet it. However, we either have our excuses and justifications or we have met our commitment; we cannot have both. They are not the same. This overview is not to imply that when we don't fulfill a promise that we are bad persons. What we can do when we don't meet a commitment is acknowledge that fact, apologize, forgive, offer what we will do to make up for the broken promise, and what will be different in the future, if appropriate. Due to our cultural way of relating to commitment and promises, it can take awhile before we feel comfortable merely acknowledging a broken promise and not offering an excuse in the same breath!

My whole way of being in relationship to commitment has transformed since learning about and experiencing this distinction. I have embraced keeping commitments as a way I wish to relate to myself and the world. I wanted to honor myself and my word, i.e., do what I say. That way of being was consistent with who and how I wanted to be in the world; my context, or way of being, shifted with regard to the distinction commitment.

The relationship with commitment as offered here is essential to the work of transformation, because a person will be more skillful and more likely to be successful in his transformational journey.

We always know what we are committed to, based on the results in our lives and the language we use. We reveal ourselves to ourselves with our words and our actions. Those reveal who and what we are committed to (Yeaman 1990).

And, there are certain circumstances that we of course didn't cause or create, such as floods that might have damaged our belongings. We do, however, have the ability to choose our relationship with those circumstances. There are people who live their lives saying they have created everything in their lives, including their parents and events such as floods, but I am not suggesting that here.

Given that our results and/or our relationship with results in our lives reveal what we are committed to; it is important to distinguish commitments from promises. Promises are agreements that I may or may not fulfill. If I fulfill them, they were also commitments. If I did not fulfill them, they were not commitments. Also, I cannot be overcommitted; I can over promise, but I can't overcommit, because I will do what I'm committed to and won't do what I'm not.

The purpose of these explanations is to bring awareness to our unconscious use of language and the crazy-making it can cause for ourselves and others. It is not to make us wrong, rigid, or manipulative. Also, the intent is that this information not be turned into jargon and used as that proverbially hammer to apply these concepts against yourself or others. The offer is to authentically embrace the meaning of them and engage them skillfully to support you to achieve your bold dreams.

We experience commitment in our bodies. The next time you commit, or promise, to do something, pay attention to your overall experience. You can tell if your intention is to fulfill the promise, or merely try to fulfill it. Remember that we want to move from concept to experience. Transformation cannot occur through intellectual understanding and awareness alone. It is a process which involves the whole human being. Many people understand commitment and promises intellectually but don't embody and embrace the distinctions and their possibilities. I've known many people who can talk about commitment and promises and teach it but don't walk their own talk. I can't emphasize enough that on our journeys of transformation, honesty and integrity are key to supporting the process. Why would we want to slow ourselves down? And, if we do, it's another great opportunity for self-reflection.

Choice

Our relationship with choice will influence our transformational journey. The online dictionary defines the verb "choose" as "to select freely and after consideration" (Merriam-Webster 2017). Decisions and actions are being made by each of us all day long, and often it seems that we aren't able to select freely or don't actually have a chance to consider making a choice, such as when we're yelled at by a superior. There are different philosophies about choice that we won't get into here. But, as we will see ahead, we can choose our interpretations and context from which we relate to life and our relationship to “choice can influence your effectiveness and the quality of your experience” (Hanley 1989, p. 135).

We can tell from our language a great deal about our relationship with choice. “I can’t do that,” implies that no choice is being made. As soon as I justify my choice by saying or thinking that someone else is making me do this, or that I have no other choice, I am diminishing my agency, which will influence what I feel, my mood, and how I engage in my next activity. I can choose to relate in this way: “No one else is making me do this; I’m choosing to do this.” Or, if it doesn’t seem supportive to think in that way, maybe I could choose to relate in this way: “I at least have a choice about my relationship with what I’m being ‘forced’ to do. What do I want to focus on and experience while I’m doing this?”

Over my 30 plus years of coaching, I have had many people say, “I don’t have a choice; I can’t quit my job. I have to have insurance.” Or, “I have a family to support.” To date, everyone who has said that to me has said it without reflection; it was an automatic, knee-jerk reality to them. And, until one KNOWS he has a choice, in his experience he truly doesn’t have a choice.

Let’s explore the example in the paragraph above at a deeper level. From my point of view, a person does actually have a choice to stay in a job or leave a job. The person could quit his job and there would be some changes in circumstances, or consequences, positive ones and not-so-positive ones, due to the choice. The fact that the person stays in the job probably means he would rather keep it than experience the consequences of not having that job. Can you see that a choice is made?

A person could be self-employed and have health insurance; he would just have to be sure to make enough money to pay for it, and of course, experience the risks and uncertainty that go with being on his own. He may choose that he would rather keep the job than deal with the situation of being self-employed. And that is fine; what’s crucial for our topic is to acknowledge the authentic choice.

With transformation, we want a relationship with choice that will support us in returning our focus to what matters to us, no matter the challenges.

Many people also dislike their jobs very much. That is a choice as well: to dislike the job. I propose that we are able to choose what we feel once we become aware, and how we relate to situations even in those circumstances that we know we would never have chosen for ourselves or others. Viktor Frankl was a professor of neurology and psychiatry and during World War II spent 3 years in Auschwitz, Dachau, and other concentration camps. He said, “that everything can be taken from a man but one thing: the last of the human freedoms – to choose one’s attitude in any given set of circumstances, to choose one’s own way” (Frankl 1992, p. 75).

And, there are also those momentary situations where something happens, such as someone who is expressing anger at me and my immediate reaction is to yell back or feel angry. Whether I had a choice at that time is open to debate. However, once I become present after the initial shock, I hopefully can remember that I have a choice about what occurs next. It takes practice to be present and to remember to be present.

It is important for the person to relate to the transformational process as if she is choosing everything she is doing. Let's say she has retained a coach to support her. I'm going to split some hairs here. If the person does what the coach suggests, she is obviously choosing to do so. However, it is the relationship with the choosing that is critical. Is she choosing because a good person would be a good student or client? Is she choosing to take the actions and do the practices because she's paying good money for the advice and coaching? Or, is she choosing because she is observing herself making the choice, choosing because she is free to choose and because she is engaging the practices as if she created them herself?

As she engages in transformation, she will be regularly choosing to stay the course. She will find that she leaves the course, as a sailboat crossing an ocean gets blown off course. She will get off course, notice, and then can choose to adjust and get back on course or stay off. Either way is fine. Therefore, she must be aware of her relationship with choice, with the process, and with who she is so that she sees herself as the chooser, "just because." Just because she is choosing, and for no other reason, except to become the person she envisions.

Exercise
If you're not sure what you think about choice, then you might do this exercise, if you drive a car. As you drive, notice all the choices you make. You choose to stop at a red light; you might say you don't have a choice, but you do. You might get a ticket or be involved in an accident if you don't stop, of course. Notice the choices you make in those situations. Or, as you go about your work day, observe the choices you make about what to do or not do and how you go about doing them, i.e., to create something excellent, to get by, or to follow someone else's directions, for example.

Declaration

Transformation begins with a declaration. You declare you are ready.

> "A declaration is an utterance in which someone with the authority to do so brings something into being that wasn't there before" (Budd and Rothstein 2000, p. 137).

With language, you can set into motion a new possibility for yourself and your life. We make declarations all the time: "I'm going to the store." I have the authority over my own life to go to the store and with the declaration, made either out loud or to myself, I have set a course for my life that wasn't there before the declaration was made. Businesses are started every day with a declaration. Wal-Mart and Facebook began with declarations. If you're married, that began with your declaration that you would marry your spouse and became legal when the appropriate authority declared you married.

Making declarations is a tool, or resource, that we have, of which many of us aren't aware. We talk all the time, and there are specific ways of speaking that cause things to happen; a declaration is one of them. The Declaration of Independence is a beautiful example of a declaration made by a group of people, with no evidence (they were subjects of other countries) that they were declaring themselves free and independent, and establishing themselves as "Free and Independent States" (Brothers and Kumar 2015, p. 216). They still had a lot of work to do to move that declaration from mere words and emotion to actuality, but it was a critical step to creating their desired future. We can take it for granted now, but that declaration set into motion a whole new world. We can each do the same thing with our own lives, families, and organizations.

An aspect of declaration is sincerity. If we make declarations and don't follow through, we can be seen as flakey or untrustworthy. Besides others seeing us that way, we can experience ourselves that way. So, we want to be mindful of the declarations we make and take the appropriate action.

Another example of a declaration made without evidence that it was a sure thing, was Kennedy's declaration to put a man on the moon within the decade. He acknowledged that "we shall send to the moon . . . a giant rocket . . . made of new metal alloys, some of which have not yet been invented, capable of standing heat . . . about half that of the temperature of the sun . . ." (Kennedy 1962).

The mood in which the declaration is made has an impact on the corresponding action and results. For example, I might declare that I'll never succeed in my venture when I'm feeling discouraged. As our way of being evolves, our possible declarations do as well. Our moods and emotions are our predispositions for action. We will explore that in more detail ahead.

Assessments

Assessments are a form of declaration which influences future actions and our way of being. They are interpretations of facts and are consistent with our mood and emotions (Brothers, Kumar 2015). Here's an example of an assessment. A room might measure 10 feet by 20 feet – a fact. I might say that is a large room; someone else might say it is small. Large and small are both assessments. We do the same thing with people, including ourselves. If a person is not promoted for a particular position, that is a fact. She might make an assessment about herself or the situation and probably will. She might assess that her boss doesn't support her, that she can't do anything right and will never get ahead.

What is not useful is to make assessments and not realize that we are doing so. We tend to treat our assessments as facts. We will make assessments, and it is important that we do, as they are a way we make sense of events and our lives, and orient ourselves in the world. However, we want to stay awake to the fact that our assessments are not facts.

Assessments can be grounded or ungrounded. To ground an assessment, we must have decided the criteria we are relying on as the basis for that assessment. So, for the room: What is my standard, or criteria, for large? For small? Is a large room 10 feet by 10 feet? 10 feet by 12 feet? Our experience of the room shifts depending on our assessments.

What is the person's criteria for whether her boss supports her or not? Is it possible that not being promoted could be supportive? What is her criteria that she can't do anything right? Will never get ahead? And, after she decides the criteria, what facts support the criteria? What facts don't support the criteria? What mood do you think she might have been in when she made those assessments?

Grounded assessments are necessary for us to function well in life. When I am considering doing business with a new client, I must assess whether that is a client with whom I would like to work. To make that assessment, I will ground it by knowing my criteria for clients I will work with, then match the facts I have about the potential client to my criteria.

Desire

It is essential that the journey of personal transformation be infused with desire. You want to allow yourself to surrender to what it is you desire so much that you ***must*** transform. By surrender, I mean "to give (oneself) over to something (as an influence)" (Merriam-Webster 2017). You want to desire it so much that nothing will hold you back. You are committed and your desire becomes your focus. This is not obsession. This is your divining rod. This is what your point of reference is: Am I becoming the person or creating the future I desire? If not, who do I get to be and what do I get to do now?

> If we are out of touch with our desires, we cannot be ourselves. In this way of thinking, desire is our vitality, an essential component of our human experience, that which gives us our individuality and at the same time keeps prodding us out of ourselves. Desire is a longing for completion in the face of the vast unpredictability of our predicament. It is "the natural," and if it is chased away it returns with a vengeance (Epstein 2005, p. 9).
>
> As a well-known contemporary Indian teacher, Sri Nisargadatta, famous for sitting on a crowded street corner selling inexpensive *bidis*, or Indian cigarettes, once commented, "The problem is not desire. It's that your desires are too small" (Epstein 2005, p. 8).

With transformation, there are no guarantees and there is no clear path. What is clear is the focus of your desire and that drives your being and your action.

In my late 50s, I was living with my mom after I returned from a 14-month, work-related project in Singapore. I planned to stay with her only long enough to clarify the next part of my life, i.e., where I would live and what I would do. However, after about 6 months, it was becoming clear that I wasn't going to arrive at a direction any time soon. It seemed the Universe had its own ideas about timing and clarity. I was rather fidgety, as I didn't get along well with my mom; our politics and life styles were very different, she smoked, and I did not. However, we both needed each other; she was elderly and valued my support, and I was a person who was a bit lost in my life. So, we tolerated one another as best we could.

However, after those 6 months, I wanted something else. I had that strong desire to love my mom, with all my heart. I had done all kinds of work over the years in attempts to feel this way, but the most all of that work had accomplished was for me to be able to experience empathy and to forgive conceptually. I understood that she had done the best she could. But all of that wasn't satisfactory. I wanted that lived experience of sincere love for and with my mom. My transformational journey began. That was my declaration: I will experience sincere love for my mom and be with her in loving and meaningful ways.

I had chartered my course, without knowing how I would get there, if I would get there, and what it would look and feel like once there, if we got there. All I could do was keep my commitment to myself and let my declaration be my guide as I made choices all day long every day. I lived with her and worked from home, so I had opportunities 24/7 to adjust my way of being (see below) until I could finally feel that love.

Although Cynthia Bourgeault, Ph.D., Episcopal priest and teacher, was describing the challenges of centering prayer, it reminded me of the focus it takes to return to the desire and the opportunity each time we realize we're not so focused, to return. It's beautiful, and I wish I had read this while I was on that particular path:

> In one of the very earliest training workshops led by Father Thomas Keating himself, a nun tried out her first twenty-minute taste of Centering Prayer and then lamented, "Oh, Father Thomas, I'm such a failure at this prayer. In twenty minutes I've had ten thousand thoughts!"
>
> "How lovely," responded Keating, without missing a beat. "Ten thousand opportunities to return to God" (Bourgeault 2016, p. 14).

For our topic, ten thousand opportunities to return to the focus of our desires, and for some, it may be God.

My experience was very similar to what Bourgeault describes. My declaration was a form of centering prayer, and interactions with my mom would often trigger emotions and potential behavior that would not be considered a loving experience. I had many, many opportunities to remind myself of my commitment.

Refocus with a Question

I discovered two practices that were very supportive for returning to my desire; they came to me as I was on this journey. The first was to ask myself, "What do I want to experience?" I hadn't really ever experienced the love I wanted to with my mom, so I had to invent it. I would sit alone and imagine what it would feel like to love my mom as I wanted to until I did feel that emotion. Then, as I would interact with her or think of her, I would conjure up those feelings. And, speak and act from that emotional state. One time, while having dinner, with all the vim and vigor she could muster, she said, "Don't you want to argue with me?" I summoned the emotional state I wanted to feel and responded respectfully and politely, that "No, I did not." After a few minutes, I came up with something else for us to talk about and moved right along.

Refocus with a Reminder

The other practice I invented, I call thunderstorm. I am not afraid of thunderstorms; in fact I like them. I knew that anything she did that triggered a negative emotional reaction was related to my shadow and/or our history together, which I will talk more about shortly. If a thunderstorm was raging outside, I wouldn't be annoyed or triggered. I realized that I could bring that same energy field to anything Mom might do that bothered me. This also didn't involve positive thinking or ignoring feelings, as it involved me shifting my emotions, thinking and body to become the loving daughter I wanted to be and experience. Sometimes she would do or say things that would trigger feelings of resentment or discouragement or frustration, and I would remind myself that she was just being a thunderstorm right now. I had a choice. I chose to feel love for this little old woman, my mom, in that moment.

After about 9 months of these practices, as well as ones to reshape my way of being, which will be illuminated ahead, I experienced a profound shift. One evening at dinner, my mom again said something that in the past would have triggered annoyance in some form. However, what was triggered instead was a visceral chuckle. I knew in that moment that I had transformed my relationship with my mom. I was no longer stuck in my automatic patterns of thinking and feeling. And, life went on.

We tend to believe that we have arrived or transformed only when we don't have the emotional reactions to those triggers any more. That is not my experience. Here's why. Our stories and experiences of past events with others are in our bodies.

The fact is that my body was at all of those past events and embodied the feelings and the interpretations I had made of them. That body with all of that history was with my mom in each new moment. My practices lessened the emotional triggers but not all of them went away. That doesn't mean transformation didn't occur. It's a moment-by-moment choice to be in love. The stretches of that feeling being natural and automatic became longer and occurred more often. At the time of her death a few years later, I was truly, madly, and deeply in love with her. I am so very grateful that the Universe saw fit to keep me at my mom's home long enough for us to experience the transformation and for me to become the daughter I truly wanted to be.

And, that is the crux of transformation: I shifted my way of being, or context, so I could authentically experience, think, and act consistent with my declaration.

We will now explore a model that illustrates our way of being.

Model of Way of Being

There are numerous models available that illuminate our context (Hanley 1989) and the ways of being (Erhard 1984) that we have adopted and created. I use the one below with all of my clients, as I have found they embrace it easily and enthusiastically. Almost immediately as they become aware of the distinctions and the integral nature of their being, insights come to them about why and how things are as they are. "We cannot observe what we do not distinguish" (Sieler 2007, p. 112).

I utilize additional coaching models from the works of Laura Divine and Joanne Hunt of Integral Coaching Canada, Alan Seiler of Newfield Institute, Julio Olalla of Newfield Network, and James Flaherty of New Ventures West, all of whom I have studied with. And, of course, I continue to engage in my own transformational work, so my understanding of human transformation and what is supportive continues to evolve.

I consider Hanley's "context" and Erhard's "ways of being" as the same thing, and I will call it "way of being." What we are transforming is our way of being, or our way of relating to the world, meaning circumstances, others, ourselves, and all aspects of life.

Figure 1 is a model that depicts that our way of being influences what we do and say, and therefore, our outcomes and experiences.

The actions we take and what we say or don't say are determined by and are consistent with, our way of being. As Hanley said above, ". . . everything that shows up in your life, every word you speak, and every action you take is naturally consistent with and indicative of your context" (Hanley 1989, p. 33). We relate to the world as it occurs for us, and each of us is unique in our way of being and engaging with the world.

As a participant in one of my recent workshops realized, "Way of being is everything!" The message that is received by others when we speak, for example, is what is communicated from our way of being. Two people can say, "Good to meet you," and with one is a sense of warmth and sincere intention to connect, and with the other is a sense that they're not even present and that they're going through the motions. No matter how hard we try to pretend, the underlying way of being governs what comes across.

Our way of being is also determinate of what we can aspire to and accomplish with our lives, our organizations, and our relationships. We can only think, believe, imagine, speak, feel, move, and act in accordance with our way of being.

Our way of being is determined by three intertwined aspects: (1) our body, (2) language, and (3) mood and emotions. See Fig. 2 below.

Fig. 1 Interrelationship between way of being and outcomes

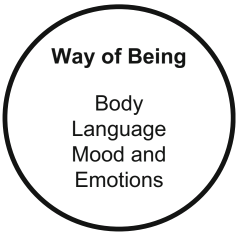


Fig. 2 Elements of way of being

Our bodies have been with us our whole lives, ever-present, and knowing. So every thought and experience we have ever had has been experienced by this precious, sensitive, and beautiful body. Over time, our bodies adapt and evolve to accommodate all of our history, as we are shaped by those wonderful and joyous experiences as well as those painful and traumatic events (Caldwell 1996; Strozzi-Heckler 2014). For example, a person who feels unimportant due to past events interpreted as failures may not look others in the eye or might slump back in a chair. "Body" includes posture, flexibility, breathing, biology, movement, and energy.

Our language is how we express ourselves; it is an instrument of communicating, connecting with others, and moving ourselves in the world. As we saw with declarations and assessments, language is action. Our speaking as well as our thinking, both components of language, reveal to us – and others – how the world occurs for us. People often express their powerlessness in the workplace as they say things such as, "They won't let us do that; it's not in the budget." Or, "You know how it is working for the government . . . ." I don't have to say more than that, and you probably already are bringing your interpretation of what is possible in working for a government agency.

We are subject to our thinking and our speaking. It is the water in which we swim. We often think and speak without reflecting on what we're thinking and saying. Both our thinking and speaking reveal a great deal about who we are and where we are in our world. Becoming aware and attentive are key.

Language also includes language of the domain. Domain is "a sphere of knowledge, influence, or activity" (Merriam-Webster 2017). For example, if a middle manager wants to be promoted, he must understand and be able to effectively think about and talk about the same subjects, i.e., sphere of knowledge and influence, as those he would like to join in the senior ranks; he must speak their language. I specifically noted several speech acts which play a significant role in understanding and considering transformational change, namely declarations and assessments (Brothers, Kumar 2015; Budd and Rothstein 2000; Flores 2012).

Peter Block, an author and consultant, has said that "transformation occurs through language" (Block 2008, pp. 11, 177).

Our mood and emotions (also called feelings) permeate our life experience and profoundly influence our actions, effectiveness, and meaning-making. We can only take action, speak, or even have ideas consistent with our mood and emotions. A person who is relaxed and motivated about the subject-matter of their presentation will deliver in a way quite different from a person who is nervous and uninspired by the material.

We live in a world where many of us unconsciously see ourselves as talking heads, where our bodies are used to carry around our brains and are tools to carry out our activities. We have compartmentalized and ignored our emotions and moods, because they might get in the way of what we need to accomplish. Yet, as noted above, our ability to effectively accomplish what truly matters to us is profoundly influenced by aspects of ourselves we have cut ourselves off from experiencing a relationship with. And, even if we ignore them, they are still with us and are expressed.

It is useful to distinguish mood from emotions, even though we often interchange the two in our thinking and speaking. Emotions and feelings vary and move through us all day long. Mood is an underlying emotional state that is consistent over an extended period of time. I might be feeling optimistic as an underlying mood for several days, weeks, or months, yet on a specific day may at different times also feel annoyed, anxious, excited, and hopeful.

These three aspects – body, language, and mood and emotions – are always seeking to be coherent. Each of them influences the other two, so changing one influences change in the others.

Exercises and Practices

In order to transform, we want to engage in practices that support shifts in our language (thinking and speaking), body, and mood and emotions. Practices are actions and behaviors designed to impact the shifting of your way of being in a way that you become aligned with what you desire. You also develop new competencies, capacities, skills, and ways of observing yourself and others.

Assuming you the reader want to transform yourself in some way, a good place to start is to inquire of yourself:

1. If I knew I could not fail, who would I want to be? How would I want to live? What would I be doing? What am I curious about right now?
2. Why, i.e., what is the purpose of pursuing transformation? For the sake of what?
3. How do I explain that I haven't already pursued what I said in response to number 1?
4. If I have attempted the path noted in my response to number 1, how did I go about it then? What were the results? What can I learn from that?
5. Who might support me in this journey?
   Note: Guidance and support from another person is critical. We are not capable of knowing or revealing to ourselves our blind spots. I encourage you to seek a person who has experience in the transformational realm.
6. What would be the body, mood and emotions, and language of the person I aspire to be? Or of the person who would accomplish what it is I said I desire?
7. What might be appropriate practices or exercises in each of these areas? (We will look at practices in more detail ahead.)
8. Where will I begin?
9. How will I support myself to continue the journey? What system will I put in place to pause and assess my progress as well as to make appropriate adjustments, such as appointments with myself or meetings with a coach?
10. What am I declaring?

Once you have decided the focus of your transformational journey and declared your intent, an excellent place to start is with a self-observation exercise, the purpose of which is to begin to reveal to yourself your current way of being. It is best to have one designed to speak to what your area of focus is but below is a generic sample. Each of us identifies with our current way of being, and we are subject to it (Kegan 1994; Hunt 2009). It has us, we don't have it. We want to observe it (our current way of being) so we can begin to have it. Once we can observe it, and have it, we can begin to dis-identify with our current way of being, to make choices consistent with the future we desire, and to identify with the new way of being. The developmental process begins with the self-identifying with where it is now (subject) and as it dis-identifies with the current self, transcends and becomes able to function at a higher level while including all that came before (Hunt 2009, p. 13). Inclusion involves honoring and valuing abilities and strengths the person has as they engage in the process. These continue to be valuable aspects to be utilized. As we continue lifelong development, the process repeats itself, meaning that what was our new way of being becomes the one we identify with and are subject to. As we develop, we repeat the process of self-awareness, dis-identifying with that way of being, transcending to a new way of being, and so on.

Self-Observation Sample Exercise

Imagine that you are two persons: the one who does the doing and the one who observes the one who does the doing.

Please do this exercise consistently, for it is in the doing of it that your ability to observe gets better and better. Bring an easygoing, yet deliberate attention to your observations.

Do this exercise for the next 2 weeks. Daily you will observe yourself based on the questions below, and at the end of each day, you will pause for 10–15 minutes to scan through the day and make notes of what you observed. I recommend that you use a journal to capture your reflections. The journal is your private space. You do not have to show it to anyone. Feel free to write all that you have to say.

1. What activity, person and/or event did you invest most in today?
2. How did you decide how to invest your life?
3. What emotions influenced your decision? What emotions did you ignore?
4. What did you physically (with your body) do in the activity, with the person, or at the event?

Weekly

At the end of each of the next 2 weeks, please review the notes you have been keeping, and address the following:

1. What patterns do you notice?
2. What activities, people, and events are included in your life this week? Are you consciously choosing these or falling into them?
3. What action(s) will you take from what you have learned?

While observing, you can engage in another practice or exercise to support development. You, of course, won't do everything at once, but you want to add practices as appropriate. Some practices are ones you will maintain for life and others are short-term. We will explore practices for each aspect of our way of being (See Fig. 2).

Practices: Body

Practices for the body should be ones that require you to move in ways that you do not normally move. Let's say you want to be more available when you listen to another person, so you want a body that is more open and flexible. A practice that supports opening the chest area might be appropriate, such as one of these yoga poses: bridge, corpse, or camel. To improve flexibility, you might simply engage in some stretching exercises.

If your current exercise of choice is to walk or jog, you can continue that, of course. However, you want to be aware that those exercises are linear (we walk straight ahead usually) and jarring to the body, so support linear thinking and rigidity, both aspects of which are familiar to many, rigidity being a version of control. Your awareness of the natural tendencies of this form of exercise can support you in deciding how much and how often to do it and to avoid increasing it while you're focusing on developing more openness and flexibility.

Therefore, in considering practices, you want to reflect on the capacities, competencies, or qualities you want to develop to support your bold future. You must be able to keep at the forefront your desired future and regularly choose to focus on the way of being consistent with that. One quality that is key for transformation is discipline, which is addressed ahead. If that is a capacity you are not yet skillful with, doing the mountain pose in yoga regularly and consistently might be appropriate. It requires being still, standing as tall as you can, remaining focused and experiencing the majesty of the mountain.

Also, for transformation, you are surrendering regularly to your commitment. If you have a strong tendency to be controlling, that can be challenging. So, dancing to loud and dynamic music in out-of-control ways expands your physical experience to include looking and being silly and unscripted.

The practice of yoga is wonderful for those not yet experienced at it, as the body poses require postures that we're not used to being in, so it supports releasing the hold of history. Other examples of practices include aerobic exercise of all kinds, massage, slowing down or speeding up in walking, martial arts, dancing with a partner, altering eating patterns, breathing, and on and on.

All practices should be designed in ways that you will actually do them, taking into consideration your lifestyle. You want them to be somewhat uncomfortable, yet challenging and intriguing. The practice should also include an element of reflection, asking yourself to observe your experience as you engage in it. We can tell we have a good practice for ourselves or another when we get curious and pulled to do it. That doesn't always happen, and the practice can nevertheless be powerful.

There are no "right" practices; the design of the practice should focus on you experiencing life in a new way, consistent with the bold future. Taking baby steps might also be appropriate. These questions might support you as you consider what would be useful for you given your bold declaration:

1. How flexible is my body?
2. What is my stamina?
3. What aches and pains do I have?
4. What do I think my body is trying to tell me?
5. What way of physical being will support my bold declaration?

Practices: Emotions and Mood

Becoming aware of and designing practices that attend to our emotions and mood are essential to transformation. Reading or listening to music are examples of practices that can support altering emotions and mood. Of course, practices for the body will also influence our mood and emotions. We want to cultivate emotions that we want to experience more often and will support our path.

> Our society underplays the importance of emotions. Having allied itself with the neocortical brain, our culture promotes analysis over intuition, logic above feeling. Cognition can yield riches, and human intellect has made our lives easier in ways that range from indoor plumbing to the Internet. But even as it reaps the benefits of reason, modern America plows emotions under – a costly practice that obstructs happiness and misleads people about the nature and significance of their lives. . . . For human beings, feeling deeply is synonymous with being alive (Lewis et al. 2000, p. 37).

Becoming skillful with emotions that are uncomfortable is important as well. There is a specific practice that I designed a few years ago after years of engaging in a variety of practices, working with different coaches, or counselors and taking dozens of courses. Something was still missing for me and my ability to be in the emotional space I wanted to be. I embraced an awareness that my emotions are guides and contain wisdom. I tend to engage in this practice when the emotions are ones I don't particularly like but also find it useful when they're positive. I believe that emotions want to be witnessed and will often move through the body once they've been acknowledged and blessed, even the ones I don't like. And, as we used to say in the Lifespring trainings, "The way out is through." We do want to experience the emotion fully to release its hold on us. I call this practice "being present with the emotion."

Sometimes the practice I'm suggesting here is not useful, such as when there have been intense abusive situations or other catastrophic events in one's life. In that case, I encourage people to go to a therapist for professional counseling to heal the past.

You begin being present with the emotion by focusing on the emotion; find where it is located in your body. For me, it's usually in the chest, about where my heart is. Now, focus all of your attention on the focus area. Don't ask questions, as that can influence what arises as you observe. Sometimes we want to ask, "Why is this happening?" "What does this mean?" "Where did this come from?" That is our rational mind wanting to understand in the way our rational mind understands, and we don't want to do that during this practice. Simply focus in the same way you would if you were in the audience at the performance of a symphony orchestra: listening with all your attention, all your heart, experiencing the experience fully. It's similar when we go to a movie. Clients appreciate this practice as well, as we find that information or insights come to us in a meaningful and useful way.

Just this morning as I was reviewing my writing, I was experiencing some frustration and anxiety related to a business transaction. I have already done some work which was very well received with this organization and was promised more work. My contact didn't return several calls, so I have let that go, at least mentally. My emotions have not yet, and these feelings have lingered now for several weeks. During my daily morning meditation, I focused on them as above, without much movement. However, today was different. The emotions were a bit more intense; I have some fear, as I would like the money that would come in, and there was another feeling that I've been exploring off and on. I knew it is related to my shadow but nothing was clarified. I address shadow more below. This morning when these emotions arose again, I put my attention on them and what came to me was the memory of a time when I was about 9 years old when some neighborhood playmates told me they didn't want to play with me because I was bossy. This is not a new memory, and I've worked with it in counseling, workshops, and journal writing. However, this time as it arose, and intensified, tears came to my eyes as I experienced that sense that no one wants to be with me and there's something wrong with me. As it arose, and lingered for a bit, it began to fade. A peace came to me. It was a sad peace, like that of an old friend who has visited and now has gone again. Since then, I have been more relaxed about this situation than I have been for weeks.

The beauty of working with our emotions in this way is that they are experienced fully, which can actually allow them to move on for now. It could be that the practice works so well because I've had the counseling and done the workshops and many, many other processes around historical situations. However, my clients who have not done as much developmental or psychological exploration over the years have also experienced profound shifts in emotional patterns related to incidents in their lives, past or present, with this practice.

A challenging component to working with emotions in this way is that they take their own time in bringing awareness. Some very intense emotions related to significant issues can take several weeks of this practice for something to shift and/or insights to occur. However, in my experience, the movement of the emotion feels more natural and "released" in a way that it doesn't when I sit down and rationally try to remember where the emotion came from and try to resolve it with writing or other practice.

When we try to control our emotions, dwell on them or try to resolve them in our time frame, with all of our questions and analyzing, I think they stick around, proverbially thinking, "Oh, she likes focusing on this and being in this place, ok, we'll stick around longer." They intensify too, the more they're focused on, as you may have noticed.

All of this reminds me of a parable the Buddha shared, according to Thich Nhat Hanh,

> Suppose a man is struck by a poisoned arrow and the doctor wishes to take out the arrow immediately. Suppose the man does not want the arrow removed until he knows who shot it, his age, his parents, and why he shot it. What would happen? If he were to wait until all these questions have been answered, the man might die first (Hanh 1974, p. 42).

A client engaged in the practice of being present with emotions when he was having issues with a business partner. Reminders came to him about some issues his partner was having, so he was able to bring more compassion to the difficult conversations they were having. He might have remembered the partner's life issues if he had rationally thought about it, but with this practice, the reminders arose from an emotional space and diminished his dissatisfaction with the partner at the same time.

> . . . [R]esisting something is one good way to preserve it in the form that we experienced it to begin with. We resist, hoping to get rid of it, but what we are actually doing is encapsulating it and keeping it in its original form or expression.
>
> . . .
>
> If we are able to allow the fear or hate, embrace it, hold it, and feel it fully in its totality – in all its texture, color, and vividness – we will give it the space to be itself. And that will happen naturally because it is the nature of our True Nature to move, to unfold, to illuminate itself, and to reveal what it is about. And as our experience reveals what it is about, it will at some point reveal its True Nature because each experience we have is somehow related to our True Nature. And by understanding it, seeing the truth, and following the thread of truth, we are following that connection to True Nature (Almaas 2008, p. 39).

Choice plays a role in being with our emotions. Let's say I'm in a meeting, and I notice I feel angry. I probably can't focus on that emotion at that time, but what I can do is acknowledge it to myself, remind myself the way of being I desire to be, and choose to focus my attention in a way that shifts the emotion. That takes practice. I can later return to the emotion and the situation to experience it fully.

If I have become skillful at observing emotions and engaging in practices that enhance the emotions I would like to have more of, it gets easier to make these shifts. Having a vocabulary of emotions is also useful. *Coaching to the Human Soul, Volume II*, at pages 131 and 382–385 provides a list of emotions and at page 388 a list of moods (Seiler 2007).

Shadow work as a practice is supportive for our transformation. "In psychological terms, shadow refers to the repressed, disowned, and unacknowledged aspects of self. When these shadow qualities are recognized and reconciled a person often experiences a movement to greater maturity and depth of personality" (Houston 1996. p. 104; Johnson 1991). Shadows are not always negative and once accepted, integrated, and appreciated, shadows release energy to propel us to the self we'd truly like to be. The positive shadow is sometimes referred to as the golden shadow (Wilber et al. 2008, p. 59; Johnson 1991). We can tell our shadow has shown up when we are triggered by another's actions. As Carl Jung said, "Everything that irritates us about others can lead us to an understanding of ourselves" (Jung and Jaffe 1989, p. 247). Sometimes being triggered can be related to past experiences or to our shadow.

The ways I currently relate to shadow is to engage in the "being present with the emotion" practice I described above and the thunderstorm reminder. That is, when I'm admiring someone else's abilities and telling myself that I can never be as wonderful as they are (golden shadow), I sit with the emotion of it and allow the emotion to reveal insights and to move through me. If it's a situation where I can tell I'm going to react to another person's arrogance, for example, I remind myself that he is being a thunderstorm right now and choose to focus on the way of being I want to bring to the situation. Then, later I can remind myself of the occasion with arrogance and do the emotional sitting with exercise.

In the book, *Integral Life Practice*, you can find a practice for working with the shadow called "The 3-2-1 Shadow Process" (Wilber et al. 2008, pp. 44–58).

Practices: Language

Now we will explore practices to transform language. Language includes both our speaking and our thinking. A powerful exercise is another self-observation exercise, where you listen to what you actually say in various conversations. At the same time, you observe what you're thinking. At first this can be rather challenging, but after a week or two, you can get really good at it, and it will be a practice that will serve you the rest of your life. We want to speak consistently with what we say we want, no matter what we might be thinking.

> Thinking in itself is not the problem. We often need to think – the clearer, the better. The problem arises when we believe our thoughts and *identify* with our thinking. We let our thoughts define and confine us and, by extension, everyone and everything else (Prendergast 2015, p. 33).

You can also begin to question what – and why – you're thinking and saying what you're saying, in a compassionate and loving way. For example, if I say it is not possible for me to have clients who truly want their organizations to model how all human beings could live with one another, I can ask myself, "Why, i.e., for the sake of what, am I saying that? What beliefs do I hold about myself, others, the leaders of organizations? Is it to keep myself safe? To keep myself small? Something else?"

It is also useful to know that we are wired to focus on negative events; you aren't deliberately trying to focus more on the negative things in life. Our survival depended on it for thousands of years; we needed to be constantly vigilant for harmful creatures. With that focus on survival for all of those years, as psychologist Rich Hanson, Ph.D., explains, "In effect, the brain is like Velcro for negative experiences but Teflon for positive ones" (Hanson 2010).

What we want to do is pay more attention to the positive events and feelings we have and linger with them for up to 20–30 seconds, focusing on that experience in your body, feeling it fully, in order to develop a neural structure that reinforces positive memories and experiences (Bergeisen and Hanson 2010).

I can begin thinking what I want to think, and not what I automatically think. I don't have to identify with my thoughts as if they are true. They're not true; they're just thoughts. I can consciously choose thoughts that are consistent with what I intend. This is not positive thinking, as I want to choose thoughts and do whatever emotional and body work that is necessary to have all align.

I had the opportunity to work with a woman whose language very loudly and clearly reflected why she had the results she had, which she wanted to change. She was the owner of a small marketing services business in a large metropolitan area. Her clients were sizeable national organizations who hired outside consulting firms to develop their marketing materials. She had taken out a second mortgage on her home to finance her start-up, and she had two other employees. About the same time, a recession started. She was referred to me, and we began working together so she could have the business she wanted.

During one of our first conversations, she revealed (through her language) how she was engaging with this situation. She proceeded to tell me how there was a recession and NO BUSINESSES were hiring outside firms for their marketing. I had no idea if this was actually true, but it did seem a bit extreme that there were absolutely no businesses hiring these services. So, I asked her with pure curiosity, "Is that true: that there are NOT ANY businesses hiring firms that do what you do? Not *one* business is working with outside firms?" After a brief pause, she responded, "Well, there might be a few who are." I said, with sincerity, "Why don't you make sure YOU get ALL of that business?"

We are talking about transformation here; and transformation is not positive thinking. It is about transforming the way of being. My client's way of being was being informed by the prevailing conversation during any recession: There is a recession, so there will be less business and therefore less money. It is important that we be aware of conversations that are the cultural norm, so we can discern our relationship with them. However, it doesn't mean we have to get sucked into them. The reflective process sounds something like this: "There's a recession, but I have my life to live and goals to achieve, so who do I want to be in the face of all of that?" As George Bernard Shaw, the Irish playwright who received the Nobel Prize for Literature, said, "The reasonable man adapts himself to the world: the unreasonable one persists in trying to adapt the world to himself. Therefore, all progress depends on the unreasonable man" (Shaw 2015, p. 18).

We will review my client's way of being. Obviously, her language is not consistent with what she says she wants. She is telling herself and others that there is no business for her due to economic conditions, and she was adamant about that. She was making ungrounded assessments. She had looked at the business climate and assessed that there was no business, relating to that assessment as if it were a fact. However, the fact was that there was some business to be had. She had interpreted, or devised a story, that there was no business, based on what others were saying and some of her experiences.

Her mood was somewhat depressed (not in a clinical sense), resigned, and scared. If she wasn't successful with her business, she would not be able to pay the second mortgage, and she would lose her house.

Her body was sluggish, stressed, and lethargic. She wasn't exercising.

I asked her to reflect on our conversation and seriously reflect on what I was suggesting: that she might be able to attain all of the business that was to be had. It might not be THE truth but would be a way of being from which to move forward. What would she have to believe about herself, business, the recession, money, her work, and the value thereof?

Compassion is key to supporting us in our development. So, I made it very clear that it was ok if she couldn't invent for herself a way of believing that there was sufficient business for her to be successful. Yes, we had to remember that her house was on the line (honesty is important too), but we wouldn't give up if she couldn't get to the place where she could believe there was sufficient business for her. This was, however, the way she could have the most leverage to accomplish what she wanted if she could believe this in all of her being.

We did not start with making goals or a plan; if we had, the odds are very high she would not have been successful, and it would have been very painful for her to attempt to bring in business with the way of being she had when we started. Similarly to this client, most seek coaching due to a challenging aspect of life, to become more effective at some topic, or to achieve a goal that has been previously unattainable. That is the language of change that exists in the mainstream. With transformation, we are not engaging in the way we would if we were solving a problem or attempting to reach a goal. We are using the presenting topics as guidance to what matters to the person at this point in time, and goals might be reached, but the focus is on transforming the way of being, or the "come from," of the person. Through that evolution, the person will more likely attain what she desires.

My client began aerobic walking and a daily 20 minute meditation practice. It was crucial that her body feel energized and capable. When a body is tired and lethargic, it is counter to a person who wants to make something happen in a big way quickly. The meditation practice was to support her in beginning the process of lessening her attachment to her thoughts and also to support her in relaxing when her emotions were not supportive. With this client, as with all involved in transformation, practices are designed to impact all aspects of one's way of being.

Within a few weeks, and over several conversations, she was able to embrace the intention that if there was business out there, and there was, she would get it all. That was her transformed way of being. I could feel it through the phone; she and I lived in different parts of the country. She began talking about sales, the economy, markets, and the value of her work in ways that supported soliciting and securing business. She worked with her staff to do the same. They focused conversations on those that would lead to success. She altered *who she was in relationship to her circumstances, her world.* The economy didn't change.

I was a bit surprised myself at how quickly she was able to inhabit this way of being, but it was probably because being successful mattered to her so very much, she was actually extremely good at what she did and knew it, and I believed that if she transformed her way of being she could have the business she needed. That is, she had a person who, with her, created an energy field of certainty. And, occasionally we would talk about her fears and how to work with those emotions that would still emerge.

We also supported her with the skills necessary to succeed: planning, establishing goals, and taking other appropriate action. She was able to meet her goals and proceeded to sustain a viable business.

We can see that what changed was the context or "come from," from which she was relating to the world. She moved from being victimized by life's circumstances and the prevailing conversations, hers and others, to a way of being of experiencing her authority and agency over her life and circumstances and connecting with her own power, wisdom, gifts, and determination. She became the woman she needed to be to live the life she desired. She transformed.

Short-Term Transformation

We can focus transformation on one seemingly minor aspect of our lives, as I did with my relationship with commitment many years ago, which continues to this day, and that will influence all aspects of our lives. Or, we can engage in the developmental approach which has been the major focus of this chapter.

We can also engage in transformation for a limited time. It would probably be useful to have had experience with transformation, but I don't know for sure that it is necessary. An example of transformation for a limited time without past experience would be emergency situations, in which people become whoever they need to be and do whatever is needed to assist. Without an emergency, where instinct takes over, past experience is useful.

Here is an example of a person engaging the principles of transformation over a short period of time, in order to accomplish something exceptionally significant to him.

My client and I had worked together for several years, and all of our work had been pursuant to the concepts and principles of transformation. He had been incredibly successful in his professional life as a result. One Saturday, he left a voice mail, asking me to call him the next day for support. He was playing in his club golf tournament championship and was determined to win, yet he was not playing well. Saturday and Sunday were the qualifying rounds; the thirty-six-hole tournament was that Monday. I knew that he was an accomplished golfer and had even considered becoming a professional at one point. I called him back Sunday morning and coached him through what he already knew yet had not applied to his game of golf.

Our question was: How would the leader in this tournament be in body, thinking, speaking, emotion, and mood?

Even though his score was such that he was not yet the leader, I asked him to imagine that he ***was already*** the leader. We talked about what he could count on about his abilities as well as how to engage ***as the leader*** during the remainder of the tournament. Here is what we discussed:

Body: He was healthy and continued to engage in athletic activities, as well as the regular practice of golf, so he had the physical ability and skill in place. During the event, he would move with confidence, head high, breathing calmly, reminding himself, through talking to himself, that he was the leader.

Emotion and mood: He would observe what he was feeling and tell himself in an embodied way that he was the leader, no matter what the score was and focus on that image until his emotions could catch up. He would make sure it felt real in his body.

Language: He wouldn't let himself talk about anything that wasn't supportive of the experience of playing well, no matter what had happened on the previous shot or hole. He would regularly remind himself that he was the leader, no matter the score. As you can tell, all of these components impact each other.

Focus: I asked him to state an example of him applying all of this. He said, "When I get to the tee. . .". I interrupted him with, "No, you are the leader the whole time. How would you be feeling? What would you be thinking? What would you be doing . . . the whole time, not just when you get to the tee?" He responded that he would remind himself, "I am the leader," no matter the score throughout the day whenever he noticed he was doubting himself or fretting that he wasn't the leader according to the score. Then, he would focus on feeling as if and acting as if he was that leader.

To support him in remaining vigilant, he placed a stone in his pocket so that every time he put his hand there, he would remember all of this if he had forgotten. He was so focused and in this transformative state that even at one point, as he was preparing for a shot and realized he had left the club he wanted on a previous hole, he didn't let that shake him.

I was out of the office much of Tuesday, and when I returned I had a voice mail. The message was, "I was the leader the whole time, but the score didn't catch up with me until the 37th hole." He had won the Championship Flight – on the playoff hole! The leaderboard, however, didn't ever reflect him as the sole leader until the very last hole.

Potential Challenges

There are plenty of challenges to personal transformation, and each of them provides an opportunity to learn more about who we are, and who we can be. Our personal history and identity are connected with our current way of being and will need to change to transform. Besides that inherent pressure to remain the same is outside pressure from others and the culture to stay as we are. And, devoting ourselves to our audacious future requires the capacity of discipline.

History

With transformation, our declaration and commitment determine who we are and what we do. Yet, we all have our history – our past filled with events, people, circumstances, and experiences – all of which we have interpreted in accordance with our way of being at the time. As human beings, we are drawn to make meaning of factual events. We bring our stories and our assessments to them and they influence how those events affect us and stay with us over the years. Facts include things like my dad bought my first car, my mom smoked cigarettes, I started college at age 17, and I got married at 40. We can't change the facts of our past, even though we might like to; however, we can change our interpretations of that past.

We want to be aware that our interpretations have shaped our lives and will shape our future. Therefore, we practice observing our assessments and making new interpretations and choices in alignment with our desired future. That also means that our current way of being shapes who we believe we are and how we relate to everything in our lives. Your current way of being influences how you are interpreting what you are reading right now. Any shift in any aspect of that way of being begins reshaping who you are and what is possible.

And, when we shift our way of being, some things are no longer possible. For example, when I chose to love my mom, what was no longer possible was to focus on our past, what I didn't like about her, and judging her for her choices. The operative word is focus, as of course, I might remember events that I felt hurt over or notice things she did that annoyed me. However, an incredible experience of profound love became possible, as the other doors closed. It can be uncomfortable to make these changes, so we want to be aware that it will get uncomfortable.

And, there may be some past issues that are best to be worked through with therapy or some other form of workshop or counseling. You will know.

Identity

We become identified with our way of being, interpretations of our lives, assessments of ourselves, which are also called characterizations, cultural norms, and the expectations we believe the culture has. When we step onto the path of transformation, we want to be prepared for the disruption that will occur as we change. At a minimum, there will be discomfort and a sense that "this is not me," "this feels wrong," or "maybe I shouldn't be doing this since it's so uncomfortable," for example. There are numerous other ways we can feel challenged as our identity evolves, including other people noting that we're being different or acting in new ways around them.

This can be an opportunity to discern what your feelings are trying to tell you. Some might be inviting you to stay as you are and some might be revealing your drive toward your audacious future. Using the "sitting with emotions process" described above can help you develop a relationship with your feelings so you can discern which ones should be blessed and heeded and which ones should be blessed and invited to move on. And, yes, sometimes those feelings that strongly suggest you are on a path that is not supportive for you should be listened to as well. Having a skillful coach or consultant can be very useful to further develop this ability.

I had a client who, with a partner, had grown an international marketing company from the 2 of them to over 100 employees. He began working with me because he had started the business to have enough money to support himself in his artistic endeavors. Now he had the money, but business had become his golden handcuffs, as he feared transferring leadership to others within the organization as well as leaving life as he had known it every day for 13 years. We proceeded over several years to develop senior management of the organization to be able to effectively take over the daily operations.

He would often question whether he was doing the right thing for himself and others. It didn't feel right to ask others to manage the company. We explored what people truly wanted from him. He found they wanted him to believe in them and their abilities and didn't really care if he worked the 60-hour weeks that he thought they wanted. They wanted to develop too, and knew as long as he was taking the lead, they would be held back. Emotionally he was torn, as the feelings of responsibility and fear of the unknown engulfed him. One of the practices was to develop the emotional capacities of trusting others and being able to release the fears when they arose. He would gently question whether his fears and emotions were true or were conditioned. He had conversations with his employees and explored his own motivations and desires. He created an agreement with his partner and with those he was preparing to take over the daily management of the company to continue his pay as long as the company maintained an agreed-to level of income and profitability.

Eventually, he was ready to leave the daily management of the company to begin his full-time career as an artist beginning January 1 of the upcoming year. Three months AFTER January 1, he finally had separated himself emotionally and psychically from the daily management! Yes, it took three MORE months for him to complete the transformation from being a corporate CEO with daily well-defined responsibilities to an artist, inventing, creating, and expressing himself daily in unpredictable ways. His routines as well as the emotional pull to return to the known were like magnets.

He went from working 12-hour days to 15-hour weeks in his old business. His main focus became his art, at which he became quite successful, including being nominated for and winning an award within his field. The business continues to thrive as well.

Cultural Pressure

Transformation is definitely the path less taken. We have a great deal of cultural pressure to become aware of. Let's say you really want to enjoy your work and you actually do. There are morning talk-show hosts who act as if they enjoy their work, yet speak in excited ways about having the weekend off. Our culture has a great deal of focus on getting through the work week to get to the weekend, implying that work is just something to get through and not enjoy. So, in this situation, it can be hard to be your own person and decide that you do, in fact, enjoy your work. Or, as you read this, realize that you want to transform yourself to enjoy your work; that you're paying too high a price, emotionally, physically, and relationally, to continue to dislike it and be like most others, if that is the case for you. You may find yourself in a situation unrelated to work where you feel the pull of the culture of your immediate friends or community to stay where you are, rather than transform. This is a natural potential pitfall of transformation.

You may experience pressure from yourself to fit in with others, or from others to fit in with them. People are uncomfortable when others change. This might be because they have been used to relating to you in certain ways, and now there is uncertainty because you are being or acting differently. It can also trigger fears that they might have to change or that they're not pursuing something that matters to them. It's useful to be aware that this will more-than-likely occur at some point and either respectfully talk with the others about what you are up to or be prepared when they bring it up or act in new ways with you.

Here's a personal example. I once worked with other coaches who taught professionals about making and keeping commitments and who seemed annoyed with me because I did what I said. It didn't make any sense to me, but I learned from one of my colleagues that I mirrored for them that they weren't walking their talk, and they didn't want to change. I certainly wasn't going to stop keeping my promises to fit in. We went our separate ways.

Discipline

The path of transformation takes discipline: the discipline to practice being aware and bring our focus, intention, language (what you say to yourself as well as what you say out loud), body movement and energy, and emotion into alignment with our bold future, moment by moment by moment. It's a choice to become and manifest your declaration and not just when it's convenient. And, yes, as you can tell, it is not that easy but takes practice and living commitment, as your word to yourself, with devotion to your one precious life and bold declaration.

Tech futurist and innovation expert Daniel Burrus describes this.

> Note: He defines Futureview as "the picture you hold, for better or for worse, of what you expect and believe about your future" (Burrus 2013).
>
> A few years ago, I had the opportunity to converse with Neil Armstrong, the first man to set foot on the moon. He said that in the years following Kennedy's articulation of that goal, NASA engineers would periodically hit a major roadblock and declare the goal impossible.
>
> Each and every time, the response from those in charge was the same: "We're *going* to the moon."
>
> So the engineers would go back to their benches with a renewed determination to do the impossible. Every time they hit a snag, that unshakeable Futureview held them to their task.
>
> "They kept solving those unsolvable problems," Armstrong added, "until one day, there I was – walking on the lunar surface" (Burrus 2013).

You stay devoted to your declaration until one day, there you are – transformed. And, at some point, you may decide to make it a lifelong journey of transformation. Remember, a key to transformation is desire; you want your desire to call to you at a level that there is no way you won't pursue it. It is your opportunity to live your authentic life.

Practices that are supportive for developing discipline are unique to each person, yet meditation is useful for many, and it is often challenging for people in western cultures. Regular exercise is another. One trick that has worked for me is to remind myself who I want to be and then not listen to the chatter of my rational mind, who will try to tell me I don't have time, or it's too cold, or it's boring, on and on. I have a polite chat with that rational mind and let it know I'm grateful, but we're going on anyway. Developing discipline can be challenging, in that it takes discipline to develop discipline. But, if you get up every day and go to work, that's discipline, so use whatever has supported you to do that as you develop discipline elsewhere. You can ask yourself, "How do I manage to get to work every day?" Then, observe your thoughts, feelings, and physical sensations as you observe what comes to you in response to your inquiry.

What is most supportive is to regularly remind yourself what you are committed to and use that as the place you align your speaking, thinking, emotions, and body. It is more-than-likely a fairly slow process, if it is to be sustainable. Transformation occurs in its own time; we can't predict it or decide exactly when we will become the person for our bold declaration.

And, compassion goes hand-in-hand with discipline. Discipline is actually devotion; it's about returning our focus toward our bold declaration and surrendering to its call. It is not brow-beating or forcing ourselves to do something. When we find ourselves off course, which we will, we gently remind ourselves where we are going and why it matters to us, refocus and move, and be accordingly. For some of us, compassion might be a quality to be developed while on the journey.

The Future of Transformation

Most people seeking support through coaching or counseling are experiencing some discomfort in their lives. Right now, our mainstream culture does not encourage ongoing personal growth, development, or learning beyond conventional schooling. Some is offered through organizational life, such as when an executive is seeking to enhance her abilities or an employee at any level wants to become more effective or has received input that they are a problem that needs to be fixed.

Different authors in different ways are advocating that we are in dire need of new ways to think about adult learning, development, and transformation as well as living and working well with others who seem different from us (Kegan 1994), and to support the individual and society's ability to keep pace with changes in the world (Friedman 2016). Such focus will support us to experience our own power to live our lives in inspired and inspiring ways, to live with others in meaningful and peaceful ways, and to pursue our emotional, physical, intellectual, and spiritual well-being (Seiler 2007).

My wish is that in the future it will become commonplace for people to engage in lifelong learning and immersion in transformational evolvement (Kegan 1994; Leonard and Murphy 1995). I believe that each of us is capable of living, loving, and expressing with our minds, bodies, hearts, and souls beyond what we can even conceive of right now. In addition, I believe the current state of the world, at least in the Western cultures, is at the place where we can take advantage of the incredible wealth and well-being that we've been given and support all of us to evolve what is possible for all of humanity and all life at all levels of the Universe. This is the ultimate adventure: to risk knowing oneself fully and live whole heartedly in alignment with that knowing.

References

Almaas A (2008) The unfolding now: realizing your true nature through the practice of presence. Shambhala Publications, Boston

Bergeisen M, Hanson R (2010) The neuroscience of happiness. http://greatergood.berkeley.edu/article/item/the_neuroscience_of_happiness. Accessed 21 Mar 2017

Block P (2008) Community: the structure of belonging. Berrett-Koehler Publishers, San Francisco

Bourgeault C (2016) The heart of centering prayer: nondual Christianity in theory and practice. Shambhala Publications, Boulder

Brothers C, Kumar V (2015) Language and the pursuit of leadership excellence. New Possibilities Press, Naples

Budd M, Rothstein L (2000) You are what you say. Three Rivers Press, New York

Burrus D (2013) Why Martin Luther King, Jr. did not say, "I have a plan." https://www.linkedin.com/pulse/20130826190831-48342529-why-martin-luther-king-jr-did-not-say-i-have-a-plan. Accessed 16 Mar 2017

Caldwell C (1996) Getting our bodies back: recovery, healing, and transformation through body-centered psychotherapy. Shambhala Publications, Boston

Epstein M (2005) Open to desire: embracing a lust for life insights from Buddhism and psychotherapy. Gotham Books, New York

Erhard W (1984) A way to transformation. www.wernererhard.com/heart.html. Accessed 24 Mar 2017

Flores F (2012) Conversations for action and collected essays. CreateSpace Independent Publishing Platform, North Charleston

Frankl V (1992) Man's search for meaning. Beacon Press, Boston

Friedman T (2016) Thank you for being late: an optimist's guide to thriving in the age of accelerations. Fararr, Straus and Giroux, New York

Hanh T (2005) Zen keys: a guide to zen practice. Three Leaves Press, New York

Hanley J (1989) Lifespring: getting yourself from where you are to where you want to be. Simon and Schuster, New York

Hanson R (2010) Stephen Colbert: we don't need to 'keep fear alive' www.rickhanson.net/stephen-colbert-we-dont-need-to-keep-fear-alive. Accessed 21 Mar 2017

Houston J (1996) A mythic life: learning to live our greater story. HarperCollins Publishers, New York

Hunt J (guest ed) (2009) Journal of integral theory and practice: a postdisciplinary discourse for global action

Integral Coaching Canada. https://www.integralcoachingcanada.com/. Accessed 18 Mar 2017

Johnson R (1991) Owning your own shadow: understanding the dark side of the psyche. HarperCollins Publishers, New York

Jung C, Jaffe A (eds) (1989) Memories, dreams, reflections. Vintage Books Edition, Random House, New York

Kegan R (1994) In over our heads: the mental demands of modern life. Harvard University Press, Cambridge

Kennedy J (1962) John F. Kennedy moon speech – rice stadium. https://er.jsc.nasa.gov/seh/ricetalk.htm. Accessed 17 Mar 2017

Leonard G, Murphy M (1995) The life we are given: a long-term program for realizing the potential of body, mind, heart, and soul. G.P. Putnam's Sons, New York

Lewis T, Amini F, Lannon R (2000) A general theory of love. Vintage Books, New York

Lucasfilm, Ltd. (1989) Indiana jones and the last crusade. Online video clip. YouTube. Accessed 31 Mar 2017. https://www.youtube.com/watch?v=xFntFdEGgws
Lucasfilm, Ltd. (1980) The empire strikes back. Online video clip. YouTube. Accessed 31 Mar 2017. https://www.youtube.com/watch?v=BQ4yd2W50No
McTaggart L (2011) The bond: connecting through the space between us. Free Press, New York
Merriam-Webster (2017) www.merriam-webster.com/dictionary. Accessed 23 Mar 2017
Newfield Institute. www.newfieldinstitute.com.au. Accessed 18 Mar 2017
Newfield Network. www.newfieldnetwork.com. Accessed 18 Mar 2017
New Ventures West. www.newventureswest.com. Accessed 17 Mar 2017
Olalla J (2004) From knowledge to wisdom: essays on the crisis in contemporary learning. Newfield Network, Boulder
Prendergast J (2015) In touch: how to tune in to the inner guidance of your body and trust yourself. Sounds True, Boulder
Shaw G (2015) Maxims for revolutionists. Dossier Press, New York City
Siegel D (2017) Mind: a journey to the heart of being human. W.W. Norton & Company, New York
Sieler A (2007) Coaching to the human soul: ontological coaching and deep change: volume 2. Newfield, Blackburn
Strozzi-Heckler R (2014) The art of somatic coaching: embodying skillful action, wisdom, and compassion. North Atlantic Books, Berkeley
Tyson N (2012) The most astounding fact. www.youtube.com/watch?v=9D05ej8u-gU
Wilber K, Patten T, Leonard A, Morelli M (2008) Integral life practice: a 21st-century blueprint for physical health, emotional balance, mental clarity, and spiritual awakening. Integral Books, Boston
Yeaman D (1990) The power of commitment: an operator's manual for managing the changes in your life, career and organization. Science of Mind Communications, Los Angeles

Part III

Leadership Transformation

Transformative Leadership

Alfonso Montuori and Gabrielle Donnelly

Contents

Abstract

The basic premise of transformative leadership is that everyone can lead, and that particularly in this transformative moment, everybody contributes to, and in fact cocreates, the world we live in, whether conscious of their agency or not. Every choice, every action, every discussion, every interaction is a reflection of how we are leading our own lives. Transformative leadership invites everybody to ask what kind of a world they are creating through their thoughts, beliefs, actions, and

A. Montuori (✉)
Department of Transformative Inquiry, California Institute of Integral Studies, Evolutionary Strategies, San Francisco, CA, USA
e-mail: amontuori@me.com; amontuori@ciis.edu

G. Donnelly
Brave Space, Acadia University, California Institute of Integral Studies, San Francisco, CA, USA
e-mail: Gabrielle.Donnelly@gmail.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_59

interactions. Transformative leadership is, at its heart, a participatory process of creative collaboration and transformation for mutual benefit. At the core of transformative leadership are four orienting concepts, being, relating, knowing, and doing that assist in the framing and development of our understanding of the world, and our own approach to living and leaving.

Keywords
Creative inquiry · Creativity · Hosting · Microconnections · Microcreations · Leadership · Transformative · Transformational

Introduction

How can we make sense of a complex, fast-changing world? What can we do to prevent looming catastrophes and help create a "better" world? And what does "better" even mean or look like in this confusing world we live in? How can we live a meaningful life? What does it really mean to "lead" our lives? What does it mean to "grow" as a person? To be a "leader"? What does it mean to make a difference – and to live and act in a way that expresses our highest ideals? In an uncertain world that seems to make less and less sense, more and more people are asking themselves these questions and not waiting for the answers: they are determined to answer these core questions themselves. They are choosing to make sense of their own experience, "lead" their own lives, and contribute something of value through their creative participation in this moment of planetary transformation.

The world is in the throes of an epochal change, a transformation: one age is dying and a "new age" does not seem to have emerged. In fact, it is unclear what it would look like, and visions of better futures are few and far between (Montuori 2011a). The current global transformation has been referred to in a variety of ways. The widely used prefix *post-* indicates that we know something is ending, but it is unclear what comes next. It appears initially in the term post-*industrial* (Bell 1973), then post-*modern* (Lyotard 1984), and most recently post-*normal* (Sardar 2010, 2015). Terms such as The Great Turning and the Anthropocene age (where human beings are the major global cause of change) have also gained in popularity. Donna Haraway's use of the term Chthulucene, with its play on horror novelist H.P. Lovecraft's tentacular (and fictional), ancient, sleeping god Cthulhu, gives a hint of the current postnormal state of confusion, as it slithers and slides into the bizarre and eldritch (Haraway 2016). Changes are happening at all levels of society, in varying forms and degrees all over the world, and as the evolution of the terms to describe it suggests, the world just seem to be getting weirder and weirder.

Transformation means change is not just occurring on the surface, but at the level of the basic tenets of an age's worldview, what we might call its "deep structure." Much of the confusion and polarization at the beginning of the twenty-first century, not just in the U.S. but all over the world, is arguably due to the tectonic rumblings of this shift.

Transformative Leadership in Context

The basic premise of transformative leadership is that everyone can lead, and that particularly in this transformative moment, everybody contributes to, and in fact cocreates, the world we live in, whether conscious of their agency or not. Every choice, every action, every discussion, every interaction is a reflection of how we are leading our own lives. Our every word and every action may be perceived as leadership by others to the extent that it influences them, whether consciously or unconsciously. Transformative leadership invites everybody to ask what kind of a world they are creating through their thoughts, beliefs, actions, and interactions, and to compare that with the kind of world they would like to create, and the kind of person they would like to be. Transformative leadership is, at its heart, a participatory process of creative collaboration and transformation for mutual benefit. It is not confined to heroic individuals making large dramatic actions and gestures. Transformative leadership can involve small actions, recognizing their cumulative effect, and the potential of the "butterfly effect." Small actions, gestures, a word, even said casually or unthinkingly, can have a big effect, whether in an intimate relationship or in a big organization. If we have learned anything from the excesses of the past, it is that it behooves human beings to recognize the extent to which they already create and lead, to recognize what they are creating, and also to be humble when transforming themselves and their world. With creativity and leadership comes responsibility.

Transformative leadership involves an initial *choice*. It is an active decision to acknowledge the current transformative moment, to develop agency by consciously participating in it, and to give this change a direction that allows individuals to embody higher values. In other words, *to lead by creating the future in the present*. Transformative leaders are everyday citizens (not necessarily heroic, charismatic, or "born" leaders) who, during a time of planetary transformation choose to engage in a transformative process to mobilize their creativity so that they may "lead" their own lives (as opposed to being led by what they feel are outdated traditions, habits, social roles, demands, and pressures they feel they can no longer accept), make a creative contribution towards leading society towards what they consider a better future (Montuori 2010).

The term transformative leadership is used in different ways in the literature. As articulated here, it is somewhat broader than the important definition and articulation by Carol Shields (2010, 2012, 2014). Shields's work was developed in the context of educational leadership, drawing on the work of Brazilian educational philosopher Paulo Freire. Shields's definition of transformative leadership is focused on social justice. The definition we articulate here is not exclusive to the domain of educational leadership, nor does it focus *exclusively* on social justice, in the sense that Shields explicitly states that her approach to transformative leadership sheds what she refers to as any psychological "trappings," in order to focus "much more directly on sociological and cultural elements of organizations and the wider society in which they are embedded" (p. 5–29).

Unlike Shields's definition, transformative leadership as defined here actively embraces the psychological and spiritual as well as the social world and the quest for social justice. In fact, one of the key aspects of transformative leadership as we define it here is precisely the need to combine personal and social transformation and view them as a process that occur hand-in-hand. In this sense, transformative leadership draws extensively on the notion of transformational leadership developed by Burns and Bass (Bass and Riggio 2006; Burns 2004). James McGregor Burns's articulation of transformational leadership drew extensively on humanistic psychology and specifically the work of psychologist Abraham Maslow (Burns 2010). For Burns, leadership is a creative act. For Bass, transformational leaders are charismatic, build trust, act with integrity, encourage others, encourage innovative thinking, and coach and develop their people (Bass 1985). One key difference between transformational and transformative leadership lies in the latter's view of leadership as an "everyday, everyone, everywhere," relational process. In a time of transition and confusion, it is more than ever the case that leadership is not to be found in, and practiced by, only a few selected individuals, particularly in light of the emerging networked culture of collaboration, or "We" culture (Bauwens 2007; Leadbeter 2009; Rainie and Wellman 2012). It is also the case that in a time of great disequilibrium, even small actions make a difference and contribute to creating our present and future – in any context.

Transformative leadership is "everyone, everywhere, everyday" leadership. Everyone can be a transformative leader; it does not involve a specific type of person (like a "born leader," or someone with specific characteristics) or require a specific position in any system. Transformative leadership does not have a privileged locus, like an organization (whether for profit or not for profit) with specific roles and lines of authority or a community. It can manifest in any context, which also means that it crosses the divide between "public" and "private." It can therefore manifest in very "everyday" activities and does not require or demand grand gestures or contexts. Furthermore, transformative leadership proposes that "everyday" activities and small additional incremental actions can be transformative (Jullien 2011).

The fundamental assumption is that human beings lead and create all the time, wherever they are and whoever they are. Transformative leadership involves first of all an acknowledgment, or a *recognition* of this "everydayness," drawing on Bateson's insight that *all behavior is communication* (Bateson 1972) and *not* communicating is also communication. Not paying a bill, not voting, not answering an e-mail, not talking are all forms of communication. Human beings are not just observing the world, not bystanders but always already in the world, participating (even when they think they are not), leading (by example) and cocreating (every conversation, every movement, even every habit). This participatory view broadens the question of *whether* I am leading/creating to *how and what* am I leading/creating.

Transformative leadership provides *orienting concepts*, a broad conceptual framework for individuals who want to live in the world in a way that is both more creative and more interconnected, more personal, as well as more social, a way of being in the world that embodies their highest ideals and allows them to make a contribution that reflects their values, hopes, and concerns. Transformative leadership is *aspirational* because there is no assumption of achievement or completion; its mission is a journey into the unknown and fundamentally a journey of relational creation.

One of the characteristics of our transformative moment is that the very concepts and practices traditionally associated with change and transformation, terms like leadership, creativity, the future, even "better," as in "a better world," are now destabilized, changing, contested, morphing, and transforming into something other than what they were (Gidley 2010; Kellerman 2012; Montuori and Purser 1995; Ogilvy 2002). Heroic Great Man and Lone Genius figures are being questioned, but they are by no means "dead," as the increasing number of "strong man" leaders at the helm of nation states indicates. We certainly hope the future is not dead, although it may smell funny, as Frank Zappa famously said of jazz. Transformative leadership reflects an aspiration to "lead" one's life, to create one's own form of leadership, to collaborate with others to somehow contribute to making the world a better place. But at the same time, there is no clearly established way to do so, let alone "one right way." Transformative leadership is aspirational because it is an invitation to embody futures that barely exist in the imagination.

Transformative leadership is intended to orient at a time when people want to make a difference but find it is necessary for them to reflect deeply about what that means. The complexity of the current situation, its transitional, transformative nature does not lend itself to easy answers. There is much skepticism about social and political movements (Achieve 2017), and about techno-centric solutionism, since so many of the "solutions" of the past have become the problems of the present. The conjunction of personal and social transformation coincides with asking questions about what really matters, what it means to be a human being, what human beings are capable of, what it means to "know," and how we can relate to others. Core metaphors about the nature of the world are changing, and one of the emerging alternatives to a view of the world as a giant clockwork, a Machine, which emerged with the Newtonian/Cartesian revolution (Capra and Luisi 2014; Morgan 2006), is the view of an interconnected process of creation (Swimme and Tucker 2011). Traditional assumptions, whether about the nature and role of women and men, or the relationship between human beings and nature, are being questioned.

Individuals who choose to identify as transformative leaders may defy the traditional images and stereotypes of what constitutes a leader, and how a leader acts. They question and mostly reject the old images and stereotypes of "great man" leaders, not least because many of them are women, people of color, or those with marginalized sexual orientations or gender identities. They do want to "lead" their own lives and are not satisfied with hand-me-down lives. They want break out of taken for granted assumptions of how a life could and should be lived and create for themselves and those around them lives worth living. Transformative leadership provides a generative framework for leaders, orienting them towards emergent ways of being, relating, knowing, and doing (Montuori 2010).

Transformative leadership bridges "heroic leadership" and "leaderless organizations." It is not just about heroic individuals fighting against all odds and leading their devoted followers to victory, (although there are plenty of remarkable individuals and acts of heroism). It is also not about organizations that have no leaders, reject leaders, or do not recognize the role of individuals in favor exclusively of collective coordination (although self-organizing teams and leaderless organizations exist and represent a growing trend). Transformative leaders are adaptable; they can be both leaders *and* followers, they can embrace the notion of emergence and heterarchy (Stephenson 2009), with shifting leadership roles based on competence and contextual appropriateness, as well as participating in swarms, flash mobs, and other forms of collective action. Most of all, transformative leadership is about participation and collaborative creation. *Transformative leadership involves a conscious choice to participate in a process of collaborative creation for mutual benefit.*

The Crisis of the Future: Reinvention, Recreation, Self-Creation, Transformation

At the beginning of the twenty-first century, we are in an age that has been referred to in many ways, as we have seen, but also as post-*progress,* because of the lack of compelling views of the future (Montuori 2013). The notion of progress, let alone of a determined, inevitable progress (e.g., every generation will earn more than their parents, technological advances always lead to improvement in quality of life), has faded, at best replaced by the term "sustainability." The implications are enormous because they point to the absence of a positive vision of the future and as the Dutch futurist Fred Polak (1973) has written,

> The rise and fall of images of the future precedes or accompanies the rise and fall of cultures. As long as a society's image is positive and flourishing, the flower of culture is in full bloom. Once the image begins to decay and lose its vitality, however, the culture does not long survive. (p. 19)

While many names and interpretations have been given to the current transformative moment, one way to frame it is as a form of global identity crisis. An identity crisis, if we trace the concept back to Erik Erikson (1994), is associated with a "psychosocial moratorium," a time when new identities are explored and tried on, but also a time during which there is a goal moratorium, either goallessness or conflicting goals that lead to a degree of paralysis. The concept was originally applied to individuals but has also been used to explain social phenomena (Maruyama 1979). In the United States, these are some of the key dimensions of the identity crisis, including Americans' relationship:

- to their bodies (plastic surgery, living longer but also the crisis of Alzheimer's and the greying of the population),
- to their own gender identities (changing gender roles, LGBTQI),
- to their work identity (end of the industrial age, the beginning of the digital economy, the gig economy),
- to their potential as human beings (the human potential movement, positive psychology, the New Age, extreme sports, "be all that you can be")

- to their national identity (foreign policy, Vietnam, "cultural anxiety," history of systematic racism, individualism, demographics, the United States's role in the world, new immigrants, the clash over history textbooks, diversity, and pluralism),
- to their existence as citizens on one planet (globalization or planetarization, pluralism, "McWorld versus Global Jihad"),
- to nature (with the environmental crisis, organic foods, nature as a resource and nature as a partner),
- to knowledge (with the knowledge explosion and the need for complexity, discernment, and integration),
- and to their religious or spiritual identity, in the sense of a quest for meaning in life beyond simply material survival (postmaterialism, fundamentalism, cults, "spiritual but not religious").

We used the United States to illustrate the notion of a global identity crisis, but similar identity crises are happening all over Europe, and also in China and India, which have experienced a tremendous transformation in the last 30 years, as well as other emerging nations like Brazil. One of the key factors is the ever-increasing pluralism and the lack of integrative factors. Fundamentalist movements of all stripes act as antipluralist forces for homogeneity (Montuori 2005; Slater 2008).

One of the ways we can see how this transformative moment manifests in and as an identity crisis is research suggesting that western countries have become "reinvention societies," reinventing bodies, persons, careers, organizations, and communities (Elliott 2013). Reinvention is about re*creating*. The term invention points us straight to the importance of creativity. We can see this greater desire for creativity in the breakdown of the traditional opposition between bohemian and bourgeois and the emergence of "Bobos" or Bourgeois Bohemians (Brooks 2001). The Bourgeoisie was always identified with solid citizen, middle-class values, conservatism, a slowly growing savings account and a lack of imagination, and risk-taking. Bohemians, on the other hand, were the creative types who identified themselves by their artistic nature, cutting edge lifestyles, and disdain for mainstream culture. Bobos represent a blending of these two types, usually engaged in the kind of mainstream work traditionally associated with the Bourgeoisie but with the attitude and flair of the Bohemians. As Brooks shows, Corporate America appeals to the Bobos with advertising that represents "countercultural capitalism" and fetishizes creativity.

Bobos do not identify as businesspersons. They are creators who happen to do business. They are hipsters. An unusual marriage has occurred; business has become hip, and the new "hipsters" are not at all necessarily musicians or artists. In some sense, it is hip to be square. In fact, the new valorization of creativity may be partly the result of the way in which the "counterculture" has been co-opted and has arguably become consumer culture (Frank 1997; Heath and Potter 2004). A new generation of business magazines like *Fast Company* began the trend of looking more like *Rolling Stone* than *Fortune* or *Forbes*.

To what extent, then, is all this talk of creativity and self-creation just another playground for the privileged few, for over-caffeinated hipsters? This raises the question, now that creativity has to some extent been democratized, how are we going to use it? We would argue that the process of reinvention itself, and the possibility of self-creation and making a creative contribution is open to many, and is not strictly dependent on privilege even though people who are post-materialist, in Inglehart's terminology, who do not have to struggle to make ends meet, are more likely to explore reinvention.

The French philosopher Edgar Morin has argued that we are experiencing a *crisis of the future* (Morin and Kern 1999). A crisis of the future means there are no compelling, widely shared images of what a better future would look like, and therefore nothing to truly motivate people, exactly the sort of thing Polak warned about. In 1977, a line from the Sex Pistols' song *Anarchy in the UK* screamed prophetically that there was "no future in England's dreaming." Forty years later Europe and the United States, there is increasing clarity that the status quo is untenable, as curious and confusing phenomena like Brexit indicate, but there is little sense of a positive future direction or faith in leadership. Where do we go from here?

In the West, the broad association of the future with linear progress, with technological advances, and with financial prosperity has collapsed. The millennial generation is now experiencing the prospect of being worse off than their parents economically, but they are also faced with looming environmental catastrophes, global terrorism, resurgent nationalisms, political chaos, a loss of faith in leaders and institutions, and the general sense that the world is going to hell in a handbasket. It is not only the West that is struggling with the future. In booming countries like China, where the last 30 years have seen remarkable changes, there are also questions about what constitutes progress. For all the economic growth, there are serious environmental issues, corruption, inequality, severe dislocation, and alienation and many forms of crime that did not exist before the economic explosion (Gao 2015; Jacques 2009).

The notion of progress emerged most strongly in the enlightenment, during the seventeenth and eighteenth centuries, and brought with it Utopian visions of ideal societies. "Progress" seemed to be a given. Today, the term Utopia is associated with disastrous efforts to create new worlds, whether in political systems or failed spiritual communities. It has been displaced by the term Dystopia. The idea of progress likewise seems to have been eclipsed by the term sustainability. Sustainability has become a catch-all to refer to ways of surviving the oncoming crises caused, ironically, by those very industrial and technological advances that were once viewed as the engines of progress, whether technology, capitalism, or communism.

During a transformative moment, the call for a return to earlier and better days is almost inevitable (Kelly 2010). It is certainly the case today, with a flood of nostalgia for (somebody's) idealized past, "simpler" days, and "retromania" in pop culture (Reynolds 2011). The dominant dystopian visions of the future in movies and science fiction seem all too likely, making the idyllic images of the past look even more attractive.

This brings us to another central element of transformative leadership: The transformative moment requires a *radical* approach, in the etymological sense of the word of going to the roots of the issues, challenging fundamental assumptions, and proposing and embodying alternative futures. This requires healing the traditional split between theory and practice (Donnelly 2016). Transformative leaders do not feel they can simply "act," because they are aware of the extent to which they are steeped in the problematic ways of doing things that have caused the very problems they are attempting to address. Just acting without reflection and awareness of the extent to which all actions reflect a theoretical perspective, beliefs, and assumptions can be deeply counterproductive, particularly if the purpose is to create something new, rather than replicate the past. As Edgar Morin (Morin 2008) has stated,

> . . .our thinking is ruled by a profound and hidden paradigm without our being aware of it. We believe we see what is real; but we see in reality only what this paradigm allows us to see, and we obscure what it requires us not to see. (p. 86)

The challenge for transformative leaders is to make the invisible visible, not just to adapt to these new conditions, but also to question, critique, *and provide alternatives* to this domination of the market economy in almost every dimension of our lives, what Rushkoff calls *Life Inc.* (Rushkoff 2011). Technological and economic changes are pushing us in a specific direction, but they are the result of human choices, something that is sometimes forgotten in the overwhelming onslaught of change. The changes appear somehow deterministic, driven inexorably by the laws of the market, the forces of technology, and so on – outside of our control. Where *is* our creativity leading us, and where are we leading our creativity? Transformative leaders need to be able to step back and reflect on the human agency in this process, acknowledge that this is not "just happening" but the result of human choices.

Four Orienting Concepts

Transformative leadership has four primary orienting concepts, summarized as (ways of) being, relating, knowing, and doing (Montuori 1989, 2010; Montuori and Conti 1993). They serve as a broad framework through which to interpret and guide changes towards a better world, a world that is beyond "post-," whether the post- is postindustrial, postmodern, or postnormal. Their purpose is to clarify what we might call the Operating System (OS) of the past, and to articulate the OS of a new culture, an alternative based on a synthesis of significant futurist and philosophical works.

Way of being refers to our fundamental assumptions about what we believe human beings are, as well as what, the entire Universe – "is." Transformative leadership entails a shift from the Cartesian Newtonian view, which saw the universe and human beings as machines, initially with God as the Great Watchmaker, then just a machine with no God, to an emerging view that sees the entire universe as one ongoing interconnected creative process or *creatio continua*, continuous creation (Burneko 2005; Capra and Luisi 2014). For the Cartesian Newtonian view, the focus was on parts and structure. For the creative worldview, interconnectedness and creativity are primary. The change in worldview is dramatic and the new understanding of the creative universe also requires a different *perspective*. As physicist Paul Davies summarizes the transition,

> (F)or three centuries, science has been dominated by the Newtonian and thermodynamic paradigms, which present the universe as either a sterile machine, or in a state of degeneration and decay. Now there is the paradigm of the creative universe, which recognizes the progressive, innovative character of physical processes. The new paradigm emphasizes the collective, cooperative, and organizational aspects of nature; its perspective is synthetic and holistic rather than analytic and reductionist. (p. 20)

Creativity, in this view, is the fundamental nature of the Universe, rather the spark of an occasional (C)creator. Human beings are part of this intrinsic creativity of the universe: We are creatures and creators in creation. Creativity is not limited to certain unusual people and to certain unusual moments. It is rather, the very stuff we are made of, and creating is a basic "everyday, everyone, everywhere" human capacity (Bocchi and Ceruti 2002; Ceruti 2008; Davies 1989; Kauffman 2016; G. D. Kaufman 2004; Peat 2000; Richards 2007). This creativity does not have to manifest in earth-shattering revolutionary ideas, but in a greater response-ability, deautomatization, and less unquestioned reliance on rote, habitual responses. It is the ability to participate with greater freedom and openness to change and the creation of more choices.

In terms of leadership and creativity, in the machine view, the leader/creator was always outside the machine. After all, machines have to be created by somebody, and somebody has to "lead" them. God was the Creator, human beings were simply doing his will; the great leader was an exceptional person, standing apart from his men, whose job it was to follow his orders. The great creative geniuses were always outsiders, different, weird, "inspired," "gifted," both loved and resented (McMahon 2012; Tonelli 1973). In other words, there was a distinct separation between leaders and creators and the social systems they interacted with. The lone cowboy gunslinger coming to save the helpless town folk from the bandits, the lone private investigator taking on the dark forces of crime and corruption singlehandedly, these were popular twentieth century images of the individualistic outsider. The one and the many. Leadership and creativity were never *in* the system. They were always in the hands of an individual who by his very nature (and it was almost inevitably a man) was outside the system.

For transformative leaders, the premise is that human beings are fundamentally creative, live in a creative universe, and that being, relating, knowing, and doing are fundamentally creative processes (G. D. Kaufman 2004; Montuori 2011b; Swimme and Tucker 2011). Human beings live in worlds of their own creation. They create their understanding of nature and of the universe, of what it means to be human and what a human being is, and that understanding is never final, always changing. This is the "cosmological motive" Frank Barron found in creative individuals: the desire to create their own unique understanding of the world (Barron 1995). Human beings *create* their understanding of their world and create their world through their participation in it as they are, in turn created by their own creations and by creation itself. Based on their interpretation (knowing) of themselves and of the world (being), humans have created schools, prisons, businesses, houses, marriages, government, languages, sports, role models, outsiders, leaders, and so much more (Gergen 2009). Human beings create cultures, political and economic systems, and power structures, and these in turn shape human beings. The French philosopher Cornelius Castoriadis has argued that the health of a society can be assessed by the extent to which it recognizes its own process of self-creation; in other words, the extent to which it takes responsibility for its own creations rather than thinking "this is just the way things are" (Castoriadis 1997). The same is true for individuals. Human beings "forget" their own agency, their own responsibility, and their own creativity. This way of being is an invitation to recognize and take responsibility for human creativity, in the larger context of universal creativity (Kauffman 2016; Peat 2000).

Way of relating addresses our fundamental conceptions about human nature and the nature of relationships. Riane Eisler has usefully differentiated between domination and partnership relationships and social systems (Eisler 1987). In the former, relationships are a zero-sum game; somebody has to win, and somebody has to lose. Somebody has to be on top, and somebody else on the bottom. The system is rigidly hierarchical and authoritarian with women inevitably a subordinate role. A key element of the current transformation is the challenge to traditional hierarchical binary oppositions such as male/female, culture/nature, in-group/out-group, white/nonwhite, boss/worker and, of course, leader/follower, with the first term always superior. The environmental crisis has led to a critique of "anthropocentric" views of nature, where nature's only role is to be exploited by humans (R. E. Purser et al. 1995). The women's movement has challenged the supremacy of men in society, from the home to the workplace. The civil rights movement in the United States challenged the supremacy of white people over people of color. The term nonbinary challenges a binary way of viewing human beings as separated into two sexes exclusively.

What is of particular interest and adds considerable complexity to the transformation of these hierarchical binary oppositions is the fact that in the case of civil rights in the United States, for instance, research suggests a majority of white people believe that any reduction in prejudice towards people of color must by necessity mean an increase in prejudice towards white people (Norton and Sommers 2011). In this view, racism is a zero-sum game that they are losing. The implications for the future are considerable, since this view does not take into account the possibility of a reduction in prejudice and discrimination across the board, and the possibility of partnership, of creativity and mutual benefit in diversity. Partnership systems are democratic rather than authoritarian and involve *the creation of mutual benefit*. This involves making win-win a primary goal. Creativity is needed to make this possible, particularly because so many of human relationships and social systems are informed by the dominator view.

Way of knowing refers to the way in which we make sense of the world. Traditionally, this has been through what French philosopher Edgar Morin calls a *paradigm of simplification*, with analysis, reductionism, decontextualization, and disjunction (separation) (Morin 2008). In other words, breaking a phenomenon into its smallest constituent parts in order to understand it, as well as using a logic of either/or. The organization of knowledge helps us to see this manifests as a fractal phenomenon. The way institutions organize knowledge has a "fractal" or self-similar relationship with what is considered "good thinking" in the West. In the same way, that organizations have historically been created as a system governed from the top with separate departments that often do not communicate, human thinking has focused on analysis, breaking down issues into constituent parts (Zerubavel 1991, 1995). Morin's alternative, *complex thought*, argues for the importance of a form of thinking that contextualizes and connects, is self-reflective and relational, and open to the reality of uncertainty rather than engaging in a perennial quest for certainty. Faced with an interdependent, interconnected world, a world of creation and inter-relation, we also need a way of thinking that can account for interconnectedness and creativity.

Way of doing brings these three earlier dimensions together in their embodiment in action. Does action involve following preestablished rules, the one right way, or is there openness to spontaneity, improvisation, and being in the moment? The rule and routine-based approach is part and parcel of the machine, top-down authoritarian, control culture. It is still firmly embedded in our educational systems and in far too many organizations, valuing obedience and following orders. A creative worldview draws far more on the creativity and initiative of individuals and groups, on *emergence* and the ability to improvise and deal with the unforeseen. The rule and routine-based approach may work well in stable environments but falls apart in more turbulent, uncertain, complex environments where we are confronted with non-routine tasks, with surprises not addressed in the manual or for which our boss or colleagues have no immediate solution. Improvisation involves developing competencies beyond rule-based expertise to be able to create on the spot, in a play of constraints and possibilities. It is a process of navigation. It is not the case that because the rules do not apply suddenly anything goes. There are still values and goals, a larger context within which one must be appropriate, but at the same time, the degree of personal responsibility and freedom is much greater.

The metaphor of the improvising jazz musician is relevant here (Montuori 2003). Individual and collective improvisation are central to jazz. What is usually not well understood is that in jazz, with the exception of a few forms like free jazz that often dispenses with all structure, the improviser's performance occurs in the context of a specific song, which has a musical form, a key, a chord progression, and an agreed upon mood (a ballad, for instance), all of which have been agreed upon in advance by the musicians in the band. The song, the key, and the other musicians are constraints within which the musician has to develop possibilities, with a great deal of discretion. This requires an alignment between the individual musician and the group and the ability to create collaboratively in context. The musicians know how to lead as well as follow, listen as well as play, create structure as well as innovation; traditional binary oppositions of either/or are transformed into both/and. The "jazz metaphor," which perhaps not surprisingly emerged from marginalized cultures of "outsiders" (Becker 1963), and African-Americans, has been a rich sources for generative alternative concepts and practices which are becoming recognized in the leadership literature (Barrett 2012).

One example of the both/and nature of jazz performance is shown in a group exercise involving listening to a jazz performance and understanding the dynamics of the process (R. Purser and Montuori 1994). This made it clear to the participants that central to a successful performance is the art of *listening*. While the listener's attention may initially and obviously be drawn to what the performers are playing, the sounds they are making – what they are *saying* – a key insight for the participants was that the musicians were also, and above all, listening to each other. The quality of the individual and collective performance was very much shaped by the extent to which the musicians listened to each other and were able to interact, which made it possible to play off each other, mutually inspire, and create a sound that was more alive. The sound of the performance is an emergent property of the relationship between the musicians, meaning that it is not all about one person; it is about individual *and* group (*not* there is no I in group), part *and* whole, playing *and* listening.

Creative Inquiry: Learning and Unlearning to Lead

Leadership and creativity have been associated with an aura of mystery and magic, as well as a rich and mostly partial or completely incorrect set of myths. One fundamental myth is that "we either have it or we don't." Some people are creative, or leaders, others are not. Some people are "born leaders" some people are "gifted." Joseph Nye sums up what the research tells us about this view like this (Nye 2008):

> Almost anyone can become a leader. Leadership can be learned. It depends on nurture as well as nature. Leadership can exist at any level, with or without formal authority. Most people are both leaders and followers. They "lead from the middle." (p. 147)

Many of the cultural myths about creativity many of us have grown up with are simply not correct, or very partial views (S. B. Kaufman and Gregoire 2015). A key factor in clearing up some of the myths about creativity comes from the research on mindsets by Carol Dweck (2007). Dweck differentiates between *fixed* and *growth* mindsets. With a fixed mindset, people believe qualities like creativity are fixed traits, and we cannot do anything to develop them. They believe that talent alone creates success – and no effort can make a difference. As a result, these people focus on showing other people how much of the apparently finite qualities they have, instead of developing them, or assuming they are simply not creative or talented and resigning themselves to it. This is not a helpful way of being, and Dweck documents how limiting it is. Society generally perpetuated a fixed mindset with the cultural myths of creativity: you either have it or you don't, and if you are creative, you really don't have to "work" at it. In fact, the idea of "genius without learning" was central to the notion of genius that emerged in eighteenth century Europe. Genius was a gift, and the genius did not have to learn anything or work hard at it. *Our cultural myths about creativity reflected and perpetuated the fixed mindset*. They also reflected a way of being that made creativity the exception, rather than the core of human existence, and perpetuated an uncomplex, either/or way of knowing. You have either got it or you have not. And the people that allegedly did not have it, the vast majorities, we reduced to being conforming, to following the exceptional individuals.

The fixed mindset is disempowering and has been perpetuated in a variety of ways, for example, in the popular show-business saying, “don’t let ‘em see you sweat.” In other words, do not let them see you are working hard, because it takes away from the magic that makes the performer more attractive and marketable (Stigliano 1999). While this is understandable in the context of a performance, it does create a feeling for the audience that “no ordinary human could do this – or at least I couldn’t!” This same “magical” quality is often cultivated by leaders, to appear wise, decisive, never doubting, never at a loss, and responsible for all successes (and failures) (Meindl et al. 1985).

Dweck contrasts the fixed mindset with what she calls *the growth mindset*. In a growth mindset, people believe that their most basic abilities can be developed through commitment, dedication, and hard work – brains and talent are just the starting point. This view fosters a love of learning and a resilience that is essential for great accomplishment. Virtually all successful people have had these qualities, Dweck argues. This is the mindset necessary for creative, transformative leaders: A process of ongoing learning, rather than attempt to “prove” how good we are, coupled with a healthy skepticism for leaders who play up their gifts and their charisma, often as a smoke screen for their true motives and/or failings.

In this time of transition, there is a need for new ways of making sense of the world. This process requires a new approach to inquiry, and to the relationship between theory, action, reflection, and practice. Compared to even 50 years ago, a mindboggling amount of information is at our fingertips. This is forcing a reflection and reassessment of what constitutes “knowledge,” because now the issue is not so much getting access to information, but how to assess whether it is meaningful, useful, what constitutes “fake news,” and how to integrate and make sense of it all (Weinberger 2012). Transformative leadership is a journey of exploration and creation; it is a journey into the unknown, where the future is a path laid down in walking that requires an ongoing process of *creative inquiry* (Montuori 2006, 2011b). Creative inquiry is an approach to learning that shares the view that human beings, their cultures, institutions, relationships, and traditions are all part of a larger universal creative process (way of being). It is an ongoing, self-reflective inquiry into creation and transformation at a variety of different levels, whether at the level of the personal, interpersonal, organizational, or in communities.

In this transitional moment, it is necessary to understand where we are coming from, if only to have a sense of the way our current reality is informed by our own creations: the specific beliefs, assumptions, structures, institutions, customs, and traditions that were developed in our past. With the rapidity of change on many different fronts, the role and view of the past become of great interest. We see that some wish to bring back a past that never existed, while others believe that the past has little to offer us, that it is as “outdated, past its sell-by date” and as unnecessary as an old operating system. But unless we become aware of the past, of how and what we created and how those creations created us today, we are indeed doomed to repeat the past. All our best efforts at being "solution oriented" may, in that case, just replicate the same kind of thinking and behaviors that created the problems we want to avoid. And we must also retain and honor what is useful, important, and wise.

There is so much to learn but also so much to unlearn. And perhaps not surprisingly, even our approach to learning has changed. All too often, learning is still viewed and practiced with the mentality that informed schools in the Industrial Age, what we have called *reproductive learning* (Montuori 2011d). Schools and factories in the Industrial Age were not designed to foster creativity. On the contrary, they were designed to eliminate any trace of it and produce docile workers and citizens. They were part of what the sociologist Philip Slater called control culture (Slater 2008). Unfortunately, much of schooling in the twenty-first century, with some exceptions, is still based on this fundamental premise, and control culture is still dominant. Transformative leaders engage in the process of *creative inquiry* as an ongoing exploration of what it means to be, relate, know, and act as a transformative leader.

Transformative leaders (1) review the past, (2) question and recognize the present, (3) envision alternatives and possibilities, and (4) embody and enact the future. Transformative leadership is about creating and embodying the future in the present. To do that, transformative leaders have to remain aware of the triad of past-present-future. In order to understand transformation, they want to understand the extent to which history informs the way they think, know, feel, and act in the world. If efforts at transformative change are informed by the values and perspectives that informed the world that is no longer working, they are doomed to reproduce the conditions they seek to change. The present is shaped both by the past and by the future. The past shapes us, and the way we conceptualize the future influences the way we act today. If we assume the world will end tomorrow, or that the economy will take a downturn, we will act differently today than if we think that the economy will be booming and we have an appointment with the love of our life. At the same time, we also have to remember that it is not enough to critique, to challenge existing structures and "speak truth to power." More than ever today, we need possibilities and alternatives, we need to enlist our creativity to give us hope for the future, and the discipline to embody that future in the present.

Creative inquiry means navigating our ongoing personal transformation, the transformation of society, and how they are interconnected. It involves understanding oneself, and our world, relationally and *in context*. It means understanding one's limits as well as one's potentials, and viewing the process of becoming a transformative leader as on ongoing process of self-eco-creation, the eco serving the purpose that we are always creating and transforming in a context, an ecology (Montuori 2012). Creative inquiry is contrasted with *reproductive education*, which originated in the Industrial Age and was designed for a different era, with values such as standardization, homogenization, and information transfer, a "cognicentric" approach that unquestioningly reproduces the status quo, its power relations, assumptions about what is and is not possible, what human beings can and cannot do. Leaders who want to create the future cannot simply reproduce what has come before. Creative inquiry is also contrasted with *narcissistic education*

(Montuori 2011c). This view holds that if the old ways of being, relating, knowing, and doing are obsolete, if traditional authority has failed, if one leader is as good as another, then anything goes, there are no experts, no guidelines, no criteria, and I can make up my own rules. The narcissistic approach defines itself in opposition to the reproductive. It values all the latter rejected, like subjectivity, affect, personal history, opinion, subjectivity, imagination, and creativity, in turn rejecting anything that is seen as impractical, theoretical, or "intellectual." It views the past as a failure, and wants nothing to do with it. But in rejecting the reproductive, it also rejects all that is valuable in more traditional approaches to inquiry such as the importance of developing a more comprehensive understanding of the world, an overview view of the different theoretical frameworks that may inform a subject, the importance of research, and so forth (Montuori 2006). This polarization is often reflected in the split between scholars and practitioners, with scholars accusing practitioners that they are theoretically unsophisticated, and practitioners finding scholars too far removed from reality (Donnelly 2016).

Transformative leaders can draw on the interrelated, interconnected tetrad of theory-action-reflection-practice. They recognize that they are, willy-nilly, informed by *theory*, by ideas, beliefs, and assumptions, and that many of these theories are implicit, meaning they are taken for granted and assumed to be just the way the world is or the way things are always done. More than just "knowing" a single theory, it is becoming necessary to be able to take a meta-position, which means becoming aware of our own implicit theories, as well as understanding several theoretical perspectives and being able to assess them, see their strengths and weaknesses and their implications so as to expand our ways of understanding the world, and challenging our own assumptions. This does not mean that all transformative leaders need to have a Ph.D., but rather that in today's world, greater demands are being made of our cognitive capacities – demands that education mostly does not prepare us for (Kegan 1998; Morin 2001; Tsoukas 2017). As Tsoukas suggests, we must not simplify but complexify. This does not mean we should complicate, or make understandable only to an elite, but rather make sense of the world, of ourselves, and of our fellow human beings in ways that are not reductive, not simplistic (Morin 2008). All too often, for instance, there has been a tendency for the quest for "actionable" knowledge to mean that ideas have to be presented in easily digestible, recipe, the "5 steps to. . .," "4 ways to. . .," approaches. While this approach has a certain appeal, the recipe approach also means that we are never making our own food, always following somebody else's instructions. And in some cases, it is as if the food is already digested for us, emptied of any nutrients. Personality assessments are often misinterpreted in a simplistic "essentialist" way, as "this is how I am," rather than as a roadmap towards psychological growth and integration, as Jung intended his typology which became the widely used MBTI assessment (Jung 2014). The key difference is whether we see knowledge reproductively, as a statement of fact (one right way, this is the way to do it, you are X, Y, or Z), or also creatively, as a guide that entails work on our part – thought, reflection, action, and practice (Argyris and Schon 1974, 1996; Senge 1994; Weick 1995).

Reflection invites us to develop a complex relationship with knowledge and how we engage the world. Reflection invites us to ask, What theory am I currently embodying? Am I embodying a zero-sum approach or a win-win way of relating? Am I embodying a creative way of being, or am I locked into a mechanical set of responses? Do I want to take charge, be the boss and forget about participation? *Action* is a great crucible for learning, where our ideas manifest, are tested, and shaped. Reflection on action is vital, and the results of these reflections can lead to the development of *Practices* designed to address areas of growth. By practices, here we intend transformative practices like various forms of meditation, shadow work, and so on, cultivating wisdom and compassion, as well as more specific contextual skills that foster the creation of desirable ways of being, relating, knowing, and doing (Walsh 1999). *Theory* informs all of the above – our approach to reflection, the way it is embodied in our actions, and informs our practices. When integrated in the tetrad, the theoretical dimension enriches and complexifies our lives.

Background of Transformative Leadership

Transformative leadership views leadership as a phenomenon that it is constructed, contextual/relational, emergent, and paradoxical (Montuori 2010).

1. *Leadership is constructed*. An overview of the research and history of the concept of leadership shows that it *constructed* (Ospina and Sorenson 2006). By this, we mean that there is no univocal, timeless, universal understanding of what constitutes leadership. Different times and cultures have different understandings of what leadership means, and what constitutes good leadership. Cultural mythologies uphold images of what it means to be a leader, of what a leader "is," how a leader should look and act. These images tell us what a leader should be like, and who can be a leader: those who do not conform to these images are viewed as not having "the right stuff," and historically this "stuff," besides heroic tendencies, has included the right gender and the right color. These images create our *implicit assumptions* about what a leader should be like, what a "real" leader "is." But it is increasingly clear that there are many different people who can lead, and many different ways to lead (Bordas 2012; Western 2008). Particular attention needs to be paid to groups that were traditionally under- or even un-represented. The very characteristics traditionally associated with "good leadership," such as the strong man figure, can often be counterproductive and lead to disaster (Brown 2014). These images can force individuals to behave in certain ways in order to retain their image as "leaders" by, for instance, acting immediately when reflection is more appropriate but might be perceived as "weakness" or "hesitation."
   Viewing leadership as constructed therefore also draws our attention to popular images of leadership, how they are constructed and perpetuated in the media, and the way they shape our understanding and experience of leadership. One of the current challenges of leadership is that while new ways of leading are desperately needed, the popular implicit assumptions about leadership may still lag behind

and reflect a different era. Particularly in times of anxiety, change, and threat, it is easy to fall back to these images, and demand "real" leaders, strong decisive leaders who act first and ask questions later, when in fact the complexity of the situation may require a very different form of leadership (Montuori 2005).

Understanding leadership as constructed and manifested in a plurality of ways opens up a realm of possibilities. Enacting and embodying new forms of leadership may well get pushback because they are innovations. It may be the case that particularly the more collaborative, participatory, approaches that do not have the explicit characteristics traditionally associated with leadership, may be misunderstood. Transformative leaders are in many cases individuals who are underrepresented among traditional leaders, minoritized groups such as people of color, women, as well as people of marginalized sexual orientations and gender identities. They therefore draw on different cultural backgrounds and values in their construction of their approach to leadership, and may clash with the traditional images of the dominant culture. Transformative leaders therefore need the courage to create and also the ability to support other leaders to make it possible for different voices and directions to be created and for them to succeed.

2. *Leadership is contextual-relational*. Leadership is not merely the function of the characteristics of a lone individual. A person is not a closed system. He or she needs to be understood in context, as systems theory and Fiedler's contingency theory pointed out (Fiedler 1964). A transformative leader is a node in a network of interactions in a larger context of relationships. A leader can be a nexus, a systemic attractor, a catalyst, a facilitator, a leader can push and pull but always in the context of a network of relationships. In fact, relationships can lead, as we are becoming increasingly aware that leadership is not strictly an individual function. The traditional frame of leader and followers is now expanded (Crossman and Crossman 2011). The view of leaders as active and followers as passive has been challenged, and the boundaries are blurred. Transformative leaders are *participatory* leaders. They do not see leadership as a top-down process, but as a relational one, involving the transformation of others who would normally be viewed as followers into participants through participatory processes, as well as the leader her- or himself being willing and able to be a follower when necessary. And most importantly, transformative leadership can be the *creation* of generative contexts and relationships.
3. *Leadership is paradoxical*. Transformative leaders combine "soft" and "hard" power, emotional intelligence and analytical intelligence, "hard" (organizational, task) and "soft" ("people") skills, and the spiritual world and the material world (Neal 2006). They can lead but also follow, inspire but also listen, be decisive but also reflective. In more traditional ways of thinking, we are often impaled on the horns of either/or thinking, whether in decision-making or in our self-creation as leaders, choosing *either* hard *or* soft, decisive *or* reflective, task *or* relationship (Low 2008; Trompenaars and Hampden-Turner 2001). Transformative Leaders develop the ability to embrace paradox, where paradox refers to going beyond traditional dualisms, and draw on a wider spectrum of choices which may include combining what has traditionally been viewed as opposed (either/or) (Donnelly

2016). Transformative leaders are aware of the dualisms of modernity that have led to excessive polarization and opposition. Two of these dualisms are intimately related, as we have seen, and they are between theory and practice and scholars and practitioners.

4. *Leadership is an emergent process*. Leadership *emerges* through a process of interactions, with unpredictable, holistic, systemic properties, and qualities. The whole that emerges through the interactions of the participants in context can be more than the sum of its parts, but it can also be less than the sum of its parts. The role of *organization* is key in this process (Morin 2008). The organization of interactions is always confronted with the dialogic of order and disorder. Too much order and the system becomes ossified, inflexible, and incapable of change. Too much disorder and the system descends into utter chaos. Navigating the edge of chaos is where creativity and transformation can emerge (Montuori et al. 2003). Transformative leadership involves the ability to recognize, catalyze, and wisely inform this process of navigation. The transformative leader facilitates the emergent relationships in a specific tribe and may focus on cocreating a tribe that is itself not simply a collection of followers but a generative, creative environment. This means that transformative leaders shift their focus from exclusive top-down control and prediction to navigation of the ongoing process of emergence, what in some circles is called "hosting," a very interesting term because, as the title of the article "from hero to host" suggests (M. Wheatley and Frieze 2011), the two terms reflect very different understandings of what it means to lead. This requires great awareness of the directions in which creative interactions are moving and how those directions reflect agreed upon values through a reflection on the emergent whole.

The Art of Hosting, Participatory Leadership, and Collaborative Creativity

One contemporary development that illustrates many aspects of transformative leadership is the growing global movement called *The Art of Hosting Conversations That Matter*, or simply *The Art of Hosting*. The Art of Hosting "is an approach to leadership that scales up from the personal to the systemic, using personal practice, dialogue, facilitation and the co-creation of innovation to address complex challenges" (The Art of Hosting 2012). It is about creating opportunities for participatory leadership and participatory leaders, what Margaret Wheatley (1996) refers to as the activation of "leader-full" communities and organizations.

In the late 1990s and early 2000s, streams of people and work across the United States and Europe began to join, forging the river that is The Art of Hosting today. As a community of practice, it now spans from Goa, India, to the European Commission, from rural revitalization in Kafunda Village, Zimbabwe, to activating youth leadership in the Yukon Territory, from the issue of homelessness in Columbus, Ohio, to changing the public healthcare system in Nova Scotia. Art of Hosting practitioners in these contexts among many others, both within and outside of organizational boundaries, are using participatory leadership methods to activate collective intelligence to address contemporary challenges.

So what are these methods and practices? The Art of Hosting is a blend of methods for creating open and meaningful conversations and dialogue such as Circle, World Café, Appreciative Inquiry, Open Space Technology, and Collective Story Harvest. Through Art of Hosting trainings, as well as ongoing local and global communities of practice, practitioners learn the skills of integrated, contextual design where each event, meeting, dialogue, or conversation is tailored to the specific context and purpose.

What makes the Art of Hosting distinct from the general category of facilitation is that it is rooted in a living systems worldview, a perspective that acknowledges the role and generativity of complexity, and chaos in human affairs. These methods of dialogue are not based on a machine worldview that subscribes to command-and-control leadership. Rather, they intentionally invite the emergence of collective creativity that can surface through integrating and even welcoming the chaotic, complex, dynamic messiness of human behavior and interaction. The Art of Hosting is a response to the awareness that no one leader, individual, government, organization, or nation can address, never mind solve, many of our social and ecological problems. A guiding question for Art of Hosting practitioners is: How then, do we as people living in this planetary moment, come together in uncertain times and tap into our collective creativity and intelligence?

At first, a desire to learn the dynamic conversational methods (Circle, World Café, Open Space) is what attracts new practitioners to the Art of Hosting, but one quickly realizes that it is also an ongoing practice, art, craft, and lifelong apprenticeship that emphasizes the relationship between personal and social transformation. In the vein of transformative leadership, becoming an Art of Hosting practitioner means unlearning myths and assumptions about heroic leadership, the dominance of the machine worldview (and learning to find the cracks), and of releasing one's need to know "the answer" or sell "solutions." It requires not only hosting others but also hosting oneself through reflective practices, self-inquiry, as well as centering the cultivation of deeper skills or *metaskills* (Donnelly 2016; Mindell 1991) needed to work with social emergence such as compassion, working with bias, listening, improvisation, and letting go of the need for control, all while staying engaged and attentive. Working with paradox is an essential metaskill to strengthen as a host, as hosting often means engaging perceived oppositions (in oneself and others) such as action/reflection, results/relationships, theory/practice, power/love, process/content, and tradition/innovation. The practice of hosting requires an intimate understanding of how these perceived oppositions (or polarities) can be brought into a dynamic relationship that neither needs to seek integration nor rejects one aspect through creating and solidifying an opposition (Donnelly 2016).

The Art of Hosting work shows directly the relationship between personal and social transformation. In order to engage in social transformation in a way that does not replicate the same problematic approaches of modernity, it is necessary for individuals to engage in an ongoing practice of self-development. This practice, which can only be lightly summarized in the four foundations of transformative leadership but obviously requires much deeper immersion, will involve learning how to let go of assumptions, beliefs, and behaviors – ways of being, relating, knowing, and doing – that individuals have inherited from the past. It is not enough to develop either new social systems or engage in personal development. We can learn from the abject failure of many spiritual communities that have focused on personal development without taking into account the role of social systems, and the problems faced by social change efforts that do not also involve a concurrent focus on personal development. Too many utopian spiritual communities have not succeeded in working together because they simply replicated authoritarian structures of the past, and too many well-meaning social activist groups and non-profits have faced endless bickering and interpersonal problems because the individuals involved did not recognize the need to address their own personal issues, particularly in times of stress.

It should be pointed out that a typical trap in this process is to engage in both personal and social transformation, concurrently, but in fact separately. The personal transformation efforts are not directly connected to the challenges of everyday life and social transformation, and the social transformation efforts are not used as grist for the mill of personal transformation. The challenge of transformative leaders is to weave together personal and social transformation.

Characteristics of Creativity: Creative Leadership Against Authoritarianism

In this transformative moment, creativity and leadership go hand in hand. The quest for reinvention tells us that we want to "create ourselves," "lead" our lives, and creatively contribute to social transformation. The quest for social transformation, whether in organizations or larger social systems is historically often connected with the struggle against authoritarian power, whether political, economic, or organizational. Hierarchies of domination (ways of relating) are built into the old worldview, where they are often seen as reflecting a "natural order." Historically, leadership has tended to be authoritarian, summarized as "command and control." People have to obey the leader's commands, and everybody's actions are to a great extent predetermined. Any deviation from role and expectation is a bug, not a feature. This makes it very hard if not impossible for anyone except the leader to engage and express creatively. It means an authoritarian, domination, control culture where *freedom* is drastically reduced because one has to conform to the rules and roles and tasks. This is the heart of command and control: the order from above, and then the control to make sure the order is followed – conformed to. Creativity and freedom are only allowed at the top.

Creativity and conformity are traditionally two ends of a spectrum of personality. While authoritarianism is mostly associated with strength, domination, and power, it manifests mostly in *conformism* or the willingness to relinquish authority and freedom to a person perceived to be a leader. Erich Fromm called this the human tendency to want to *Escape from Freedom* (Fromm 1994). Authoritarian individuals and systems want to take away our freedom, our ability to make choices. But making choices is often also difficult and a burden. One of the insights of the social sciences has been about the extent to which human beings have been willing give up their freedom – and their creativity. Transformative leadership requires an awareness of this dynamic, and the courage to remain creators and leaders, making it possible for others to do so as well.

Creativity and authoritarianism lie on a spectrum of human possibilities. While some people may be born with tendencies that lead to more or less creativity, or more or less authoritarianism, they are not "fixed" (Montuori 2014). Creativity, individual, and collective, is a practice that requires cultivation, in the same way that leadership does. It makes a huge difference whether one lives in an environment that supports or inhibits creativity. It is no surprise that advances in sciences are clearly associated with democracy and not authoritarianism (Ferris 2010). The most creative persons can under certain circumstances involving danger, fear or anxiety have an "authoritarian response." It is not inappropriate during times of great danger to make quick assessments and ask, "friend or foe?" But being permanently in an emergency mode is not only unhealthy but opens the door to authoritarianism. That is why authoritarian leaders always stress the danger of an external (or even internal) threat to keep populations loyal to them (Montuori 2005).

Creativity is the way we express our freedom: *Creativity involves the ability to generate possibilities and alternatives, make choices, and act upon them.*

Emergence and Creativity for Transformative Leaders

In many ways, the phenomenon of emergence is a thread that connects transformative leadership and creativity. We have seen how transformative leadership is a move away from the centrality of command and control towards creating contexts that make emergence possible, for oneself as well as in interpersonally and collectively. This does not mean that transformative leadership rejects order and control. Rather, it puts them in dialogue with disorder and emergence to navigate in a contextually appropriate way between the risk of too much and too little of either, as well as finding the "sweet spot" on the edge of chaos. Emergence is characterized by the creation of new properties in a system that could not be predicted from the individual parts. We see this phenomenon in groups but also in the way ideas emerge as a result of bringing together concepts that were previously not considered together (Koestler's bisociation).

Creativity is associated with such personality characteristics as independence of judgment, preference for complexity, psychological androgyny, and tolerance for ambiguity, and more generally with openness to experience (Barron 1995). These characteristics point to an openness towards opportunity and alternatives – an openness to emergence – rather than a desire to conform and superimpose existing interpretive frameworks on situations and individuals. The characteristics associated with creativity are contrasted with preference for reducing complexity to the simple (reductionism), conformity, either/or thinking, and rigidity, all involving attempts to stifle emergence.

The characteristics associated with creativity are generally viewed as intrapsychic, as personal characteristics. Another way of seeing them is as guides to interpersonal and group creativity. Does a person's interaction style promote tolerance for ambiguity, independence of judgment, and the other characteristics listed above? Does a group promote these characteristics? The characteristics of groupthink and of authoritarian individuals can be counteracted by remaining aware of and cultivating these characteristics associated with creativity, both at an interpersonal and a group level. Transformative leaders cultivate these qualities in themselves, but also extend them to their relationships, and foster them in others. They learn to create and lead together.

Cultivating and fostering these creative characteristics in ourselves and in relationship is a practice that involves becoming aware of our responses and our natural tendencies, and developing our ability to be more open. The connection between feelings, cognition and perception is clear, because every choice involves not just a perceptual choice, but a related feeling, and very often it is the case that certain choices are made in order to avoid the anxiety of not-knowing. Cultivating our creativity in that sense has some distinct affinities to the Buddhist practices designed to help people become *comfortable with uncertainty*, to use the title of one of Pema Chödrön's books (Chödrön 2008).

Tolerance for ambiguity is a very important characteristic for transformative leaders given the current transformative moment. The term "ambiguous" is defined as a situation for which there are no preexisting rules and regulations. Dacey writes that ambiguity means there is "no framework to help direct your decisions and actions" (Dacey 1989, p. 18). People who have tolerance for ambiguity do well in situations where there is no set way of doing things, where it is necessary to experiment and try new things out (Lauriola et al. 2015). Some people become very anxious when confronted with situations for which there are no clear guidelines. If a procedure breaks down, or if there is some unknown situation ahead, this can be extremely stressful for those who are intolerant of ambiguity (Barron 1990). Being aware of the effect of ambiguity can also create an opportunity for mutual support, to create what in Taoism is referred to as the "invisible ground of sympathy" that allows creativity to flourish (Chang 1963). This is the yin to creativity's yang, an essential, mutually intertwined relationship, but a dimension of the larger view of creativity that has been ignored for too long in the West.

Cultivating our creativity invites us to be intrigued, stimulated, and motivated to explore the unfamiliar and unstructured situations and things for which there is no one clear solution or approach. It means addressing our fear of the unstructured and unfamiliar, which is why we need *The Courage to Create* (May 1975). Cultivating our creativity means being open to enjoying and being attracted by situations for which there are no clear rules, no established roadmaps. The ambiguity destabilizes mental equilibrium. It forces inquiry, exploration, and the creation of new ways of dealing with a situation. An unwillingness to allow or accept ambiguity means the person confronted with ambiguity will immediately attempt to impose a preexisting framework or set of rules on the situation and not remain open to the situation long enough to allow for the emergence of a situation-specific way of dealing with it. Tolerance for ambiguity involves wanting to create one's own rules and roadmaps and not immediately applying preexisting ones. In a sense, tolerance for ambiguity is closely related to our desire to be free, indeed to create to be free. Transformative leaders can foster relationships that support freedom, support creative inquiry, and remain mutually supportive and aware of the challenges faced by embracing freedom and creativity.

Tolerance for ambiguity is connected to creativity because in situations where there is no clear framework, some kind of order has to be *created*. Indeed, creative persons often appreciate unstructured situations precisely because they get to make up new ways of dealing with the world. Transformative leaders need to make sense of a world that seems increasingly chaotic and engage in exploration and creation of alternatives to the systems, processes and structures that are breaking down all around them. They are excited by the prospect of improvising, of getting to experiment and figuring things out by trial and error.

Intolerance for ambiguity is also associated with leadership but in the form of conforming authoritarianism. The rise of authoritarian leaders is closely associated to moments of chaos and confusion – we need only think of Germany's social, political and economic crisis during Hitler's rise. Authoritarian leaders can make themselves appealing by offering simple solutions, by providing a framework with which people can make sense of the world. Unfortunately, these frameworks more often than not remove ambiguity by eliminating complexity, involving a black and white, us versus them view, and curtailing freedom.

Cultivating our own tolerance for ambiguity means remaining alert for those times when we cannot make sense of a person or a situation. It means staying with discomfort and refusing to immediately super-impose our own or somebody else's interpretation. Particularly relevant here is the finding that human beings crave certainty, and above all, the *feeling* of certainty (Burton 2009). Staying with not-knowing will at least initially not alleviate the anxiety associated with it, the "wanting to know," and the desire for a feeling of certainty.

Creativity is associated with nonconformism, with not always going along with what everybody else is doing, not always thinking like everyone else. It means being willing to make up one's own mind even in the face of considerable social pressure. The opposite of independence of judgment is conformity, going along with the majority opinion because "if everybody else thinks so, they must be right." A lack of independence of judgment in groups can lead to the phenomenon known as "groupthink." Groupthink occurs when, for instance, groups make bad decisions because nobody wants to show dissent to the leader, or to what they perceive is the general mood of the group. Cultivating Independence of Judgment requires staying attuned to the tendency to go along with the group or social pressures, becoming more aware of – and indeed "owning" – our own ability to assess people, situations, proposals, and so on.

Barron found that preference for complexity is a very good indicator of creativity (Barron 1953). Creative individuals favor disorder and complexity, but only because they wish to integrate them into a higher order – simple but not simplistic, hence reductive – synthesis, what has been called "integrative complexity" (Barron and Bradley 1990; Suedfeld and Tetlock 1977). Barron likens the goal to the achievement of mathematical elegance, "to allow into the perceptual system the greatest possible richness of experience, while yet finding in this complexity some overall pattern" (1968, p. 199). "At the very heart of the creative process," writes Barron (1990, p. 249) "is this ability to shatter the rule of law and regularity in the mind." Subjects with a preference for simple order attempt to maintain an equilibrium, which according to Barron (1968, p. 198–199) "depends essentially upon exclusion, a kind of perceptual distortion which consists in refusing to see parts of reality that cannot be assimilated to some preconceived system."

As Barron points out, creative people enjoy disorder and complexity because they enjoy the challenge of integrating complexity and disorder and creating a new order. Creativity therefore requires an integrative dialogical relationship between complexity and simplicity. Not *either* order *or* disorder, complexity *or* simplicity, but a constant dialogue between the two. Focusing only on simplicity does not give rise to the challenges needed to create something new, a new order. Focusing only on complexity leads to an excessive disorder out of which no simpler, integrative order can be created.

Authoritarianism is associated with a strong preference for order and simplicity. We see this in individuals who are rigidly concerned with order and prefer simple slogans to an open-minded engagement of complex issues, typically leading to reductionism (scapegoating – the problem can be reduced to one thing) and either/or thinking (you are either for us or against us; we are good, they are bad) (Sanford 1973). In authoritarian social systems, we see the same dynamic, the same kind of rigid orderliness (the USSR, pre-Deng China, authoritarian cults), and the same tendency to scapegoat either outside groups or a specific subgroup inside the system, based on race, ethnicity, religious affiliation, and so on (Montuori 2005).

Flexibility has been defined as the ability to see the whole of a situation, rather than merely focusing on one of its parts. As Dacey (1989, p. 28) points out, in high pressure situations, people are eager to focus on the first decent idea that looks like it might be able to help. But the problem is that this focus (this premature convergence, if you will) does not allow them to step back and see the whole of the situation and assess other options and solutions. We can see how many of the characteristics we are describing here are related and form part of the larger process of creative thinking. As Morin states, echoing the philosopher Pascal, one cannot understand the whole without knowing the parts, or the parts without understanding the whole (Morin 2008). Once again, creative thought involves a constant dialogic, a constant to and fro between ways of thinking that have historically been seen as opposed, such as the analytical focus on taking things apart into their smallest constituents in order to understand them, and the intuitive approach, which focuses on the whole. An exclusive focus on a part may lead to losing "the big picture," whereas a focus on the whole may miss out on important details that would require a reassessment of that "big picture."

Social theorists and researchers have pointed out that in our society, sex-role stereotypes were defined in opposition to each other (Eisler et al. 2016). This means that a man is defined as being a man in as much as he does not show any characteristics that are typically associated with women, and vice versa. The stereotypes that emerge are the John Wayne, independent, silent, unemotional loner, and the so-called “Southern Belle,” who is, of course, very emotional, very social, and very dependent. Freedom from sex-role stereotyping, a characteristic associated with creativity (Barron 1990), means that men can experience those stereotyped characteristics society typically associated with women, such as intuition, empathy, sensitivity, and self-awareness, and women can engage the characteristics stereotypically associated with men, such as aggression, self-assertion, analytical thought, and a degree of toughness. Once again, we see that in order to both understand and experience creativity it is necessary to go beyond a logic of either/or, and move to both/and. The “emotional intelligence” Daniel Goleman and his colleagues found to be an essential feature of successful leaders incorporates a number of qualities that were stereotypically associated with women, such as understanding one’s own emotions, empathy, and the ability to communicate effectively (Goleman et al. 2002). The leader as “host” rather than “hero” also shifts the emphasis to relational, supportive characteristics that are stereotypically more closely associated with women.

Recognition and Microactions: The Everyday, Everywhere, Everyone of Transformative Leadership

The “everyday, everyone, everywhere” aspect of transformative leadership is one of its most unique dimensions. At the same time, it can also seem potentially trivial given the enormity of the global changes. What exactly are the implications of this view for leadership? And if leadership and creativity are everywhere and in everyone, then what is *not* leadership or creative?

The everyday, everyone, everywhere focus also invites us to recognize – to become aware of a rethink, reconsider, and refeel, as it were – our everyday lives. Transformative leadership does not view the self in the traditional atomistic, individualistic way. If the self is viewed in this way, personal growth efforts can easily become narcissistic in the sense that they focus on the individual’s growth without taking others and the environment (social or natural) into account. It is often said that change begins with the oneself, but this can also be an escape from a world perceived to be harsh and unwelcoming, or an excessive preoccupation with the self at the expense of others. Historically, there has been a split between social activism and personal transformation. The philosopher Hannah Arendt referred to these two worlds as the *vita activa* and *vita contemplativa*. If the self is viewed as relational, embodied, and embedded, always already participating in the world, then the apparent opposition between personal and social transformation breaks down. Our everyday experience becomes the locus for both personal and social transformation in the recognition that the two are not separate. Our every action, no matter how *seemingly* insignificant, is embedded in the social world. Developing an increased awareness of this complex self, a self that is not isolated from the world but part of a larger network, an awareness that we are in the world, and the world is in us, is an essential dimension of transformative leadership.

As an example, the term microaggression has entered our vocabulary to refer to discrimination that is not (necessarily) intentional, discrimination, or aggression that is subtle or indirect (Campbell and Manning 2014; Lau and Williams 2010). Not overt acts of racism or sexism, for instance, no cross burning or racial epithets but the kinds of slights that precisely because of their subtlety have a destructive cumulative effect. These microaggressions may *appear* trivial, certainly when compared to the heinous nature of more familiar forms of prejudice and injustice, and particularly if one is not at the receiving end of them, but they contribute to the creation of a climate that is oppressive.

A parallel can be made with the phenomenon of culture shock. Culture shock does not involve one big shocking event. It is, rather, an accumulation of small events that trigger a gradual disorientation and feeling of not having a grip on reality. The small events make one feel one is not "at home," and that any minute a "normal" situation one typically would not even think about could be deeply disorienting and disturbing. The sense of agency and control is lost, one's value is diminished. Of course, victims of microaggressions are mostly "at home," in their own culture, but in a culture or context that ironically often claims not to be racist, sexist, ableist, etc., microaggressions are therefore also a reminder that things are not the way the dominant narrative may claim they are, and that one does not *really* belong. Microaggressions show us the way that small, *apparently* insignificant acts can have a powerful cumulative impact. This is also something chaos theory has taught us with the concept of the butterfly effect. Not only do microactions have an impact, they can also cause a ripple effect with widespread implications (de Vulpian 2008).

The microdimension is very relevant for transformative leaders who can apply its principles in their everyday, everywhere, everyone context, through generative (rather than oppressive, demeaning, controlling) micropractices we might describe as *microconnections* and *microcreations*, as antidotes to microaggressions. Particularly in urban centers, we find a degree of depersonalization whereby interactions with strangers can become purely instrumental. This is not surprising given the larger scope of the machine metaphor. The stress is on one's task, efficiency, and getting things done, whether it is buying a subway ticket or getting served in a restaurant. But the exclusive task focus at the expense of relationship creates a cold world, one that reflects a tendency to think in terms of on/off, either/or: either we connect, or we get things done. Microconnections are those moments when we reach out to somebody who may be a perfect stranger to establish a relational rather than purely instrumental connection, to acknowledge the person is a human being in their individuality, not just a nameless "pedestrian" crossing the street, for example. One way of framing the difference is in terms of the two worldviews we have articulated, by asking ourselves if we are all isolated atoms going about our business, or whether we are all unique individuals, and yet all in the same boat, sharing a common destiny.

Similarly, microcreations are those interpersonal moments when we break out of habitual patterns of interaction and realize we are *creating*, or more accurately *cocreating*, the interaction. Microcreations often involve a certain amount of humor, passion, trust, and a willingness to take risks. This is creativity applied to the “mundane,” to those aspects of our lives where creativity is usually least expected or recognized.

Creating and connecting, in this sense, is *leading*.

Conclusion

Transformative leadership proposes that everybody can lead and create, and in fact, willy-nilly *does* lead, even if only by example. Becoming a transformative leader means acknowledging the larger context of a moment of global transformation, and recognizing the way all human beings *participate* in the world. We cannot step outside of the transformation. We *are* the transformation, and our choices and actions, our ways of being, relating, knowing, and doing, contribute to the direction the transformation will take.

Transformative leadership involves embodying and taking responsibility for one’s leadership and creativity. As a variety of philosophical and spiritual schools from existentialism to Buddhism tell us in different ways, human beings are far more creative than they realize, and are mostly not aware of their creativity, or how they cocreate their world. They are also not aware of the extent to which they are “leading” their own lives, creating their understanding of the world, their interactions, their futures. Transformative leadership is, among other things, *a practice of unveiling our own creativity and leadership*, taking responsibility for them, and applying them to mutual benefit, creating collaboration and participatory leadership.

Transformative leadership is obviously aspirational; it is a particular orienting view of the current condition and the human potential. As such, no one individual or group can necessarily claim to be the shining example of transformative leadership. To the extent that it is aspirational, transformative leadership is also an invitation to participate in a collective journey into the future, a journey of creative inquiry, creating ourselves, our relationships, and our communities.

Cross-References

- ▶ Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians
- ▶ Creativity to Flourish: Pathways Toward Appreciative Leadership
- ▶ Global Transformation: Visions of an Imminent Future
- ▶ Improvisation and Transformation: Yes to the Mess
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ Leadership Convergence: The Dawn of Practical Wisdom
- ▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment
- ▶ Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology
- ▶ The Truth About Transformation: One Person Can Change the World

References

Achieve (2017) The 2016 millennial impact report. Retrieved from The Case Foundation, Washington, DC: http://www.themillennialimpact.com/2016-report/
Argyris C, Schon DA (1974) Theory in practice: increasing professional effectiveness. Jossey-Bass, San Francisco
Argyris C, Schön DA (1996) Organizational learning II: theory, method and practice. Addison-Wesley, Reading
Barrett F (2012) Yes to the mess: surprising leadership lessons from jazz. Harvard Business School Press, Boston
Barron F (1953) Complexity-simplicity as a personality dimension. J Abnorm Soc Psychol 48(2):163–172
Barron F (1968) Creativity and personal freedom. New York: Van Nostrand
Barron F (1990) Creativity and psychological health. Creative Education Foundation, Buffalo
Barron F (1995) No rootless flower: towards an ecology of creativity. Hampton Press, Cresskill
Barron F, Bradley P (1990) The clash of social philosophies and personalities in the nuclear arms control debate: A healthful dialectic? Creativity Research Journal 3(3):237–246
Bass BM (1985) Leadership and performance beyond expectations. Collier Macmillan, New York
Bass BM, Riggio RE (2006) Transformational leadership. Lawrence Erlbaum, Mawah
Bateson G (1972) Steps to an ecology of mind. Bantam, New York
Bauwens M (2007) The next Buddha will be a collective: spiritual expression in the peer-to-peer era. ReVision 29(4):34–46
Becker HS (1963) Outsiders: studies in the sociology of deviance. The Free Press, New York
Bell D (1973) The coming of the industrial society. Basic Books, New York
Bocchi G, Ceruti M (2002) The narrative universe. Hampton Press, Cresskill
Bordas J (2012) Salsa, soul, and spirit: leadership for a multicultural age. Berrett-Koehler Publishers, San Francisco
Brooks D (2001) Bobos in paradise: the new upper class and how they got there. Simon & Schuster, New York
Brown A (2014) The myth of the strong leader: political leadership in the modern age. Basic Books, New York
Burneko G (2005) Creatio continua. World Futures 61(8):622–628
Burns JM (2004) Transforming leadership: the pursuit of happiness. Grove, New York
Burns JM (2010) Leadership. Harper Perennial, New York
Burton RA (2009) On being certain: believing you are right even when you're not. New york, Macmillan
Campbell B, Manning J (2014) Microaggression and moral cultures. Comp Sociol 13(6):692–726
Capra F, Luisi PL (2014) The systems view of life: a unifying vision. Cambridge University Press, Cambridge
Castoriadis C (1997) The imaginary institution of society. MIT Press, Cambridge
Ceruti M (2008) Evolution without foundations. Hampton Press, Cresskill
Chang C-Y (1963) Creativity and Taoism. Harper & Row, New York
Chödrön P (2008) Comfortable with uncertainty: 108 teachings on cultivating fearlessness and compassion. Shambhala Publications, Boston
Crossman B, Crossman J (2011) Conceptualising followership – a review of the literature. Leadership 7(4):481–497
Dacey JS (1989) Fundamentals of creative thinking. New York: Free Press
Davies P (1989) The cosmic blueprint. New discoveries in nature's creative ability to order the universe. Simon and Schuster, New York
de Vulpian A (2008) Towards the third modernity: how ordinary people are transforming the world. Triarchy Press, Axminster
Donnelly G (2016) Navigating the spindrifts of change: a transdisciplinary inquiry into the experiences of a scholar-practitioner. Doctoral dissertation, California Institute of Integral Studies (UMI 10245952)

Dweck CS (2007) Mindset: the new psychology of success. Random House, New York
Eisler R (1987) The chalice and the blade. Harper Collins, San Francisco
Eisler R, Donnelly G, Montuori A (2016) Creativity, society, and gender: contextualizing and redefining creativity. Interdiscip J Partnersh Stud 3(2):1–33
Elliott A (2013) Reinvention. Routledge, New York
Erikson EH (1994) Identity: youth and crisis. WW Norton & Company, New York
Ferris T (2010) The science of liberty. Harper, New York
Fiedler FE (1964) A contingency model of leadership effectiveness. Adv Exp Soc Psychol 1:149–190
Frank T (1997) The conquest of cool. Business culture, counterculture, and the rise of hip consumerism. University of Chicago Press, Chicago
Fromm E (1994) Escape from freedom. Holt, New York
Gao G (2015) As smog hangs over Beijing, Chinese cite air pollution as major concern. Retrieved from http://www.pewresearch.org/fact-tank/2015/12/10/as-smog-hangs-over-beijing-chinese-cite-air-pollution-as-major-concern/
Gergen KJ (2009) Relational being: beyond self and community. Oxford University Press, New York
Gidley JM (2010) Globally scanning for "megatrends of the mind": potential futures of futures thinking. Futures 42(10):1040–1048
Goleman D, McKee A, Boyatzis RE (2002) Primal leadership: realizing the power of emotional intelligence. Harvard University Business Press, New York
Haraway DJ (2016) Staying with the trouble: making kin in the Chthulucene. Duke University Press, Durham
Heath J, Potter A (2004) Nation of rebels. Why counterculture became consumer culture. Harper Business, New York
Jacques M (2009) When China rules the world: the end of the western world and the birth of a new global order. Penguin, New York
Jullien F (2011) The silent transformations. Seagull Press, Chicago
Jung CG (2014) Collected works of CG Jung, volume 6: psychological types, vol 6. Princeton University Press, Princeton
Kauffman SA (2016) Humanity in a creative universe. Oxford University Press, New York
Kaufman GD (2004) In the beginning... creativity. Augsburg Fortress Publishers, Minneapolis
Kaufman SB, Gregoire C (2015) Wired to create. Penguin, New York
Kegan R (1998) In over our heads: the mental demands of modern life. Harvard University Press, Boston
Kellerman B (2012) The end of leadership. HarperCollins, New York
Kelly SM (2010) Coming home: the birth and transformation of the planetary era. Lindisfarne Books, Great Barrington
Lau MY, Williams CD (2010) Microaggression research: methodological review and recommendations. Wiley, New York
Lauriola M, Foschi R, Marchegiani L (2015) Integrating values and cognitive style in a model of right-wing radicalism. Personal Individ Differ 75:147–153
Leadbeter C (2009) We-think: mass innovation, not mass production, 2nd edn. Profile, London
Low A (2008) Conflict and creativity at work. Human roots of corporate life. Sussex Academic, Brighton/Portland
Lyotard J-F (1984) The postmodern condition: a report on knowledge. Manchester University Press, Manchester
Maruyama M (1979) Goal moratorium syndrome: a new vicious circle and how to break it. Technol Forecast Soc Chang 15(1):1–9
May R (1975) The courage to create. W.W. Norton, New York
McMahon DM (2012) Divine fury: a history of genius. Basic Books, New York
Meindl JR, Ehrlich SB, Dukerich JM (1985) The romance of leadership. Adm Sci Q 30(1): 78–102

Mindell A (1991) Moon in the water: The metaskills of process oriented psychology as seen through the psychotherapeutic work of Arnold Mindell. Doctoral dissertation (UMI 9134592). Retrieved from ProQuest Dissertation and Theses
Montuori A (1989) Evolutionary competence: creating the future. Gieben, Amsterdam
Montuori A (2003) The complexity of improvisation and the improvisation of complexity. Social science, art, and creativity. Hum Relat 56(2):237–255
Montuori A (2005) How to make enemies and influence people. Anatomy of totalitarian thinking. Futures 37:18–38
Montuori A (2006) The quest for a new education: from oppositional identities to creative inquiry. ReVision 28(3):4–20
Montuori A (2010) Transformative leadership for the 21st century. Reflections on the design of a graduate leadership curriculum. ReVision 30(3–4):4–14
Montuori A (2011a) Beyond postnormal times: the future of creativity and the creativity of the future. Futures 43(2):221–227
Montuori A (2011b) Creative inquiry. In: Seel NM (ed) The encyclopedia of the science of learning. Springer, Heidelberg, pp 833–837
Montuori A (2011c) Narcissistic learning. In: Seel NM (ed) The encyclopedia of the science of learning. Springer, Heidelberg, pp 2420–2422
Montuori A (2011d) Reproductive learning. In: Seel NM (ed) The encyclopedia of the science of learning. Springer, Heidelberg, pp 2838–2840
Montuori A (2012) Creative inquiry: confronting the challenges of scholarship in the 21st century. Futures 44(1):64–70
Montuori A (2013) It's the end of the world as we know it: Obama, Clinton, Pelosi, and the creative (r) evolution. Integral Leadership Review (March). Retrieved from http://integralleadershipreview.com/8749-transdisciplinary-reflections-its-the-end-of-the-world-as-we-know-it/
Montuori A (2014) Créativité et complexité en temps de crise. [Creativity and complexity in times of crisis]. Communications 95(2):179–198
Montuori A, Conti I (1993) From power to partnership. Creating the future of love, work, and community. Harper San Francisco, San Francisco
Montuori A, Purser R (1995) Deconstructing the lone genius myth: towards a contextual view of creativity. J Humanist Psychol 35(3):69–112
Montuori A, Combs A, Richards R (2003) Creativity, consciousness, and the direction for human development. In: Loye D (ed) The great adventure: toward a fully human theory of evolution. SUNY Press, Albany
Morgan G (2006) Images of organization. Sage, Thousand Oaks
Morin E (2001) Seven complex lessons in education for the future. UNESCO, Paris
Morin E (2008) On complexity. Hampton Press, Cresskill
Morin E, Kern B (1999) Homeland earth: a manifesto for the new millennium. Hampton Press, Cresskill
Neal J (2006) Edgewalkers: people and organizations that take risks, build bridges, and break new ground. Praeger, Westport
Norton MI, Sommers SR (2011) Whites see racism as a zero-sum game that they are now losing. Perspect Psychol Sci 6(3):215–218
Nye JS (2008) The powers to lead. Oxford University Press, New York
Ogilvy J (2002) Creating better futures. Oxford University Press, New York
Ospina S, Sorenson GLJ (2006) A constructionist lens on leadership: charting new territory. In: Goethals GR, Sorenson GLJ (eds) The quest for a general theory of leadership. Edward Elgar, Northampton, pp 188–204
Peat FD (2000) Blackwinged night. Creativity in nature and mind. Perseus/Helix Books, Cambridge
Polak F (1973) The image of the future. Elsevier Scientific Publishing Company, Amsterdam
Purser R, Montuori A (1994) Miles Davis in the classroom: using the jazz ensemble metaphor for enhancing team learning. J Manag Educ 18(1):21–31

Purser RE, Park C, Montuori A (1995) Limits to anthropocentrism: toward an ecocentric organization paradigm? Acad Manag Rev 20(4):1053–1089
Rainie L, Wellman B (2012) Networked. The new social operating system. The MIT Press, Cambridge
Reynolds S (2011) Retromania: pop culture's addiction to its own past. Macmillan, New York
Richards R (ed) (2007) Everyday creativity and new views of human nature: psychological, social, and spiritual perspectives. American Psychological Association Press, New York
Rushkoff D (2011) Life Inc.: how corporatism conquered the world and how we can take it back. Random House, New York
Sanford N (1973) Authoritarian personality in contemporary perspective. In: Knutson J (ed) Handbook of political psychology. Jossey-Bass, San Francisco, pp 139–170
Sardar Z (2010) Welcome to postnormal times. Futures 42(5):435–444
Sardar Z (2015) Postnormal times revisited. Futures 67:26–39
Senge P (1994) The fifth disciplne. The art and science of the learning organization. Doubleday Currency, New York
Shields CM (2010) Leadership: transformative. In: Peterson P, Baker EC, McGaw B (eds) International encyclopedia of education, vol 5, 3rd edn. Elsevier, Amsterdam, pp 3676–3683
Shields CM (2012) Transformative leadership in education: equitable change in an uncertain and complex world. Routledge, New York
Shields CM (2014) Leadership for social justice education: a critical transformative approach. In: Bogotch I, Shields CM (eds) International handbook of educational leadership and social (in) justice. Springer, Dordrecht, pp 323–339
Slater P (2008) The chrysalis effect. Sussex Academic, Brighton/Portland
Stephenson K (2009) Neither hierarchy nor network: an argument for heterarchy. People Strategy 32(1):4–13
Stigliano T (1999) Creativity, romanticism, and the rise of consumerism. In: Montuori A, Purser R (eds) Social creativity, vol 1. Hampton Press, Cresskill
Suedfeld P, Tetlock P (1977) Integrative complexity of communications in international crises. J Conflict Resolution 21(1):169–184
Swimme BT, Tucker ME (2011) Journey of the universe. Yale University Press, New Haven
The Art of Hosting (2012) Unpublished art of hosting guidebook. Copy in possession of author
Tonelli G (1973) Genius from the renaissance to 1770. In: Wiener PP (ed) Dictionary of the history of ideas. Scribner, New York, pp 293–297
Trompenaars F, Hampden-Turner C (2001) 21 leaders for the 21st century. Capstone, Oxford
Tsoukas H (2017) Don't simplify, complexify: from disjunctive to conjunctive theorizing in organization and management studies. J Manag Stud 54(2):132–153. https://doi.org/10.1111/joms.12219
Walsh RN (1999) Essential spirituality: the 7 central practices to awaken heart and mind. Wiley, New York
Weick KE (1995) Sensemaking in organizations. SAGE Publications, Thousand Oaks
Weinberger D (2012) Too big to know: rethinking knowledge now that the facts aren't facts, experts are everywhere, and the smartest person in the room is the room. Basic Books, New York
Western S (2008) Leadership. A critical text. Sage, Thousand Oaks
Wheatley M (1996) The unplanned organization: Learning from nature's emergent creativity. Noetic Sci Rev 37:25–41
Wheatley M, Frieze D (2011) Leadership in the age of complexity: from hero to host. Resurgence Magazine, 264(Jan–Feb), 14–17
Zerubavel E (1991) The fine line. Distinctions in everyday life. The University of Chicago Press, Chicago
Zerubavel E (1995) The rigid, the fuzzy, and the flexible: notes on the mental sculpting of academic identity. Soc Res 62(4):1093–1106

Leadership Convergence: The Dawn of Practical Wisdom

Marcos Cajina Heinzkill

Contents

Abstract

Technological savvy people know that to get the most out of the latest software program, it is necessary to have the appropriate hardware architecture with which to maximize its use. Simply put, the effectiveness of the most robust software without the adequate hardware is disappointing.

Equally, leaders who solely focus on developing leadership competencies without upgrading their thinking will fail to adapt to the rapidly changing business environment. Upgrading thinking means that leaders can no longer rely on logic alone to resolve the current complex systemic problems organizations face. Logic alone will not help humanity survive the current planetary voracious exploitation.

M. C. Heinzkill (✉)
Renewal Company, Madrid, Spain
e-mail: marcos@renewalcompany.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_2

The chapter suggests there is a scientific approach that enhances the interplay of three human primary neural biological centers (i.e., cerebral, cardiac, and enteric), resulting in an improved neural congruence and a state of coherence. It is from this state of coherence that the highest practical expressions of creativity, compassion, and courage in leadership emerge and give access to a source of wisdom that logic alone cannot apprehend (Soosalu and Oka 2012).

Leaders who simultaneously practice multibrain leadership and improve leadership competency converge the inner and outer dimensions of leadership into a single powerful beam of light. I theorize such *convergent* leaders can create in organizations a global coherent positive environment where teams – with the aid of greater than human intelligent machines – provide solutions to what today seems unsolvable problems.

Keywords
Amygdala · Altruism · Cardiac · Coherence · Convergence · Creativity · Compassion · Courage · Empathy · Enteric · Prosocial · Wisdom

Introduction

The size and complexity of the current climate global challenge, the acceleration of scientific paradigm shifts, and the creation of greater-than-human intelligence machines (Kurzweil 2005) will irredeemably change the way we understand leadership.

Executives who resist investing time and energy in growing as leaders will inexorably career derail. Understandably, many managers so immersed in the difficulties of delivering in a volatile market environment and caught in the intricate web of details of corporate policies, lose sight of the long-term implications of their jobs and fall into a state of business pessimism (Kurzweil 2005). Furthermore, many employees working under alarming pressure opt to disengage or actively disengage trying to appease their intense experience of distress, survival, and victimhood (Crabtree 2013). These might be signs of profound business change, individual transition, and societal transformation.

The challenges leaders face seem to be more similar than different (Gentry et al. 2013). It is deceitful, however, to see such challenges, even if they are directly in front of us to the point that many experts consider leadership is going through a crisis (World Economic Forum 2015). The difficulty is that people "view the new through old lens" (Oshry 2007, p. 106), or expect change to be "much like the present" (Kurzweil 2005, p. 10). As a result, executives remain blind to the new possibilities (Black and Gregersen 2008). Employees see their part of the system but not the whole (Oshry 2007), they feel what happens to them but do not understand how their behavior impacts others. Many cynically do not accept how they are part of the problem (Diamandis and Kotler 2015) but blame others for the problems they suffer.

In the light of the above, some experts might misdiagnose the current situation hoping that playing with the organizational chart or trying to fix, replace, repress, or dismiss talented people will release organizations from the urge to transform. Similarly, many individuals entrench and hide in the sense of collectivity that defines and imposes a dominant line of thought that makes them feel secure and safe. As a consequence, senior executives feel "over their heads" (Kegan 1994; Anderson and Adams 2016), the workforce feels oppressed, and the middle managers are torn apart by the opposing forces of directors and employees (Oshry 2007). Employee engagement declines (Crabtree 2013) and extraordinary business results no longer impress dissatisfied customers.

Some executives try to release their agony by putting other people under constant pressure. Too much pressure only makes things worse as shown in Fig. 1. Unperceptibly, leaders might be deteriorating performance instead of building the necessary capacity to survive the white waters of turbulent times.

Are We Doomed?

Dr. Albert Einstein is believed to have said: "Two things are infinite: the universe and human stupidity; and I am not sure about the universe." (Good Reads 2016).

Some scholars have contended that intelligent people can act stupidly when interacting with other people (Cippola 1991, 1988; Oshry 2007). Moreover, humans show at times severe lack of empathy (Rifkin 2009) and display a lack of emotional intelligence when most in need (Goleman et al. 2002). Many people focus on tribal expansionism instead of developing human system literacy (Logan et al. 2009), creating highly toxic environments (Frost 2003). In such toxic environments, it is

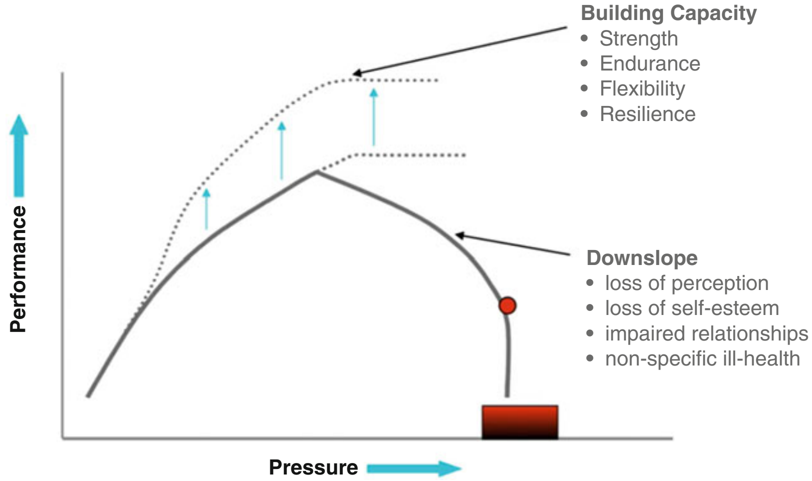


Fig. 1 Pressure and Performance. Source: Watkins, A. (2016). *4D Leadership: Competitive Advantage Through Vertical Leadership Development*, Fig. 3.4, UK: Hogan Page Limited, p. 88. Reproduced with permission of Complete Coherence Limited. http://www.koganpage.com/product/4d-leadership-9780749474645

tough to show conversational literacy (Glaser 2014) to align efforts and experience high-quality interpersonal connections (Dutton 2003).

Many analysts would argue that there is something fundamentally wrong in the way executives operate. Also, many consultants would contend that it is the manager who creates the uplifting or toxic business environments within which they operate. Interestingly, few accept the fact that ultimately – if they are not mindful – it is the environment they have created that controls their behavior. Put differently, it is common to underestimate the influence environment has on our behavior: “our environment is a nonstop triggering mechanism whose impact on our behavior is too significant to be ignored” (Goldsmith 2016, p. 27). If we accept that the environment is volatile, uncertain, complex, and ambiguous, it is reasonable to agree with Professor Manfred Ket de Vries (2005) from INSEAD business school who posited, “there is relentless pressure on executives to transform their way of thinking to accommodate present-day realities while achieving stellar bottom-line results” (p. 4).

Is then transformation a matter of competency or consciousness?

Consider for a moment letting go of the dependency on just cognitive-based rational logic to solve problems and the impact including the heart-based and intuitive gut-based ways of knowing – that constitute the inner systemic neural network that all humans possess – to your decision-making process. You might experience that what seemed impossible to resolve at a certain level of intelligence suddenly becomes evident at a higher level of knowledge. As Eliezer Yudrowsky published in 1996 in his work *Staring into the Singularity*: “Move a substantial degree upwards, and all of them will become obvious” (as cited in Kurzweil 2005, p. 35). Leaders who activate and integrate the three largest neural networks (i.e., the cognitive, cardiac, and enteric) are accessing a higher level of consciousness from which to solve pressing problems.

Convergent Leaders

Historians seem to agree that a turning point in western human evolution happened with the famous dictum: cogito ergo sum - – “I think. Therefore, I am” of René Descartes, who “promulgated and defended the idea that the human body functions like all other bodies in nature according to mechanical principles” (Lynch 1938, 1985, p. 6). The separation of the body from the soul gave birth to modern science. This paradigm shift seriously questioned the official way of looking at things and gave birth to a new way of looking at data with which to deal more efficiently with reality. However, the separation of soul and body might have contributed to thwarting the desire of scientists to engage in heart-based dialogue instead of head-based analysis alone delaying the experimentation of the language of the heart until the findings of James Lynch saw the light in 1985. Suffice to mention the extraordinary connection between human communication and the cardiovascular system Lynch (1938, 1985) researched: “as soon as begins to speak, one’s blood pressure increases significantly, one’s heart beats faster and harder, and microscopic blood vessels in distant parts of the body change as well. Conversely, when one listens to others speak or truly attends to the external environment in a relaxed manner, then blood pressure usually falls, and heart rate slows, frequently below its normal resting levels" (p. 5). Moreover, Lynch posited that humans are interrelated and the separation of mind and body is the cause of suffering: "a major source of stress arises from a breakdown in dialogue and a blindness to the links between human communication and bodily functions: that is, when one is emotionally isolated" (p. 13). Even today, the ideas of Descartes are omnipresent in our way of thinking to the point that influential scientist and luminaries continue to treat the body as a purely mechanical entity, leaving to the spiritual traditions and religions the responsibility to deal with the mysteries of the soul.

Conversely, in the business environment, the predominance of the head neural center over the cardiac and enteric neural networks has permeated our understanding of leadership. It is reasonable to argue that business is run – predominantly – from the head cognitive neural network. Furthermore, executives with a high intelligent quotient are more likely to promote to higher ranks than those with high emotional quotient. It is from this watchtower that high-powered cognitive leaders regard compassion as a softening competency to avoid. Also, courage is often mistaken with cruelty and seldom included in recruitment profiles sent to headhunting firms. Notice that I have written *head* hunting companies. No trace of the heart here!

As advanced, a *convergent* leader integrates the cognitive (i.e., head), cardiac (i.e., heart), and enteric (i.e., gut) neural centers to more effectively lead. Multibrain leadership results in the practical use of wisdom. A convergent leader understands the need to meld leadership growth (Watkins 2014, 2016) with leadership competency development (Lombardo and Eichinger 2009). These methods result in exponential leadership effectiveness improvement and breakthrough business performance as posited by researchers Robert Anderson and William Adams (2016) in their pioneering work *Mastering Leadership: An Integrated Framework for Breakthrough Performance and Extraordinary Business Results*. In their research, authors tied leadership competencies to levels of leadership maturity resulting in a practical roadmap that allows executives grow and increase business performance. According to Anderson and Adams (2016), a more mature leader will strive to develop the ability to relate, improve self-awareness, strengthen authenticity, deploy systemic awareness, and reinforce the focus on achieving results. Such leader embodies the vision and necessary courage to engage in intelligent conversations that promote better team alignment.

I propose that *converging* leaders are better equipped to deal with the present challenges humanity faces, as these leaders focus simultaneously on maximizing profits (head-creativity), improving the well-being of people (heart-compassion), and ensuring the sustainability of the planet (gut-courage).

In my view, a *convergent* leader is naturally empathetic (Rifkin 2009; De Waal 2009), compassionate (Lilius et al. 2005), altruistic (Ricard 2015); courageous (Anderson and Adams 2016), creative, and innovative (Dyer et al. 2011). A *convergent* leader is at his/her "*highest expression*" (Soosalu and Oka 2012) when deeply congruent within. Congruent means that the three neural centers of the head, the heart, and the gut are working together. Notwithstanding, Robert Anderson and William Adams (2016) defended: “it is the inner game that runs the outer game” (p. 250).

The above is not a new idea. From ancient times, the education of scholars and sages included the development of consciousness and competency (Yogananda 2004). It is only recently that the need to develop both awareness and skill has strongly echoed (Anderson and Adams 2016; Watkins 2014, 2016).

Great companies are investing in developing multibrain leaders who can deal with systemic complex contexts. Such leaders demonstrate not only competency but a strong character (Dotlich et al. 2006) to the point of leading organizations that endears customers.

Developing a Higher Consciousness

In the World Forum of Spiritual Culture held in 2010 in Astana, Kazakhstan, it was said: “In a world whose pace and complexity is ever increasing, where we face more and more personal and social challenges, there is a call for lifting individual and global consciousness. People want to make more intelligent choices, so daily life is more tenable, personal and global relationships are stronger and more meaningful, and the future of our planet is assured” (Nelson, as cited in McCraty, 2015, p. 45).

There is an ample debate about what constitutes an effective leader. Leaders around the world with whom I have had the privilege to engage in strategic conversations seem to agree that an effective leader is a purpose-driven executive who translates ideas into a compelling vision, and articulates a strategy that allows managers decide how to ensure flawless execution. Furthermore, effective leaders seem to be systemic, display conversational intelligence, and are cognizant of how to build high-quality connections. Finally, moving away from an auto-pilot reactive behavior, effective leaders walk the talk, and transition to higher level of consciousness from which to overcome the pull of unreflected beliefs that ignite the fear to change. Clearly, not for the faint of heart!

The fast pace of change organizations and leaders experience requires learning agility. Again, Anderson and Adams (2016) come to our rescue with what they have coined *The Leadership Imperative* and explained: “The development of leadership effectiveness must, at a minimum, keep pace with the rate of change and the rate of escalating complexity” (p. 42). The consequences of *The Leadership Imperative* are that developing effective individual mind-framesand collective intelligence is a business imperative, a priority strategy for leaders to help organizations efficiently adapt to the complex challenges they face. It is important to notice that: “The organization will not perform at a higher level than the consciousness of its leadership” (p. 43).

Regrettably for some, reaching a higher standard of neural integration requires the courage to let go of safety: “There is no safe way to be great. Moreover, there is no great way to be safe. Transformation requires courage” (Anderson and Adams 2016, p. 164). Notwithstanding, courage seems to be a characteristic of the enteric neural network and has an intelligence of its own that helps us make sound decisions (Soosalu and Oka 2012).

The *Universal Model of Leadership* proposed by Anderson and Adams (2016) emphasized three core types: (a) the Heart or Relational, (b) the Will or Achiever, and (c) the Head or Awareness and Authenticity evolving sequentially through different stages of leadership maturity. The focus is not: "asking leaders to change their type-their core nature-it encourages leaders to evolve that essential nature into higher-order Structures of Mind" (capitals in original, p. 229). Consequently, the vertical development proposition highlights the need to include and transcend liabilities going against the popular approach of just leveraging strengths: "It does not ask managers to become different, but to develop their strengths to higher levels of maturity and mastery. It does not ignore weaknesses but works with them to foster deeper insight" (p. 228), "with each evolution of the Structure of the Mind, leaders leverage their core strengths and gifts while jettisoning the liabilities of the earlier Structure of Mind. In so doing, they become more effective even as life gets more complex" (capitals in original, p. 229).

In adult development literature, some researchers have named the transitioning from one level of maturity to the next higher level *vertical development* (Petrie 2014; Watkins 2014, 2016).

Developing Inner Coherence

Coherence is a state of functioning in which the different human systems (i.e., nervous, hormonal, and immune) are working in synchronization and balance. There is extensive scientific research conducted by the HeartMath® Institute that demonstrates how performance varies according to the predominance of sympathetic or parasympathetic autonomic nervous system compared to when the autonomic nervous system is in homeostasis or balanced. The term homeostasis was coined by Dr. Walter Cannon in 1929 in his book *Bodily Changes in Pain, Hunger, Fear, and Rage*.

What sages knew intuitively modern science is now validating: "psychophysiological coherence is characterized by heart rhythm coherence, increased heart-brain synchronization and entrainment of diverse physiological oscillatory systems, is associated with increased emotional stability, improved cognitive performance, and a range of positive health-related outcomes" (Childre and McCraty 2002, p. 13). Individuals can readily learn how to self-regulate to produce more active self-induced healthy states: "using heart rhythm coherence feedback training, individuals can readily learn to self-generate the coherent mode and sustain genuine positive emotional states at will, thus establishing an internal environment that is conducive to fostering spiritual experience" (Childre and McCraty 2002, p. 13).

While it is true that specific breathing rhythms enhance coherence for short periods of time, the importance of inner harmony in positively impacting social coherence can be easily understated: "harmony along the walls of one's social membrane is dependent on one's internal harmony, and vice-versa" (Lynch 1985, p. 201).

There is sound research available today that demonstrates the variation of blood pressure when breathing coherently (Elliot and Edmonson 2008) and how individual internal coherence speculates social coherence (Childre et al. 2016). It is reasonable to believe that the need to collaborate in business depends not only on the desire to debate ideas but on the individual ability to create internal coherent states that contribute to the creation of an external global coherence environment from which to hold heart-head-gut-based dialogues.

In the light of the above, it is reasonable to deduct that a discrepant innerhuman system can only promote the forming of external toxic environments that severely deteriorate team performance and individual well-being.

Breathing Still to Facilitate Inner Coherence

While executives perform under increasing pressure, not many invest any time learning to breathe still.

What do I mean by breathing still? Recent research leads to believe that people can easily learn how to self-regulate the emotional state. People can also create an efficient positive inner environment via coherent breathing that creates heart rhythms that directly enhances physical and mental performance (Elliot and Edmonson 2008; Childre et al. 2016).

Coherent Breathing is as easy as keeping an equal rhythmic breathing pattern when inhaling and exhaling. There is no need to retain the breath or forcing yourself into this pattern. With practice you can enhance the experience of coherence by placing your attention around the heart area and generating a positive feeling. Alternatively, some people use kinaesthetic and touch their chest on the heart area. SCPosing is a free phone application designed to experience a more calmed state in just 2 minutes. Enter i-Tunes or Google store to download the "SCPosing" app for free.

The importance of taking responsibility for our internal environment derives from the thought: "Every individual's energy affects the collective field environment" (Childre et al. 2016, p. 127). The idea of resonance and resonant leadership (Boyatzis et al. 2006) builds upon the notion that within a group the emotions and intentions of each person "*feed the field*" (Childre et al. 2016, p. 127). This energetic feeding has either an elevating or detrimental effect on teams and executives (Vianello et al. 2010). The positive or negative vibratory field created by individuals within an organization may thwart the best intentions of driving a company toward a culture of love (Fernández-Aráoz 2014). In other words, each one of us is responsible for allowing our moods, sentiments, feelings, and physiology to determine the quality of our thoughts and the effectiveness of our behavior. A *convergent* leader consciously chooses to increase its vibratory tone and coherence state to positively impact leadership and lead from a higher order from which to deliver breakthrough business performance.

Achieving a higher vibratory frequency can be attained through the practice of coherent breathing (Childre et al. 2016; Elliot and Edmonson 2008) and developing the power of stillness as spiritual lighthouses Thich Nhat Hanh and Eckhart Tolle suggest.

Coherent Breathing® was introduced in 2005 as a formal method for cultivating psychophysiological balance. Since then, there is a much better understanding of the physiology of breathing and the importance of regulating the nervous system in reaching high performance. The central nervous system consists of the autonomic nervous system (ANS) that regulates automatic bodily functions (e.g., digestion, hormonal, immune systems) and the somatic nervous system that is attributed to be more consciously controlled. At the same time, the automatic nervous system (ANS) is subdivided between a sympathetic branch and a parasympathetic brand, the former being responsible for activating the fight and flight response to external stimuli and the latter for deactivating body processes and nervous influences to soothe and recharge. When the nervous system is in equilibrium "equal sympathetic and parasympathetic emphasis" (Elliot and Edmonson 2008, p. 15), the body reaches a state of equilibrium or homeostasis-facilitating performance.

The average breathing frequency in a healthy adult is 17–19 respirations per minute, whereas the optimal breathing rate is between five to six breaths per minute (Elliot and Edmonson 2008). According to researchers Stephen Elliot and Dee Edmonson (2008): "a growing body of evidence suggests that many modern ills are rooted in autonomic nervous system imbalance, specifically, sympathetic over-emphasis and parasympathetic under-emphasis. There is high correlation between excessive sympathetic activity and anxiety, depression, attentional disorder, chronic muscle tension, sleep dysfunction, and hypertension" (p. 24). To this end, Coherent Breathing® is "both simple and complex to practice" (p. 36).

In essence, it involves "conscious breathing at the nominal frequency of 5 breaths per minute with conscious relaxation" (p. 37); that is, a 6-s inhalation cycle followed by a 6-s exhalation cycle followed by a strong intention to relax: "we must first breathe slowly and deeply, then begin relaxing" (p. 40).

Leading also with the Intelligence of the Heart

It was Dr. James Armour who introduced the term, "heart brain," in 1991 by showing the complex nervous system the heart has that qualified as a little brain. Since then, there is growing pioneering scientific research around the intelligence of the heart – beyond the typical view of the heart being a pumping blood organ – its impact in heart-head communication, how positive emotions like love, caring, and compassion activate a state of coherence (McCraty 2015). Ancient philosopher, Blaise Pascal, asserted in his *Penseé*s: "The heart has its reasons that reason knows not of... Do you love by reason?" (Pascal, as cited in Lynch, 1985, p. 29).

When the heart, head, emotions, and physiology interact in a balanced manner, they are in "*heart coherence*" (Childre et al. 2016, italics in original, p. 67). An increase in internal coherence facilitates the access to intuitive intelligence (McCraty et al. 2004a, 2004b), where the breathing rhythm and heart beat seem to resonate at the same frequency (Childre et al. 2016). Research also suggests that the state of our internal physiology determine the quality, amplitude, intensity, and stability of the feeling of our emotions and how these affect our behavior and performance as Fig. 2 suggests (Watkins 2014, 2016).

It seems that our inner state of coherence touches others and affects their internal state of others making it possible for emotional contagion and resonant interaction or "*social coherence*" to occur (Childre et al. 2016, italics in original, p. 71). Therefore, our inner state contributes to creating a positive environment or a toxic environment where negative emotions and stress are multiplied by the interaction of incoherent people working together. As a consequence, executives feel the suffering associated with working in such toxic environments and want to alleviate its pernicious effects by building resilience and intelligently managing their energy.

There is a desperate need to offset the devastating consequences of escalating stress (McCraty et al. 2003) has on current employee high disengagement indexes (Crabtree 2013).

Healing the negative impact a toxic working environment has on individuals is not so easily done as Dr. Gantt demonstrated around the 1960s when he discovered how long it took for the autonomic nervous system for a dog to recover from extinct conditioned reflexes applied by electrical shocks in the forepaw of a dog. Petting the dog was the fastest way to abolish both the conditioned and unconditioned cardiac reflexes to electric shock. Humans are not dogs, and yet, soothing seems to counterbalance the pernicious effects of the threat-affect regulation system (Depue and Morrone-Strupinsky 2005). By the way, there is nothing more threatening to a leader

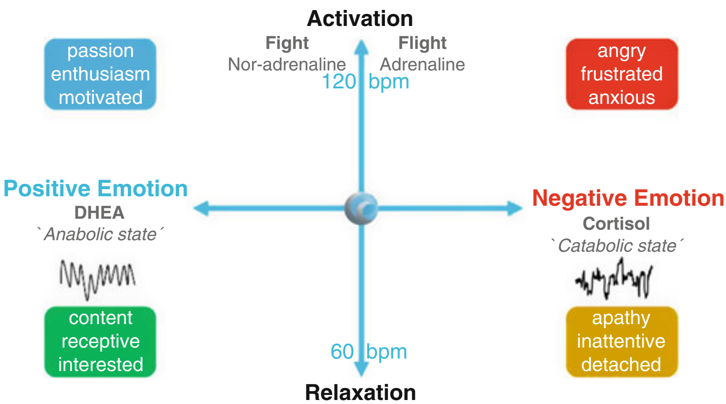


Fig. 2 Emotions and Performance. Source: Watkins, A. (2014). *Coherence: The Secret Science of Brilliant Leadership*. London. UK: Hogan Page Limited, p. 203. Reproduced with permission of Complete Coherence Limited

than to admit in a toxic business environment that he/she does not have the answer to a pressing problem.

Leading with Gut Intelligence

The highest expression of the gut intelligence is courage; the courage to act, to mobilize, to decide (Soosalu and Oka 2012). The dictum at Silicon Valley: “fail early, fail often, fail forward” (Basulto as cited in Diamandis and Kotler 2015, p. 77) is a faithful reflection of what it takes to innovate and shake up the organizational inertia. However, many executives are afraid of not learning fast enough, reluctant of taking risks, nervous when erring, frightened of being ridiculed by also scared peers, stiffed when called upon to step out of their comfort zone, and paralyzed when risking their annual bonuses and perquisites linked to their position in the hierarchy. As Emory University neuroeconomist Gregory Berns wrote: “Fear prompts retreat. It is the antipode of progress” (as cited in Diamandis and Kotler 2015, p. 108). Making decisions in an uncertain world is particularly difficult to do. Experiencing fear when deciding leads to make wrong choices.

Israeli Nobel Prize winner, psychologist Daniel Kahneman extensively researched why deciding is an act hampered by internal thought limitations and biases. In essence, Kahneman (2002) distinguished two generic modes of cognitive function: “an intuitive mode in which judgments and decisions are made automatically and rapidly, and a controlled mode, which is deliberate and slower” (p. 1). Together with colleague Amos Tversky, Daniel Kahneman (1973) identified many cognitive biases and cognitive shortcuts that save time and energy by subconsciously simplifying the decision-making process. These patterns of thought create some resistance to see reality as it is that lead to profound and recurrent errors in the process of reflection. Contrary to popular belief, many teams in business never agreed about how to decide despite the fact that they operate on limited information and limited time to make important decisions. This circumstance is what Kahneman and Tversky referred to as judgment heuristics.

The brain is always sorting and selecting information to secure survival. It is evident that the business world produces a staggering amount of information in a phenomenally short period. Every day the amygdala is triggered by the hundreds of emails executives read. The job of the amygdala is to filter out anything perceived putting survival at risk. Once the amygdala perceives something as a threat, it triggers primal emotions like fear to signal out the need for protection. Of course, we know that any fear response amplifies the perceived danger and keeps attention focused on one thing only: danger. Executives focused on fear are keener on holding a pessimistic view of reality and blind themselves of seeing the opportunity at hand to thrive. It is not surprising then to learn how executives find it difficult to make sound decisions in a world of increasing uncertainty.

The desire to improve the world is rooted on developing prosocial behaviors such as empathy, compassion, and altruism (Rifkin 2009; Lilius et al. 2005; Ricard 2013). The bad news is that the development of prosocial behavior is slow compared to the instant reaction of the amygdala to any perceived threat. In fact, Tibetan monk and scientist Matthieu Ricard (2015) affirmed: “If compassion without wisdom is blind, compassion without action is hypocritical” (p. 7).

People want to win and are afraid of losing. In fact, the loss aversion pushes executives to play, not to lose, in the illusion that by avoiding losing they can win (Anderson and Adams 2016). Under pressure, intelligent, talented team members can act stupidly behaving in such a way that all parties lose (Cippola 1991). Not only this is stupid but keeps leaders trapped in the pessimistic cycle of hopelessness (a.k.a. nothing can change this, this is the way things are around here) stuck in a mindset that does not correspond to the fast development of technology.

In the Japanese martial arts, the lower neural center (gut) is called HARA. It is the center of courage, and from this, the graceful movements of Aikido emerge. It is well known to the aficionado, the code of honor the samurai warriors followed in battle when rather than surrendering to the enemy they died honorably by following the ritualistic suicidal act of Seppuku or cutting open the guts with a small sword.

Leaders today are engaged in a struggle for survival that requires the highest expression of courage in taking necessary decisions that might not win a popularity contest. Moreover, courage drives us to act, and it gives us the necessary determination and strength to endure despite the primal emotions the amygdala might trigger.

Executives will need courage if they want to raise their consciousness and invest in vertical development programs. I am speaking about the courage to self-empower beyond thinking conditioning, act with authenticity, and build the willingness to let go of past hurt feelings, old ideas, and damaged relationships.

Leading with Practical Wisdom

While Aristotle defined wisdom as: “intuitive reason combined with scientific knowledge” (as cited in Soosalu and Oka 2012, p. 273), the classical Chinese medicine textbooks had recorded the Heart Head communication as early as 200 B.C. In fact, Daoist practice affirms the intertwined relationships between the three minds or tan-tiens; namely, the head or center of observation, the heart or center of consciousness, and the gut the center of awareness/feelings and how the gut brain does similar things than the gut brain. Interestingly, in the Japanese culture, KOKORO こころ means the mind of the heart.

In recent times, researcher Doc Childre and his team (1996) at the HeartMath Institute® posted: “It is through the heart intelligence that we acquire emotional maturity and heal the brain’s circuitry” (p. 17). In Europe, renowned professor and psychiatrist Enrique Rojas argued: “the goal of sentimental education is to enjoy a healthy balance between head and heart, between affection and rationality” (El objetivo de la educación sentimental es lograr un buen equilibrio entre corazón y cabeza, entre lo afectivo y lo racional, text in original, 2016, p. 3). Furthermore, McCraty and his team argued that when the rhythm of the heart is in harmony, the perceptual faculties of the brain perform better (1995a). Therefore, it is reasonable to defend that positive feeling of love, care, appreciation, and compassion are what create balanced and harmonious heart rhythms (McCraty et al. 1995b).

Regrettably, a child raised in a family environment with insufficient love, or a teenager who has witnessed uncensored acts of bullying at high school, or as a youngster learned of undetected cybernetic harassment at university, is not keen to regard Compassion or Courage as a desirable business competency when becoming an adult. Researchers Childre and McCraty (2002) suggested executives would be better off holding an intentional focus to self-generating positive emotions as means to prolong psychophysiological coherence despite external hardship conditions and toxic environments.

Many managers might perceive the world they operate in as turbulent. Rightly so, leaders cannot ignore the effects of the economic meltdown, radical climate shift, and escalating global terrorism. Should it be true that the brain is biased towards the negative as means to secure its survival (Rozin and Royzman 2001), it is imperative to learn how to focus on possibilities rather than on problems alone (Diamandis and Kotler 2015).

For decades, executives have focused mainly on doing more with less (i.e., efficiency) rather than finding out what the right thing to do was (i.e., efficacy). Deceased long best-seller author Dr. Stephen Covey (1932–2012) introduced habits of effectiveness (i.e., doing the right thing right) as a distinctive leadership characteristic.

Let us take Compassion as an example. Compassion to be active requires the comprehension of the "causes of suffering" (Ricard 2015, p. 32). Finding the profound cause of suffering is not as obvious as it might seem and requires discernment (the head neural center) and not just emotional resonance (the heart neural center). A leader who integrates the three neural center will become aware of the possibility of eliminating suffering and activate practical wisdom to turn pity into compassion. So instead of afflicting more suffering to the suffering caused, he/she finds ways to return kindness to harm, not as an act of weaknesses but as a courageous act rooted in wisdom. A practical, wise leader uses his/her discernment to develop policies, strategies, and actions (the gut center) designed to help dissipate the suffering present in working toxic environments (Frost 2003). In fact, Blaine Bartlett and David Meltzer in *Compassionate Capitalism* (2016) stated: "business is nothing less than a spiritual discipline" (preface, para 5).

One way of eliminating suffering is exemplified by a magnate, engineer, inventor, and investor Elon Musk, co-founder, CEO, and product architect of Tesla Motors. Musk's vision is to eliminate the current high levels of CO2 in the air (reducing respiratory suffering) by designing and manufacturing electric-powered vehicles (efficacy) that are affordable to purchase (efficiency) that eliminate Co2 emission (effectiveness). Tesla Motors recently launched a mid-size electrically powered vehicle called to revolutionize the car industry and accelerate the elimination of Co2 car emissions.

I am sure as fascinating as these examples might seem, many organizations and executives might choose to resist change and deny the need for a paradigm shift. Transformation happens first individually (Black and Gregersen 2008) or it does not happen. That is what happened to Gaius Plinius Caecilius Secundus, who discovered a light shiny new metal in Italy at the time Tiberius was the Roman emperor. Tiberius – who had treasured a fortune that feared to lose with the invention of this metal that shines like silver – had Plinius beheaded instead of embracing and exploiting the discovery. Consequently, humanity had to wait for two millennia to benefit from the excellent qualities of this metal modern metallurgist named Aluminum.

I wonder how many brilliant heads have been repressed, depressed, or let to leave corporations and how much more time can companies survive without leveraging the talent they had – in the first place – hired. Maybe like bauxite needs electrolysis to become aluminum, people might need an inner alchemy to transform into a lighter new leader who acts in a flow state and uses practical wisdom to decide instead of logic alone.

Try the following exercise and be aware if any inner alchemy takes place. In the beginning, when doing this exercises negativity may intensify. Do not worry. With practice your ability to attune to the energy of the heart will increase and with it, your capacity to let go of emotional upset. Be patient and compassionate with yourself:

1) Choose a situation that has recently triggered some unrest at work (tension, emotional upset, etc.).
2) Observe the feeling as you allow to re-experience it (enough so that you are aware of the feelings).
3) Accepting that beneath all emotional upset are judgments (i.e., a mismatch between what is and what it should have been) seeking resolution (i.e., return to the comfort, safety, and control of the comfort zone), explore any judgments you have placed against yourself or another. Be specific.
4) Take a deep breath and focus on your heart area. Bring a feeling of joy, peace, or stillness by reconnecting with an image of nature, a symbol of peace, a pet, or a baby. Anything that elicits positive feelings in your heart area will suffice.
5) Hold the intention to let go of any self-judgment or judgment to others as you inwardly let go of the emotional upset or hurt.
6) Replace the pain with self-appreciation, warmth, or a tender feeling. Intensify the positive regard as you let go of the hurt or upset. No need to retain, analyze, or understand. Just let it go.
7) When complete, appreciate your willingness to refresh the emotional toil you were experiencing and the desire to let go and forget.
8) Reconnect with the warmth in your heart area and take a last deep breath. When you feel ready, resume your day.

Conclusion

Disillusioned enough with the dysfunction of poor leadership, many employees seem trapped in the paranoia of toxic business environments (Frost 2003). To participate in the transformation of consciousness that will revolutionalize the world of business, one must engage in the *pronoia* and act with greater creativity, compassion, and courage. Pronoia is the understanding that the world is fundamentally friendly. On the other hand, Paranoia is the belief the universe is conspiring against one (Breznsy 2009).

However, the motivation to change behavior cannot rely solely on extrinsic rewards or coercive sanctions. Money at some point loses its effectiveness and so does fear. Organizations that embrace the theory and practice of personal and organizational transformation will facilitate the emergence of *Convergent Leadership.*

To help develop – at par – the inner and outer dimensions of leadership, team leaders, and human resources professionals might want to consider the following:

First, by adopting internal practices such as coherent breathing and contemplative practices such as mindfulness, companies will help executives become more resilient and efficient in their decision making. What is more, an executive with a weakened nervous system will maladapt to high-stress levels, which will affect the quality of his or her cognitive, emotional, and physiological synchronization. For instance, I recently engaged in an executive coaching process with a senior officer who had been suffering from high stress over the last few months due to regular episodes of rage and violence exercised by his mentally disabled teenager together with a peak of workload and company growth. The resulting energy depletion had affected the performance of the executive to such an extent that the manager seriously considered resigning as a valid means to respond to the uncontrollable fury of the youngster and the overwhelming panic of the wife. The thought behind this option was to liberate the necessary time and focus on supporting the family address the all-consuming ill will and hatred demonstrated by the child and the intense frustration of his wife that was eroding the quality of the marital relationship. A very honorable and compassionate intention indeed absent of the significant psychophysiological efficiency, emotional stability, and enhanced cognitive function to optimize performance.

To help the executive make a sounder decision on the best course forward, we engaged in a generative coaching intervention with the purpose of aligning the head, the heart, and the gut neural networks and find the necessary internal psychophysiological homeostasis to deal with the challenging situation. To this end, the executive accepted the invitation to practice coherent breathing techniques coupled with holding a positive emotion such of appreciation that would optimize cognitive processes, emotions, and behavior. Since the heart is uniquely positioned to integrate and communicate information across systems independently from the brain, the heart has its own intrinsic nervous system that sends signals to the brain affecting the homeostatic regulatory centers in the brain. Such balance positively influences the perceptual, cognitive, and emotional processing of the challenges the executive was facing both at home and at work. After a period of 4 months of daily breathing practice, the psychophysiological inner balance improved which allowed the executive make better decisions on how to respond to his situation. As a result, the manager began the transition to a new job within the same company, sought the necessary professional aide to deal with the daily episodes of violence of his son more effectively, and pumped refreshed loving energy out into the exhausted marriage. Albeit the situation has not changed, yet the response of the executive to the situation is far more productive than when the coaching engagement began. In summary, the disciplined used of heart-based biofeedback tools had proved life-saving, and life-enhancing is leading to changes in reducing high blood pressure, but also in re-balancing his emotional life, marital relationship, the family dynamic, and work performance. In short, the company has retained a valuable executive team member, and the family found a more internally balanced committed loving father and husband.

Second, by encouraging the mastery of higher level competencies such as relations, self-awareness, authenticity, systemic awareness, and achieving (Anderson and Adam 2016), executives will refine their ability to lead teams and boost business performance regardless of turbulent markets and exponentially technological advancements. Teaming is particularly relevant to our discussion, as it suggests that changes in quality of relations, such as those generated by social coherence, impact the ability of the team to learn: that is, it changes the speed by which teams resolve problems and complete tasks. I hypothesized that working on competencies alone will prove insufficient to offset the interplay of the forces affecting the workplace; namely, (a) technological growth, (b) information duplication, (c) climate change, and (d) market globalization that put leaders under acute stress. To understand the importance of learning agility, it is relevant to refer to the *Leadership Imperative* as articulated by Anderson and Adams (2016). Let the following example illustrate my point.

A brilliant executive who had worked diligently on developing her competencies following a classic 360° feedback report led to gradual progress. Frustration was in the rise and organization patience started to dwindle. Consequently, the need to approach the situation from an entirely different perspective prompted the search of a coaching intervention that went beyond traditional transactional engagements. Generative Coaching aims to develop capacity more than competency. To this end, the exploration of the reactive and creative leadership maturity levels (Anderson and Adams 2016) proved efficient to identify themes and patterns that helped unraveled the behavior that perpetuated the status quo. Inadvertently, the executive was actively engaged in her own sabotaging process despite her good intentions to improve. After three very intense months of personal work, the team is reporting some progress. Propelled by this dynamic measurement, the executive is engaged in simultaneously developing both her competency and capacity to more effectively lead her team and herself. In my view, it is reasonable to argue that expanding capacity is just as important as the traditional approach to competency development.

Third, the draft of internal policies will not suffice to encourage transformation. People need the freedom to explore options. Highlighting, the interconnectedness of people can promote a collective coherent environment that fosters the pursuit of interpersonal growth and competency development in a culture that allows working with a purpose. Regrettably, I see many organizations continue to see teams as a distant, passive concept. Instead, the practice of teaming as presented by Amy Edmonson (2014) from Harvard is proving more relevant in creating the right learning environment that fuels performance. Teaming promotes the basic safety to explore, network, experiment, and learn new ways to endear customers. To this end, it is relevant to invest in the development of healthy environments rather than issuing well-written communications that inspire nobody. Negative emotional states like fear to speak up can lead to emotional exhaustion and energy depletion. By contrast, positive emotional states promote cognitive efficiency and physiological regeneration. Recent neuroscience discoveries point out that inspiration is a function of the heart, and not a cognitive process (Soosalu and Oka 2012). Bringing the heart back into business will help alleviate the current toxicity many organizations desperately try to hide. There seems to be a need to balance the overdependence on the head so present in today's organizations.

Fourth, a *convergent* leader is best prepared to discover a new intelligence that allows executives participate in conversations that change the world: "To get to the next level of greatness depends on the quality of our culture, which depends on the quality of our relationships, which depends on the quality of our conversations. Everything happens through conversations" (Glaser 2014, p. xv). Many-if not most-corporate environments do not encourage this high-quality conversation and perpetuate the selling, telling, and yelling communication inefficiency (Glaser 2014). It is reasonable to believe that the development of such supportive environment will liberate teams in organizations from whatever limiting conditioning impedes finding the innovative solutions the world so desperately needs. Put in another way, companies require more dialogue than debate. The healthy practice in the dialogue of suspending judgment suffices to express views and ideas more openly. Such empowerment activates team brain power and eschews collective folly and group thinking. On the other hand, debates accelerate people entrenching in divergent points of needs, defending the need to be right, and creating silos that impede the flow of communication necessary to activate collective brain power. Different thinking requires convergent practices facilitated by professionals that can help teams reach a decision that is proactively embraced by its members. Policies alone will prove ineffective to teach people how to dialogue.

Lastly, it is my wish that the practice of convergence leadership in business might help transform the understanding and practice of leadership and facilitate the greater transformation of societies into the greater peace and prosperity the world so heartfeltly desires.

Cross-References

► An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
► Cultivating a Global Mindset Through "Being-Centered" Leadership
► Enabling Innovation with Human Values: A Recipe for Transformation
► Transformative Leadership

References

Anderson B, Adams W (2016) Mastering leadership: an integrated framework for breakthrough performance and extraordinary business results. Willey, Hoboken

Bartlett B, Meltzer D (2016) *Compassionate Capitalism: A Journey to the Soul of Business*. Best Seller Publishing, Pasadena, CA
Black S, Gregersen H (2008) It starts with one: changing individuals changes organizations. Upper Saddle River. Wharton School Publishing, New Jersey
Boyatzis R, Smith M, Blaize N (2006) Developing sustainable leaders through coaching and compassion. Acad Manag Learn Educ 5(1):8–24
Breznsy R (2009) Pronoia is the antidote for paranoia, revised and expanded: how the whole world is conspiring to shower you with blessings. North Atlantic Books, San Rafael
Childre D (1996) Teaching children to love: 80 games & fun activities for raising balanced children in unbalanced times. Planetary Publications, Boulder Creek
Childre D, McCraty R (2002) Psychophysiological correlates of spiritual experiences. AAPB Biofeedback Winter 2001:13–17
Childre D, Martin H, Rozman D, McCraty R (2016) The heart intelligence: connecting with the intuitive guidance of the heart. Waterfront Press. Retrieved from Amazon.CEU. ISBN-10: 1943625433
Cipolla CM (1991) Allegro ma non Troppo. [Fast, but not overly so] (Editorial Crítica, Trans.) Barcelona, Spain. Original published (1988). Allegro man non Troppo. SocietáEditriceIlMulino, Bolonia
Crabtree S(2013) Worldwide, 13% of employees are engaged at work. http://www.gallup.com/poll/165269/worldwide-employees-engaged-work.aspx?version=print. Accessed 12 Jan 2016
De Waal F (2009) The age of empathy: nature's lessons for a kinder society. Random House, New York
Depue RA, Morrone-Strupinsky JV (2005) Aneurobehavioral model of affiliative bonding. Behav Brain Sci 28:313–395
Diamandis P, Kotler S (2015) Bold: how to go big, create wealth, and impact the world. Free Press a Division of Simon & Schuster, New York
Dotlich D, Cairo P, Rhinesmith S (2006) Head, heart, and guts: how the World's best companies develop complete leaders. Jossey-Bass, San Francisco
Dutton J (2003) Energize your workplace: how to create and sustainhigh-quality connections at work, University of Michigan Business School Management Series. Jossey-Bass, San Francisco
Dyer J, Gregersen H, Christensen CM (2011) The innovator's DNA: mastering the five skills of disruptive innovators. Harvard Business Review Press, Boston
Edmonson A (2014) Teaming: how organizations learn, innovate, and compete in the knowledge economy. Jossey Bass Pfeiffer, San Francisco
Elliot S, Edmonson D (2008) Coherent breathing: the definitive method. Theory and practice. Coherence Press, Allen. ISBN 0-9786399-3-6
Fernández-Aráoz C (2014) Creating a culture of unconditional love. Harvard Business Review. http://blogs.hbr.org/2014/01/creating-a-culture-of-unconditional-love/. Accessed 10 Jan 2014
Frost P (2003) Toxic emotions at work: how compassionate managers handle pain and conflict. Harvard Business School Press, Boston
Gentry WA, Eckert Regina H, Stawiski SA, Zhao S (2013) The challenges leaders face around the world: more similar than different. Center for Creative Leadership, Greensboro, North Carolina, USA
Glaser J (2014) Conversational intelligence: how great leaders build trust and get extraordinary results. Bibliomotion, Brookline
Goldsmith M (2016) Triggers: sparking positive change and making it last. Profile Books LTD., London
Goleman D, Boyatzis R, McKee A (2002) El líder resonantecrea más: El poder de la inteligenciaemocional. [Original name in English: the new leaders]. Plaza y Janés, Barcelona
Good Reads. (2016) Quotable Quotes. On Albert Einstein. http://www.goodreads.com/author/quotes/9810. Accessed 10 Jan 2016
Kahneman D (2002) Maps of bounded rationality: a perspective on intuitive judgment and choice. Nobel Prize Lecture. Princeton University, Department of Psychology, New Jersey. http://www.

nobelprize.org/nobel_prizes/economic-sciences/laureates/2002/kahnemann-lecture.pdf. Accessed 6 Apr 2016
Kegan R (1994) In over our heads: the mental demands of modern life. Harvard University Press, Cambridge, MA
Ket de Vries M (2005) Leadership group coaching in action: the Zen of creating high-performance teams. Acad Manag Exec 19(1):61–96
Kurzweil R (2005) The singularity in near: when humans transcend biology. Penguin Group, New York
Lilius J, Kanov J, Dutton J (2005) The transformative potential of compassion at work. In: Cooperrider D, Fry R, Piderit S (eds) New designs for transformative cooperation. Stanford University Press, Stanford
Logan D, King J, Fischer-Wright H (2009) Tribal leadership. Kindle edn. Harper Collins, Pymble, Australia
Lombardo M, Eichinger R (2009) FYI. For your improvement: a guide for development and coaching. For learners, managers, mentors, and feedback givers. Lominger International: A Korn/Ferry Company
Lynch J (1938, 1985) The language of the heart: the human body in dialogue. Basic Books, New York
McCraty R (2015) Science of the heart: exploring the role of the heart in human performance, vol. 2, Boulder Creek: HeartMath Institute. https://www.heartmath.org/research/science-of-the-heart/details/. Accessed 27 Jan 2016
McCraty R, Atkinson M, Tiller WA (1995a) New electrophysiological correlates associated with intentional heart focus. Subtle Energies 4(3):251–268
McCraty R, Atkinson M, Tiller WA, Rein G, Watkins A (1995b) The effects of emotions on short-term heart rate variability using power spectrum analysis. Am J Cardiol 76(14):1089–1093
McCraty R, Atkinson M, Tomasino D (2003) Impact of a stress reduction program on blood and emotional health in hypertensive employees. J Altern Complement Med 9(3):355–369
McCraty R, Atkinson M, Bradley R (2004a) Electrophysiological evidence of intuition: part 1. The surprising role of the heart. J Altern Complement Med 10(1):133–143
McCraty R, Atkinson M, Bradley R (2004b) Electrophysiological evidence of intuition: part 2. A system-wide process? J Altern Complement Med 10(2):325–336
Oshry B (2007) Seeing systems: unlocking the mysteries of organizational life. Berrett-Koehler Publishers, San Francisco
Petrie N (2014) Future trend in leadership development. Center for Creative Leadership, Greenboro, North Carolina, USA
Ricard M (2013) Plaidoyerporl'altruism: La force de la bienveillance. [trans: Altruism: The power of compassion to change yourself and the world] (2015). Little, Brown and Company. Hachetter Book Group, New York
Rifkin J (2009) The empathic civilization: the race to global consciousness in a world in crisis. Penguin Group, New York
Rojas E (2016) La Inmadurez sentimental del hombre [trans: The sentimental inmaturity of men]. Diario ABC, p 3, Madrid, Spain
Rozin P, Royzman E (2001) Negativity bias, negativity dominance, and contagion. Personal Soc Psychol RevPersonal Soc Psychol Rev 5(4):296–320
Soosalu G, Oka M (2012) mBraining: using your multiple brains to do cool stuff. mBIT International Pty Ltd. Printed by CreateSpace Independent Publishing Platform
Tversky A, Kahneman D (1973) Judgment under uncertainty: heuristics and biases. Oregon Research Institute. Office of Naval Research Advanced Research Projects Agency. Springfield, National Technical Information Services. U.S. Department of Commerce. https://scholar.google.es/scholar?hl=en&q=kahneman+1974&btnG=&as_sdt=1%2C5&as_sdtp=. Accessed 5 Apr 2016
Vianello M, Galliani E, Haidt J (2010) Elevation at work: the effects of leader's moral excellence. J Posit Psychol 5(5):390–411

Watkins A (2014) Coherence: the secret science of brilliant leadership. Kogan Page Limited, London

Watkins A (2016) 4D Leadership: competitive advantage through vertical leadership development. Kogan Page limited, London

World Economic Forum (2015) Outlook on the global agenda. http://reports.weforum.org/outlook-global-agenda-2015/top-10-trends-of-2015/3-lack-of-leadership/. Accessed 7 Feb 2016

Yogananda P (2004) The second coming of Christ: the Resurrection of the Christ within You. A revelatory commentary on the original teachings of Jesus, vol 1–2. Self-Realization Fellowship, Los Angeles

The New Leader as Spiritual Hero: The Way of Awakening

Alexis Racionero

Contents

Abstract

This chapter describes a transformational methodology called "the way of awakening" that draws upon the concept of "the new leader as spiritual hero." This approach helps participants connect with their true identity, expand their consciousness, and transform their personal and management development. It is an

A. Racionero (✉)
Barcelona University, Barcelona, Spain
e-mail: alexis.rubberman@gmail.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_46

invitation to awaken the hero within, making a challenging journey of self-leadership and consciousness. Starting from the hero's journey, integrating myths, tales, movie fictions, and other symbolic forms of language, participants move into creative states where ideas, new vision, projects, and dreams appear.

On the practical side, "the way of awakening" combines tools taken from yoga, creativity, drama, meditation, mindfulness, NPL (neurolinguistic programming), and Gestalt psychology. Taking its inspiration from myths and heroes like Perceval, Ulysses, or Gilgamesh and movies like *Star Wars*, *American Beauty*, *The Wizard of Oz*, *The Social Network*, or *The Matrix*, the concept of "the new leader as spiritual hero" is an invitation to participants to have the courage to dare, to enter into the mystery of the mythic image and emerge with new creative and integrative resources from the center of their spiritual identity, sharing with their teams and community.

Keywords
Awakening · Consciousness · Hero's journey · Myth · New vision · Shadow · Spirituality · Transformation · Wound

Introduction

"The new leader as spiritual hero" is an invitation to awaken the hero within ourselves, undertaking a challenging journey of self-leadership and consciousness. Starting from the hero's journey, integrating myths, tales, movie fictions, and other symbolic forms of language, the process moves into creative states where ideas, new visions, projects, and dreams appear.

This methodology is called "the way of awakening," and it combines tools from yoga, creativity, drama, meditation, mindfulness, NLP, and Gestalt psychology.

The time of traditional materialistic leaders driven by ambition is coming to an end. The world demands a new kind of leader: one who integrates and collaborates and who lifts his team, sharing the knowledge that comes from his mind but also from his spirit.

The new leader as spiritual hero feels the call of the adventure, meets the unknown to discover his deep personal sense, and comes back to transform his organization, business field, and environment.

This chapter describes a workshop in which we support the development of workplace wellness through experiencing states that come from the spiritual self – such as generosity, compassion, collaboration, gratitude, and unconditional love. We also relate to our somatic centers of energy and emotions.

Taking its inspiration from myths and heroes like Perceval, Ulysses, or Gilgamesh and movies like *Star Wars*, *American Beauty*, *The Wizard of Oz*, *or The Matrix*, "the way of awakening" is an invitation to have the courage to enter the mystery of the mythic image and emerge with new creative and integrative resources from the center of our spiritual identity, to be shared with others.

"The way of awakening" is addressed to anyone who is interested in mythology, narrative fiction, creativity, and transformation processes. This includes professional business and educational organizations committed to the spiritual growth and well-being of their teams, those wishing to experiment with new creative and innovative tools, and those interested in combining the scientific paradigm with ancient spiritual disciplines. It is also valid for those accompanying processes of change in individuals and teams (consultant, coaches, therapists). It may also be useful for those who are involved in a specific situation or who have decisions to make and for the person who is undergoing a life change.

The method is both a therapy and a mentoring workshop, based on skills such as mythology, primitive traditions, and personal spiritual experience. The workshop was developed as a consequence of my professional career related to cinema, screenwriting, art, literature, yoga, eastern philosophies, and mindfulness. In order to create the method, I have been inspired by Joseph Campbell's *The Hero's Journey*, yoga, Zen Buddhism, Advaita, mindfulness, NLP, Gestalt therapy, and some aspects of Tantra.

The New Leader as Spiritual Hero

Times are changing. A sense of spirituality is coming back to awaken a better way to lead and connect to others. There's a new kind of leadership related to the "we win," instead of the selfish "I win." The new leader is constantly working for the community, for the group benefit, taking the best of each one of his teammates.

Religions such as Buddhism and Christianity talk about the suppression of the ego to enter a higher level of consciousness. That's the way of the sages, the prophets, and the yogis. Most of us don't want to give up our ordinary life to fully dedicate to a spiritual path looking for illumination, but we can bring back spirituality through meditation, yoga, and other practices.

Somehow we need to awaken in order to overcome this world of neurosis and fear. We need the old heroes from legends and myths to return, those who enter the unknown to find themselves, confront their fears, understand their world, and obtain some kind of knowledge or gift with which to guide their community.

That's the way of sages like Siddhartha, artists like Picasso, or heroes like Parsifal.

The hero's journey is the starting point of the way of awakening, a method to connect with your true identity and expand your consciousness in order to transform your personal and management capabilities.

"The way of awakening" is an invitation to awaken the hero within you, making a challenging journey of self-leadership and consciousness. Starting from states of mindfulness, we connect with the hero's journey, the myths, and the primitive rites of passage, to transcend the extreme duality and the blind spot of modern society, moving into creative states where ideas, new projects, and dreams may appear.

During an intense workshop, participants experience combining storytelling, myths, film therapy, and different disciplines such as Gestalt psychology, meditation, mindfulness, or yoga. The participant is able to awaken his spiritual and creative potential to lead and relate from another angle.

The world is demanding a new kind of leader: one that integrates and collaborates, who lifts up a team, sharing his knowledge from his mind, soul, and heart, a person who combines reason, intuition, and feelings in a fully dimensional and holistic way. The classical one-dimensional man from the twentieth century is trapped in his cell of reason; he needs to awaken to the other levels of consciousness we all have. We were born with a body and primitive knowledge that we forgot along the way. We came to the world from the eternal light and blew out the candle of our soul.

If we have contact with nature, leave space for silence, and experience group connection, we can all reach new patterns into our daily life.

A leader could be a warrior, but he also needs to have vision, intuition, and even abilities to heal himself and his teammates. A wise leader integrates this different level, joining soul, mind, and body.

Those who start fighting before taking care about themselves are not true warriors, because they don't know what are they fighting for. They might simply fight to show their superior force. This gives self-confidence but doesn't tell who you are.

During the workshop, we support the development of workplace wellness through experiencing states that come from the spiritual self, such as generosity, compassion, collaboration, gratitude, and unconditional love. We also help to connect with our somatic centers of energy with physical practices and yoga *asanas* that bring participants to their bodies so that they can feel and learn. The body is a space of wisdom, where we can achieve a better understanding of ourselves.

Spiritual growth requires entering deeper into oneness, in a quiet and subtle tone, a change of frequency that leads to major wisdom.

"The way of awakening" presents an invitation to have courage to dare, to enter into the mystery of the mythic image and emerge with new creative and integrative resources from the center of our spiritual identity, to be shared with our teams.

This is an intense workshop, open not only to professional business and educational organizations committed to the spiritual growth and labor welfare of their teams but also to anyone who wants to improve his ordinary life by learning a method that brings tools combining scientific paradigms with creativity and ancient spiritual disciplines. It is open to people living personal or professional transitions wishing to rediscover their life purpose.

The Way of Awakening and the Four Ways of Living

Where Are We?

We are in the known world, in our daily routine, in the so-called comfort zone where everything is planned, designed, and established following a pattern that comes from our ancestors and social environment to make us feel happy or at least in the place we should be.

We grow up, study for a degree, get a well-paid job, marry, and live in a nice house. Then we have kids and spend summer at the beach and winter in the mountains. One day we retire and become grandpas, and we look back to what has been our life, until the day we die.

That's an ordinary life that can be fully happy and even spiritual but most of us, at some point on the way, feel that there could be something more.

We don't need to be unsatisfied, just aware that life is something more than just following a plan.

According to Joseph Campbell, in words of Stephen Gilligan and Robert Dilts (2010), one of the best mentors on the hero's journey, there are three ways of living our life (see Fig. 1): the mainstream, the wasteland, and the hero's journey where we awaken our consciousness. The mainstream is the ideal ego, the orthodox life, the preestablished ordinary life where we fit in. Here we follow the rules and the plan already set for us. Our life is a pattern and we give ourselves to meet the expectations. We are good parents, workers, and citizens, but we might feel empty inside. Then we can become hollow men (or one-dimensional man as called in Fig. 1).The opposite to the village is the wasteland where we become outsiders, people who don't want to fit in the village and then become against it. There is plenty of hate, criticism, and self-destruction here, because we tend to give ourselves over to depression, drugs, or ways of avoiding ordinary life. When we are in wasteland, we feel that nothing is enough, that society is corrupted. Here we are rebels. The wasteland is quite common to all of us when we are teenagers, but if we remain here forever, we might end up surrounded by violence, boredom, and laziness.

Many heroes from our popular culture have been in the wasteland – like Kurt Cobain from Nirvana, Sid Vicious from the Sex Pistols, or members of the Beat Generation like Allen Ginsberg or William Burroughs. Only a few of them have come out of the wasteland, returning to ordinary life with new ideas or knowledge.

The last zone we have, according to Stephen Gilligan (Gilligan et al. 2010), is the hero's journey, the territory where we integrate, where there is no renunciation of the world we live in, but where we behave from a deeper perspective, having connected with our true self and life dharma (sense of life/goal). This means we know what we came for, what is our true purpose in life, and which are our main abilities. When we get to this point, every day is a new opportunity to give, share, and improve, filling our being with real happiness. This is not a simple goal but a life purpose. At this point into the hero's journey, we realize that we are here to heal people, to write fictions that will make them happy, to educate young kids, and to lead a company

Fig. 1 We become one-dimensional man or even hollow man, when we stay in our known world, following the mainstream ideal way of living, or when we disagree with it, we become rebels, outsiders into the wasteland where one is against everything

that brings new technologies. Probably during our life, we've had a touch, an insight, or a short connection with our true purpose, but due to multiple situations, we have abandoned that path or we have postponed it.

Sometimes we get confused, we want stability, we want to earn more money and be rich, or we want social status or even fame, but what about our soul and our true essence?

We came to live with a purpose, with a special gift, and all we have to do is just awaken to reconnect with it.

Apart from these three ways of living, let me add another one that I call the wonderland. This is the other side of the wasteland. It is also out of the village, the ordinary life. It is a space lived by outsiders too, but these outsiders don't blame or hate others. They are not against society because they find themselves living in a better world where there are no problems, where there is money to cover expenses, vices, and desires. It is an ideal land, inhabited by the kids of the affluent society, paying for pleasures, experiences, and face-lifts. It is an invented world of cotton, somewhere safe and secure that doesn't concern reality. It is like living in a bubble, a golden castle, or an eco-community.

Sometimes the hero's journey can take us to wonderland, when our call or *dharma* is fake, driven by the ego. We may be confused, thinking that an ambitious goal is what we wanted. Once achieved, we'll find ourselves in wonderland, but after a few years, we'll discover that there is something missing. It is not easy to recognize our true self, or *dharma*, to listen to the spirit: that's the effort we must make in order to avoid falling into the fantasy of wonderland.

This is a territory of another kind of renunciation, where we are trapped by the ego. Wasteland and wonderland express the polarity between the shadow and the brightest and unreal sun.

We are looking for the center, for the neutral point where a person integrates and is able to follow happiness and develop in society, in the world he or she lives in: that is the way of awakening, the path that many heroes and common people have walked along the centuries. For that we need to take a trip, a journey into the unknown, to our secret awareness. The path leads us to encounter who we really are. It is a long journey, a lifetime trip, where the first step is to awaken, to open our life to what we really want, being brave and confident enough to fight our demons, shadows, and the many obstacles to come.

To be awoken is to connect with the Eastern Sun, the light of new possibilities and horizons.

The Call of the Adventure

This is probably the key moment of the way of awakening. It is the spark, the seed that grows within us, the beginning of a suffering process, a place where nothing is safe and there are many changes to come. It is very well explained in Joseph Campbell's *The Hero with a Thousand Faces* (1949) and has multiple examples in

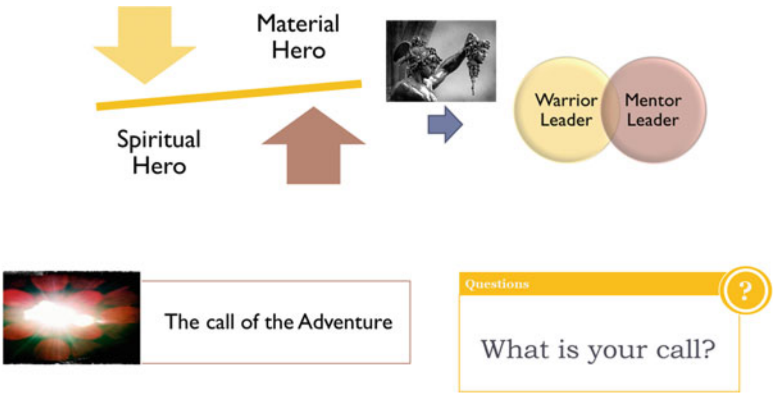


Fig. 2 There are two kinds of hero: the material and the spiritual, Hercules or Perseus. The first one is based on strength, and the second uses the hero's emotions, feelings, and spirit to bring happiness or relief to his community. Nowadays we are moving from the material to the spiritual hero and from the warrior leader to the mentor. The transformation begins when we can hear our call

myths, literature, and cinema. The concept is simple to understand but knowledge is not enough. Only experience can take the person to a real awakening.

At this point, what we need is to put the mind away and hear the call from another perspective, a voice that we can call intuition, the unconscious, the spirit, or whatever we wish (see Fig. 2). We never know when the call of the adventure will come. It may come from suffering but also from happiness. Normally, it has to do with something missing in our society, in the world that surrounds us. It is a lack of fulfillment, a shortage or deficiency in our community.

If we think about cinema heroes, Travis Bickle from *Taxi Driver* awakens from shadow and depression, seeing NY City full of scum and corruption. On the other hand, Lester Burnham from *American Beauty* is really happy observing a pretty cheerleader when he feels the call of his adventure, which is not to conquer the young girl but to reconnect with his own youth when he was free to do what he liked.

On many occasions, the call is done by someone called mentor, or guide, who helps to open our doors of awakening. These characters are very common in cinema but also in our real life. Obi-Wan Kenobi and Yoda awaken Luke Skywalker in *Star Wars* or Ricky Fitts helps Lester (*American Beauty*) on his trip to his real self, and Neo (*The Matrix*) sees a white rabbit calling him from the computer screen before Trinity and Morpheus appear to guide him. In *The Lord of the Rings*, we have the white magician Gandalf as a mentor, drawn directly from his equivalent Merlin in King Arthur's mythology.

In our lives, this archetype could be linked to an experience in our childhood or to someone we admired greatly who taught us something very important. That youthful practice of writing short poems or taking care of plants might be a clue to something we have inside us. If we remember this character from our early life, maybe we'll discover that our real *dharma* was writing poetry or taking care of living beings.

Another option is getting to know someone who can reconnect us with that true essence we once had, which has been forgotten along the years. We could fall in love with a nurse or a poet or simply be fascinated by a neighbor who fits that idealized model we have. If this happens, don't panic, don't stop communication due to fear. Let it flow, follow your heart to see what's in there, and, probably, at the very end, you'll find yourself. One can also conjure up that person's call, or start searching for his life purpose, just by relating his cognitive mind to the soul and somatic knowledge of our body. To attain that, breathing is the key that opens the door to new perspectives. Conscious breathing is also the gate that leads to meditation, the space where the true self awakens and information starts to flow from different spheres. All we need is clean air and a space to focus within.

The first thing we should do, to feel the call of the adventure, is to find a place.

The setting and the atmosphere are fundamental to the practice of going inside oneself. A house in the mountains, far away from civilization, could be the perfect place. Or the house could be facing a mountain, under a big peak or anywhere where nature rules.

The mountain view and the stars at night, the sound of the wind, or the smell of the forest may help practitioners to achieve major perception and go beyond their usual rational thinking. As the poet William Blake (*The Marriage of Heaven and Hell*, 1994) said in his famous poem:

> If the doors of perception are cleaned everything would appear to man as it is, infinite. For man has closed himself up, till he sees all things thro' narrow chinks of his cavern.

It is easier to connect with the subtle and symbolic language related to the spirit in a calm and remote natural environment. These are conditions that will allow us to leave behind our cognitive mind and be able to hear our call of adventure. That is why my seminar could be introduced in a short 3-h module in the city, in a company room, but later on, in order to have a real experience, would need to take the participants for a long weekend to a house in the mountains, removed from their routine. This is also linked to the idea of crossing the threshold to the unknown world, but that comes a bit later. Let's first talk a bit more about our mind.

The Three Minds, the Four Quadrants, and the Integral Unity

According to yoga we have three minds: the negative mind, the positive one, and the neutral one. None is better than the other, but they each provide a pattern of character, just as the enneagram types do.

The negative mind is related to protection, to the kind of person who is aware of everything that can happen and is conscious of dangers. It is associated with the number two (Gurudass Singh Kalsa, Numerología Tántrica, 1991), and the people born in February or November.

The positive mind is typical of those born in March, Aries astrological sign, very energetic people who always say yes to everything, without controlling or thinking too much. Their attitude leads them to be overwhelmed by situations and by things started that can't be finished. Enthusiastically optimistic people are in danger of losing control of themselves.

The neutral mind is the *buddhi mind*, the center in between those two. The neutral mind works by anticipating dangers and mistakes, thinking ahead but also has the qualities of the positive mind to do things and be brave.

But this mind is too analytical, not passionate enough, the permanent balance, and in life we probably also need the extremes. The neutral mind is the number four, those born in April. Generally speaking it helps people understand that we all have different behaviors but also some things in common.

In their Generative Coaching Program that comes from neurolinguistic programming, Stephen Gilligan and Robert Dilts (2010) also consider that we have three minds: the somatic, cognitive, and field.

For them, the first of these is the cleverest. It is the one that is inside the body, around the belly or the *nabhi*, a key point/chakra in yoga. This is the primary mind, the primitive one. It is related to instinct, a form or wisdom that we had when we were kids. In order to appeal to this mind, we work on the body by breathing, and we can also practice retrojections to our childhood.

The cognitive is the analytical mind, the planner; it's the manager who organizes.

The field is the consciousness around us, the context and how it affects our way of thinking and being – culture, family, surroundings, and our own history.

Undoubtedly, these two experts in NLP agree that the somatic mind is the most authentic, the true one, the one we should look for, because it has been repressed once we've grown up. And we need all three minds.

In his *integral theory*, the transpersonal psychologist Ken Wilber (2006) talks about four quadrant grids to synthesize the human experience and knowledge. Two of them are for the individual, inside and outside, and two for collective, interior and exterior. This relates the persona to the environment or the field in which he has grown up and lives.

Gestalt therapy, created by Fritz Perls (1969), integrates mind, body, and emotions to work with its clients. This is different from the three minds; it opens the perspective to other areas of the persona. This chapter draws more upon the Gestalt therapy approach, even though it is good to integrate concepts like the ones coming from yoga, or Wilber's theories that are also connected to non-dual vision of Advaita Vedanta. I conceive the human being as a united entity where the cognitive mind, the somatic body, and the spirit make a whole. Reason, intuition, emotion, and connection with something transcendental make us a persona.

It is important to have established this setting before any transformational journey or when heading toward the way of awakening. Another important point to remember is that our mind is not an enemy. We don't have to kill it in order to awaken or to begin a transformation process. It's a question of not using only our rational thinking. We need to add body and spirit. Here are some suggested practices.

Practices to Feel the Call of the Adventure

Here are a few examples of exercises that we use in our workshop, that the reader can adapt to his personal practice:

- Mentor archetype, your hidden dharma
  Deep meditation with pranayama exercises (breathing) to recall the memory of a person who has inspired and touched you. Work in couples to talk about this person, his or her abilities, and which ones are related to you.
  What message does he/she send to you?
- Meditation on a difficult moment of your life that made you stronger, where you had the strength to recover. Remember how you behaved and the tools, senses, and elements you used.
  I had it. I lost it. I reconnect with it.
- Film cuts
  Different examples of the call of adventure coming from movies like *American Beauty*, *Star Wars*, *The Treasure of the Sierra Madre*, *The Wizard of Oz*, and *The Matri*x. With a partner, or through journaling, talk about the extracts and see what moves you.
- Think about any inspirational movie, book, or story.
  Focus on a character or a life purpose.
  In what ways do you see yourself or your journey in this character?
- Practice the archer pose as a symbol of being rooted, sustained and flowing at the same time. Look for your center in order to be strong, still, and flexible to the changes at the same time. The warrior: strong to sustain and subtle to perceive. The two heroes in one, the material and the spiritual one.
- Trip to happiness
  Go for a walk. Get lost and come back with a short fiction of your best trip.
  Read it to someone and explain what this experience meant to you.
- Your deepest call
  Explore what moves you in life. Bring your attention to your body. Breathe so that you can descend to your somatic center. Close your eyes, move freely, and look inside to discover your deepest call. Once you have it, say it in three different ways. One neutral, very mental if you wish. Another from your inner body, whispering, slow, and feeling what you say. The third way consists in saying it out loudly to the audience, to the exterior. Say it, and picture it. Invocate it. By words you say your goal. By images you visualize and resonate, and by the body, you create a movement, a posture in relation to all. Be specific.
  My deepest call is. . .
  Where do you feel it?
  And what do you want to do with it?
  What do you want to do with your life?

Overview of the Way of Awakening

In Fig. 3, I present the global vision of the way of the awakening, taking parts from Campbell's hero's journey. I split into four segments what in the hero's journey is only two. The four segments are related to Ken Wilber's work as mentioned before. The evolution of the leader is my proposal, and I respect Campbell's steps on his hero's journey that are written in black color.

The Crossing of the Threshold

When we use the phrase "crossing the threshold," we are referring to the beginning of the journey of awakening. Once we have recognized our deepest call, we have to take action to move forward, to search for the goal, to start our personal transformation. For that we need to leave many things behind, entering into the unknown, leaving our comfort zone. The threshold marks the limit between the ordinary life and the new world of the unknown. The threshold represents a first test or challenge.

Fig. 3 Shows the map of the hero's journey, dividing the unknown world in two segments to mark the difference between death and resurrection that is so easy to find in rituals. This way of awakening is also the evolution from the warrior leader to the wise integrated one. It is important to have this figure or map of the journey with you as you read this chapter, to check where we are at every moment

Here we move from idea to action. The hearing of the call needs to become real by doing something, by walking into that direction, but many of us don't have the courage to start the awakening. We postpone the hero's journey because it's more comfortable to remain in our village. Fear appears and we get confused. We go back to "ordinary life," to the idea that consuming and buying could bring happiness. We convince ourselves that our world is not so bad. We pretend to be very well the way we are, but if we have felt the call, sooner or later it will come back, like a hidden agenda, something unresolved forever. So, if we want to learn and transform ourselves, we need to awaken, accepting the call and moving forward to cross the threshold, no matter what fears we may have. At this point, heroes of myth or adventure reach a bridge where they fight against the guardian of the gate. This first battle is against our fears and laziness to leave our past life.

Before getting to this point, it is essential that we have connected with our allies and mentors, the people who put us on the way of awakening. The allies are the people taking part in your awakening; these are your company colleagues, your editor if you are a writer, a manager for an artist, or just someone who is there to help along the way. The only thing you should know is that at some point of the transformation journey, you'll be alone. Mentors are not there to do all the work for us; they are just crutches to walk with, counsellors, and good friends, but the hero's journey must be done by oneself. All heroes get to the crucial moment of their adventure on their own.

In addition, when speaking of the spiritual path toward personal transformation, one should take hold of one's own reins to go inside.

Don Quixote had Sancho Panza, and Frodo had Sam, but to awaken, to experience the real adventure of conquering our happiness, one needs to be alone during the last part of the way.

The preparation for the crossing of the threshold means training with our mentors. At this moment, they are very important to us. We need their guidance and advice.

If they are not alive, just meditate and visualize them and grasp conversations and moments with them, in order to get clues to the adventure of awakening. Here we start the travel to the essence of ourselves, conquering the real dharma in this life. Like the character based on Gary Snyder in Jack Kerouac's *The Dharma Bums* (1958), we become *Dharma Bums*, seekers walking blindly, entering darkness to meet the light of our sacred candle, a candle that is connected to the universal fire.

The mentor is someone experienced, normally an older person, someone who doesn't look ordinary because he has already awoken. He or she has experienced the adventure before. For instance, in *The Lord of the Rings*, Bilbo Baggins is Frodo's mentor because he has accomplished his adventure into the unknown in *The Hobbit*'s first story. Sometime later, he passes the knowledge of his experience to the next hero, so that he can start the journey. The same happens with Obi-Wan Kenobi and Luke (*Star Wars*): they are both *Jedis*, but it is the older man who gives him the clues for his adventure. After meeting his mentor, Luke knows that he has to save the world from the Empire in a journey that challenges him not to fall into the dark side that represents the path of ambition and ego.

Perseus, who had to fight the Medusa, was helped by the gods Hermes and Athena who gave him the amulets with which to beat the beast, a golden ox to cut her head, and a bright shield that mirrored the dangerous glance of the Medusa that turned everything she looked at into stone.

In the cinema examples given earlier, the laser sword and the ring are the amulets offered to the heroes.

The participants of the way of awakening must come into this symbolic and unconscious language and choose an object, a symbol of protection, something that may be given by the mentors or not, but that relates the person to his call and final goal. It is good to have mentors and amulets.

If someone's call has to do with guiding people into other dimensions, into the darkness of their life, opening them to their true self and spirit, one might choose an amulet such as an owl, a compass, or a torch. Symbolic language and rituals are important for entering the transformation process.

It's easy to recognize the threshold. In tales and mythology, it is always a river, a canyon, or a space to cross that leads to the unknown. It is entering into a remote mountain territory, the gate to a dark forest, or the beginning of a desert.

There are space coordinates but also clues related to the people from the unknown. For instance, in *American Beauty* the threshold is represented by the exit door of a big company party that is taking place in a restaurant. There, Lester meets Ricky, a young fellow who gives him the clues to go back to his old times of freedom.

In *Star Wars* the threshold is nicely represented by a galactic saloon full of strange characters, where the hero will meet Han Solo and his spaceship.

Dorothy, the girl from *The Wizard of Oz*, travels to Oz by crossing the threshold of a tornado. And classics like *Unforgiven* or *Apocalypse Now* use a river. In the second one, the river is the path, and Do Lung Bridge, surrounded by fireworks and madness in a dark night, represents the true door to the unconscious, the territory one must enter to meet Kurtz.

In life, a threshold is that area where it is not easy to take a step back, where a step means a great deal, a change, an effort to leave things behind. It is the place where we let go of our ship to journey into another dimension or situation in our life. It is easy to recognize the threshold when traveling, but in our routine, it could be just an important decision.

When reaching a threshold, it is important to stay in our center because panic and fear take us out of there, creating confusion and the possibility of a surrender.

When crossing the threshold, we pass from a state of weakness to a state of strength.

Once we are in our center, what we do, say, and think is the same. We are connected to our roots and the somatic center of our *nabhi*. We feel the internal fire and the strength to move and take decisions whether people like it or not. Only in this way are we able to fight the turbulences coming from our environment. The family, the company, or the team might not support the desire to change or agree with the awakening or call. From their view, everything was right how it was. But if we feel the call and we are facing the threshold, we have to be strong and confident in our center, full of determination, and ready to take the next step, come what may, and walk the threshold.

In our workshop this moment demands the practice of moving from feeling, exploration, and integration of the call to the action to awaken, to walk into the path of transformation.

Practices for Crossing the Threshold

We do several practices and rituals in our workshop to help our participants cross the threshold. Here are some examples you can do on your own.

- Think about what resources feed and support your way. Who are your allies?
- Take a piece of yarn and lay it across the floor. Imagine the yarn is the threshold. Then, verbalize your call (objective or goal). Symbolically step over the yarn as if it were a river threshold, into the unknown. Walk forward slowly, and whenever an obstacle or fear comes to your mind, take a step back. See how far you can go.

Trials and Polarities

After crossing the threshold, there are tests and trials related to the pairs of opposites that are always around us. The way of awakening means moving forward to the center of our own persona with no polarities, like the Buddha did.

At this point we begin to face the difference between material heroes like Hercules or Lancelot and spiritual ones like Perseus or Parsifal.

The hero with ambition is just a warrior. The one who is able to kill his desire and ego becomes a mentor to many people, because he has reached higher achievements related to spirituality. The warrior might be rich or famous, while the spiritual hero is wise.

Joseph Campbell (Campbell and Moyers, B. The Power of Myth, 1988) establishes this condition of not falling into the "dark side" of ambition and polarities due to the influence of Buddhism. The renunciation of the ego and desire is for him a big trial to undergo along the hero's journey.

Advaita Vedanta is the discipline of no duality, and all its philosophy turns on this idea. Probably all spiritual paths have to do with this capacity of overcoming duality. In modern revisions of this concept, David Loy is one of the best writers on Zen and Buddhism with books like *Nonduality* (Loy 1988) or *The Great Awakening* (Loy 1997).

We westerners are used to this idea that things could be white or black, good and bad, feminine or masculine, day or night, etc. Christianity talks about heaven and hell. The kingdom of Heaven has all the positive points and Hell all the negative ones, when truly Heaven should be no twoness. All of our world is constructed around this pair of opposites. We built boundaries as Ken Wilber calls them, when we should understand that one thing leads to the other, that everything is connected, so that it's not a question of trying or eliminating one of the polarities but of staying at the center, to get rid of this torture of the pair of opposites.

> The point is not to separate the opposites and make 'positive progress', but rather to unify and harmonize the opposites, both positive and negative, by discovering a ground which transcends and encompasses them both. (Wilber 1985)

Wilber states clearly that all the problems of living are related to the illusion that opposites can and should be separated and isolated from one another.

We create a boundary between pleasure and pain, not seeing that the opposites are just two different names of a process. Once we understand this, we can see that to destroy the negative is also to destroy the possibility of enjoying the positive. That's why when we see parts of ourselves that we don't like, we have to embrace them, instead of killing or hiding them. To be liberated is to be beyond good and evil, not stuck inside the battle of good and evil. Liberation is not freedom from the negative but complete freedom from the pairs. This is one of the main steps we must take to clear our mind. To do so, to get to no-dual being, both Advaita and Mahayana Buddhism stress the importance of meditation as a way to reach this state, reminding us that opposites are just different aspects of the same thing.

The Dhammapada (Babbit 1965) says:

> One should conquer anger with kindness, evil with goodness, selfishness with generosity, and falsehood with truthfulness. (sutra 223, p. 36)

And when we look at Zen Buddhism, D. T. Suzuki (1959) points out that the satori experience (illumination) is equal to the realization of non-duality.

As David Loy concludes, "Once the sensation of duality disappears we are able to understand that the energy that moves the universe is the same that brings life to our body, and that all individual dances are part of His cosmic dance" (Loy 1988).

This is the Shiva dance that we all have to dance.

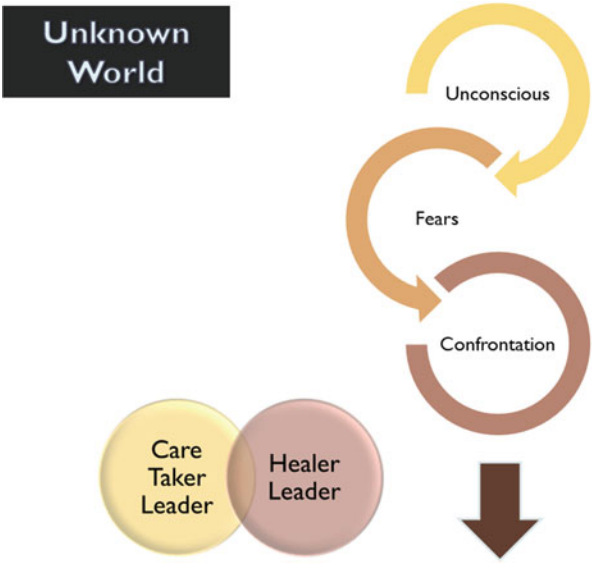
While traveling down into our consciousness in order to experience transformation, we need to go deep and let many things go, especially the boundaries of dualism and ambition (see Fig. 4).

The next step is to leave attachment, ambition, and the need to possess, to have, or to be.

Forget the habit of judging, of wanting some more, of looking for permanent pleasure. Here we have to become the Buddha or Christ, empty, alone, plain, with no needs. We can approach that by empting our stomach, having a day of fast, leaving an empty space with no mobile phone or anything around, to experience that it is possible to be empty, just with our self, getting closer to the moment we were born when we had nothing else than our essence. This emptiness is where we get after going through the test and trials on the journey.

In the *Yoga Sutras of Patanjali*, one finds the *kleshas* or five foundational obstacles: ignorance, egoism, attachment, aversion, and clinging to the bodily life. This provides a clue to what we need to get over. By remaining trapped by these obstacles, we forget who we are in reality and we create a fake character with different masks. Here lies the basis of our disillusionment.

Fig. 4 Once we enter the unknown world, we go deep into the unconscious where fears appear. The confrontation of these two and the descent are related to the archetypes of the caretaker leader and the healer



In creation, there are five aspects of everything: *sat*, *chit*, *ananda*, *nama*, and *rupa* (existence, knowledge, bliss, name, and form). And when it comes closer to the truth of Advaita, we find that the sixfold qualities of liberation are serenity of mind, self-control, withdrawing from desire for sense enjoyment, endurance, faith, and concentration.

What happens mainly is that everyone desires to be happy all the time, but this search of permanent happiness is elusive. We pretend to be happy through possessions, positions, addictions, or thanks to others. But all this is external and we must find and feel happiness inside.

We end up suffering because we identify with a reflection of us. Somewhere along the way of our life, we have forgotten our true nature.

All the trials and obstacles need to be seen not as something negative but as an opportunity to go back to our roots.

Hercules had his 12 trials, and in the *Yoga Sutras*, Patanjali lists nine other obstacles that must be overcome to cover physical, spiritual, and mental problems: disease, dullness, doubt, carelessness, laziness, sensuality, false perception, failure to reach firm ground, and slipping from the ground we have gained.

To overcome them all we can practice *japa*, a very powerful way to raise energy by often repeating a mantra, sometimes changing the frequency up to a higher vibration. This allows us to tune in among the group and reach another state. *Japa* works on group consciousness and is a very suitable thing to do before reaching the most difficult trial, the descent to the deep cavern where you let yourself die and be reborn. The supreme joy comes when we surrender, stop the fight, and let go. At the beginning, we see the demons from the outside, but soon we discover that they come from within us. They are not something external to fight against. We have to observe them because they bring a mirror facing us. The demons reveal our shadow, the part we don't want to recognize: what we fear about ourselves, where we don't feel confident. In order to awaken, following the inspiration of the hero's journey, we have to connect with and even embrace our demons and our shadow if we are to succeed. We have to deal with the negative forces inside and around us.

Joseph Campbell says "Heaven and Hell are inside us. This is the grand lesson from the Upanishads (ninth c. BC). All the Gods, all the paradises and all the worlds are inside us" (Campbell 1949). When you transcend duality, intuition appears.

Practice to Meet Your Shadow and Surrender

– Do a short meditation and focus on your anger and demons. Let the imagination flow and the emotions to arise. Then, open your eyes and take a pillow to fight with. Hit the pillow and be violent if you need it. Finally, relax facing a mirror and stay there for at least 15 min. Surrender to yourself.

In the Belly of the Whale and the Deepest Cavern

There are two moments in the journey of awakening where the spiritual hero finds himself in darkness. The first, which takes place just after the threshold, is the mythological episode called the belly of the whale, echoing the story of Jonah being swallowed by the whale. This is the entrance to the unknown and represents the falling into the unconscious kingdom.

In the belly of the whale, we dive into our unconscious forces, dealing with our past karmas, and we open the door to another dimension that has to do with our real self. Shortly, we will have trials and tests along the unknown world where the unconscious would be present within us. The belly of the whale represents a first moment of dying and rebirth. It is a short but intense moment, a kind of baptism, related to the symbolic meaning (emotions and subconscious) of the water.

In fictions like *The Matrix*, the hero dives into a tin full of water to recover from a first battle, while in *Star Wars* the main characters are trapped in a cellar that starts shrinking, or they are even eaten by a monster (*The Empire Strikes Back*).

Water relates to emotions and the belly to the darkness seen as our ancestral fear.

There is a sacred ritual in yoga called *ishnaan*, a practice that led many gurus like Guru Nanak to the illumination. It involves diving into cold water from a mountain river and immersing oneself in the water for a very long time, in a state of meditation. This is a test of the power of the mind and a powerful way of awakening.

The deepest cavern is the lowest point of descent. It is very close to dying. As shown in Fig. 5, this is a symbolic dying or confrontation of the ego, the father, and the ambition. If we relate it to the big sages and founders of religions, it is the moment when Moses is on his way to die in the desert or when Buddha lies almost dead, starving under the Bodhi tree of illumination. At this point myth connects to

Fig. 5 As we see above, to transform and be reborn as a spiritual hero, we need to enter the darkest cavern to die, going beyond the fear of death, the way the samurai does. It is a subconscious dying where our ego and ambition leave us

the rites of passage like the ones from childhood to adult condition, where the participant has to die, or let an important part of himself die, to be reborn as a new human being. All primitive societies had or have these rites, like the Sioux, whose example is immortalized at the movie *A Man Called Horse*.

This moment represents a symbolic death, the killing of the ego, the renunciation of everything that has guided the person who is on a journey of transformation to the end of the awakening, when the eureka moment or the illumination comes. But before the ascent, we need to touch the bottom of our soul. Here comes the biggest trial, the killing of the father as archetypical enemy, the mirror of ourselves. Killing our father is killing our ego.

We must remember again that we're using symbolic language and psychological situations. At this point, the hero or the participant in the awakening is dealing with the renunciation of the model he's been given while growing up, and he lets go of the ambitions to be like his father. He is listening to himself, to his own ambitions and desires, first "killing" his father and then reaching a point of reconciliation. This is exactly what happens in *Star Wars* when Luke first fights his father and wins, but he is able to put hate aside, to reconcile with him, and to see his real face behind the iron mask of Darth Vader.

As Chuang Tzu says:

The perfect man has no ego, the spiritual man has no goals, the wise man has no name.

Here, in the deepest cavern, we embrace our shadow, understanding that we need the energy of the negative forces within us. It is a question of transmuting this energy, instead of fighting it.

In mythology and tales, the shadow is represented by the dragon which the knight must kill. In the hero's journey and in our way of awakening, we don't kill the dragon, but we live with it. Because the dragon is what we don't want to show, that part of our persona we don't even know, it represents a blind spot in our nature. It may contain memories, traumas and repressed desires, ideas, or even skills, lost along the way.

The shadow represents our unconscious opposites. By knowing our desires, we might have an idea of their opposites. Both are related, and we have to integrate all of them in order to have a better knowledge of ourselves. If someone wants to live in the light, it is because he is afraid of the darkness; if a person always acts happy, it is because he is hiding sorrow. We have to be aware of our opposites to dissolve our internal tension.

At this point of embracing our shadow, we'll discover that when we fight someone, this is really a battle between us and our projected opposites. That's the real meaning of entering the deepest cavern. The shadow is who we don't want to be, the aspects about ourselves we hide. It also shows us how we could have been if we had accepted our whole self.

To awake and be successful on a personal transformation process, it is important to abandon the mask we wear and be able to look at our bright and dark side, as an integral being. The question is not to destroy the self but simply to look for it in a holistic and global vision. The problem comes when a person is only identified with his mind, his psyche, what we call personality, instead of his total organism. As Ken Wilber proposes, "we should go for no boundary awareness, reaching our supreme identity," only in this way will we be able to connect with our true call and have a real awakening.

In the deepest cavern, once we have met our shadow, we fall down to feel our main wound. We all have a wound that comes from what our life has been. Sometimes it is related to family, culture, environment, or even past karmas, but when walking the hero's journey, we have to confront and heal our wounds. To become a spiritual hero and succeed in the way of awakening, we have to share our gifts and heal our wounds and those of others. At some point of any transformation process, we find our hidden wound. That's probably the hardest trial because here there is no more fight, no more hero, and we have to surrender and become weak and sad, accepting many things we don't like. Without the superhero mask, when the warrior is beaten, the wound appears.

I'm the solitary man, the lonely one, whose wound has to do with the kid who didn't have brothers or sisters, whose parents divorced before he was born, the boy who constructed a wall of self-autonomy to be safe, who has always been alert because he didn't rely on anyone. That's what I discovered quite recently learning Gestalt therapy, where I got to know my wound. Since then, I'm still working on it, and I'm still healing. At least I'm able to understand who I am. Now I understand my wound, and I know that my quest has to do with the following questions:

What are you fighting for? Why must you surrender? Don't you see that everything is fine for you and your world? Why, then, go on fighting?

And my answer is something like this: Because it is in my nature. I haven't lowered my guard since I was a kid and I don't know how to do it. But I'm learning that it is all related to confidence, not in me but in others.

I also know that my wound led me to the desire to protect and safeguard others, because I was the one who wanted to be protected. That's the advantage of knowing our wound; it makes us understand the connection of our call and it gives sense to our spiritual goal.

The wound comes from our unconscious, and what is really difficult is to make it conscious. For that, my concern is to make use of our body knowledge, to have recourse to the spontaneity that comes from intuition. Meditation is also an escape from the rational mind.

By thinking, we'll barely reach our wound. To make the wound visible, we have to dive deep, reliving our traumas, our fears, and our hidden aspects.

In fictions, the wound is normally displayed prominently, so that the audience understands. Movies are a good way of being able to understand what we mean at this point, but we need to experience this personally; a rational comprehension is not enough.

In *The Silence of the Lambs,* Clarice's (Jodie Foster) wound is related to her childhood, when she saw the killing of the innocent lambs under a big fire. She has always felt guilty about it, because she couldn't save them. Since then, she is working hard to be a policewoman who saves the innocent. It is a quest to heal her wound, a cause to redeem guilt. So her interior journey or conflict throughout the film deals with saving the governor's daughter from the psycho killer Buffalo Bill. The whole story is her rite of passage from girl to woman and the healing of her biggest trauma or wound, guided by the clever and dangerous mentor Hannibal Lecter.

In another movie called *The Truman Show*, Truman awakens from his illusory world ruled by the "god" Christophe, by discovering that he lives trapped inside a TV program. He has been a puppet for a long time, and his goal is to escape from this studio prison. To achieve it, he will have to deal with his wound, related to a fear of water, an element that brings him back to the moment he lost his father. Again in this hero's journey, the main character will have to confront his fear and embrace the traumatic situation with his father to accomplish his whole voyage of transformation.

Again Joseph Campbell has a beautiful quote:

> Atonement (at-one-ment) consists in no more than the abandonment of that self-generated double monster - the dragon thought to be God (superego) and the dragon thought to be Sin (repressed id). But this requires abandonment of the attachment to ego itself, and that is what is difficult. One must have faith that the father is merciful, and then a reliance on that mercy. Therewith, the center of belief is transferred outside of the bedeviling god's scaly ring, and the dreadful ogres dissolve. (Campbell 1949, p. 130)

Practice to Enter the Deepest Cavern

– Film meditation: Watch the first sequence of Europa (Lars von Trier, 1991). Listen to the hypnotic voice and ask yourself (see Fig. 6).

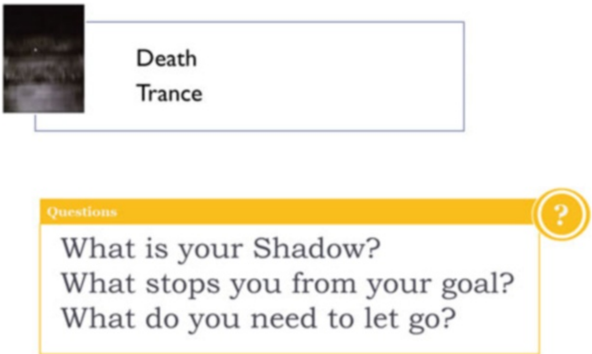


Fig. 6 The beginning of the film Europa by Lars von Trier is a way of getting into trance by the powerful voice of Max von Sydow. From there, you ask yourself what are your fears, obstacles, and shadow

What is your dark side? What are you attracted to? What is your shadow?
What stops you from reaching your goal?
What do you need to let go of?

Awakening, Initiation, and Apotheosis

At the end of the unknown after the deepest cavern experience, we find the revelation, the answer to the quest, the treasure. It could be represented by a material object, like the grail in Perceval's myth, but it transcends what it is, and it becomes a symbol of a gift. The holy grail brings immortality. Prometheus's fire is stolen from the gods; it brings progress.

In the midst of the hero's journey, when dealing with spiritual heroes and transformation processes, the apotheosis is something not tangible. It is a form of wisdom, an idea that could change the world. This is why it is easy to relate the apotheosis to the experience of a scientist or an artist, when they have their eureka moment. We see that with Mark Zuckerberg inventing Facebook, dramatized at the film *The Social Network*, or when Vincent van Gogh discovered the Mediterranean sun that changed his painting, anticipating the Expressionist art and even parts of Abstract Expressionism (*Lust for Life*). Both artists and scientists follow the hero's journey in order to create a masterpiece of art or discover a great invention. They abandon the ordinary rules of the known world, to enter an unknown territory of experimentation (see Fig. 7). There, the scientist finds a discovery, as Galileo or Einstein did. And the artist does the same in his field. Their knowledge or discovery is far beyond time; they are ahead of their moment. What they discover will affect the future.

But how does one contact with this perceptive state of wisdom?

First, one has to pass the threshold and go deep into one's soul, fears, shadow, wound, and unconscious realm. Then it is important to work on the body with yoga practices or other kinds of exercises that elevate the energy from the lower chakras to the superior ones. We have to elevate the energy from the roots of determination and the sense of being practical to the subtle kingdom of intuition that leads to other

Fig. 7 The direction to the apotheosis is ascendant. We go beyond the darkest cavern and the state of being alone, with no attachment and fears. We are ready to have our initiation, our eureka moment or the vision that will give us the clue of wisdom

dimensions. Breathing and meditation are also essential to find our balance and empty our character, leaving all our masks and ambitions aside. From this point of total awareness, linking our somatic knowledge to spirit and intuition, the spark of creativity will appear, the illumination of a new vision for our life or for a specific situation.

Initiation is a new vision that comes from what always has been there, but we never saw. It's the result of the refinement of the self, of adding more dimensions to the mind. It has to do with tuning to a higher frequency. It can take a lot of time because it demands purifying the body and the mind, by eating less, accompanied by long hours of meditation. This new vision will move and transform everything around us.

In a workshop like the ones I have facilitated, participants may only get a glimpse of their life awakening but could have a solution or answer to a specific situation. A spark of awakening would be satisfactory, since finding one's *dharma* could take a lifetime. The more we focus our call, or situation to be transformed, the more precise the answer could be (Fig. 8).

Joseph Campbell considers this moment as "a divine gift coming from the expansion of the mind that it is able to integrate eternity" (Campbell 1949, p. 166). As we've often heard, *satori* or illumination comes when there is no space and time, when we are able to feel the surrounding energy (field) and we hear what our inner self is telling us. It is the simple idea of *Star Wars*, when Luke is on his way to destroy the Death Star and listens to the advice of his mentor Obi-Wan, who says: "feel the force," the *prana* that is everywhere. At this climatic moment, the spiritual hero uses his intuition, letting his mind go, to succeed in his final attempt. By destroying the Death Star, he will bring new hope and new circumstances to his community. In *The Wizard of Oz*, Dorothy learns from her fairy mentor to listen to her heart instead of running away. Her secret was inside. Happiness is inside; we

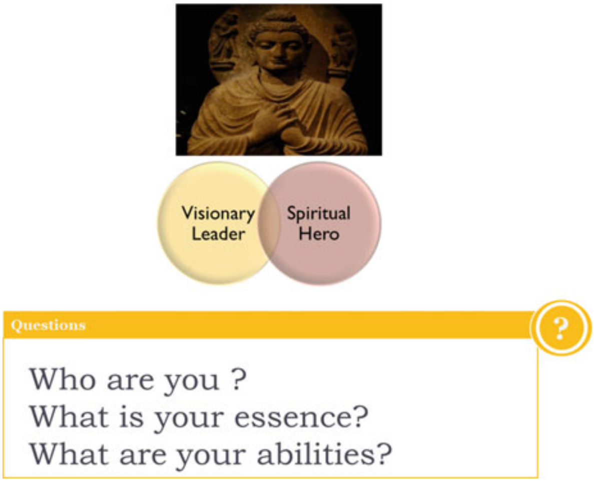


Fig. 8 Here the visionary leader and the spiritual hero come together so that you have a vision about who you are, what your true essence is, and what are your abilities, as shown above

don't need to look for it outside. There is always a lesson at the end of every tale. In a movie fiction, like *American Beauty*, Lester dies when he had just had his apotheosis: he is enjoying his best moment of happiness in the kitchen. We listen to his voice saying: "I've never had a better moment than this one," and then, he dies from a gunshot. He dies having conquered his awakening, his freedom, the climax of his hero's journey, like in *Thelma & Louise*, two heroines dying in another act of freedom. In *Unforgiven*, William Munny (Clint Eastwood) lives his illumination in a different way: discovering that he is not able to escape from his past. He is condemned to be the dangerous gun shooter he didn't want to be. This is another kind of transformation, taking place in another movie fiction influenced by mythology. The scene takes place in a pleasant landscape with heavy clouds near a tree reminiscent of the *Bodhi tree*, where Buddha had his illumination, the famous illuminated one, whose revelation was that the nature of life is suffering (*dukkha*) and all conditioned things are impermanent.

Buddhism believes that there are two qualities we have to develop in life: compassion (*karuna*) and wisdom (*panna*). The Buddha iconic image is the state of awakening, Buddha means "the awakened one," and as Joseph Campbell points out, Avalokiteshvara is the lord of compassion, who cares about all the creatures that suffer. The famous Tibetan mantra "Om mani padme hum" is dedicated to him. The Buddha is one of the thousand faces of the hero that has gone beyond ignorance to have vision of eternity and finally awaken his spiritual dimension.

As Buddhism and many other religions have established, to have a vision of illumination, we need to make contact with our heart and our sacred dimension. When we are blindfolded outside, we can't see inside. When we stop our mind, we listen to our heart.

We don't need to be a saint or a prophet, but just a normal human being. This moment of vision will give our life a precious gift. By cultivating this treasure, this wisdom and ability, we'll improve our life and that of people around us. When we are rooted and connected to this gift, things will come easily to us, with no effort. Everything will be given to us, but there is one last trial: “the refusal of return.” It is easy to understand. Imagine you have achieved happiness, and a new kind of vision and wisdom takes you to a higher level of consciousness. You feel as if you were in paradise, balanced in your center and fulfilled. Why then come back to reality? Why go back to ordinary life and share all this with people who probably won’t understand your vision? That is the last danger of ego: the ambition to stay and leave everything behind, because it is easy and more comfortable to remain in this wonderland, in this territory where you are the king, like Kurtz at the end of the river, turned into a god by the locals in *Apocalypse Now*. This same story is told in *The Man Who Would Be King* by Rudyard Kipling.

The salvation, the way to overcome ego through this refusal to return, is compassion. What will bring us back to share our gift and wisdom with others is the need to share that we have learned. Spiritual heroes and contemporary leaders may serve the group, not themselves, like Perceval in *Excalibur*, the movie fiction that reproduces King Arthur’s mythology. The shift is from the “I win” of the old leaders like Napoleon to the “we win” that creates the “all win” (see Fig. 9).

Practices for the Awakening and Apotheosis

Here are a few exercises that you can do on your own to enhance awakening and apotheosis:

– Take 1 day without eating to prepare a night meditation based on breathing. Special diet: No solid, only liquid to feel lighter and have deeper meditation.

  Meditation pranayama (breathing) to enter a state of emptiness and total awareness. Find a silent and dark place. Sit in an easy pose for you (crossed legs or a chair). Inhale four times, hold four times, and exhale eight times. Do this breathing exercise for 30 min. Stay quiet for another 30 min.
– Film cuts related to the awakening and having a vision: *American Beauty* (bag scene), *Taxi Driver*, *The Treasure of the Sierra Madre*, *The Social Network*, etc.

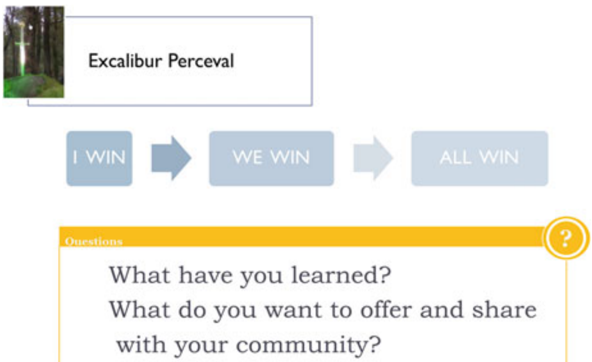


Fig. 9 At the end of the journey, you have to look behind, at the place from where you started, to see the transformation. Ask yourself what you have learned and what is your gift, your wisdom, or what are your capacities that you can share with your community

The New Pattern: Transformation and the Master of the Two Worlds

At his return, the hero finds another threshold to cross, one last test related to individual ambition. The hero may wish to stay with his treasure, gift, or wisdom and keep it for himself, like the Gollum in *The Lord of the Rings*, a character obsessed with keeping the ring, his most precious treasure, forever. The hero may also take a spiritual detour, believing he has arrived at his destiny and final goal before the end.

But to complete the hero's journey and to be a truly wise, integrated leader, we have to share our spiritual wisdom, our idea, spark, or invention with our community (see Fig. 10). We have to come back to reality and transform our world. That's the real awakening of the new leader; his nature is to elevate the others, taking the best creative actions of his team, guiding everyone according to his gift, integrating all the heroes into one.

He has the strength of the warrior leader, the counsel of the mentor, the health and power to cure of the healer, the tenderness of the caretaker, and the wisdom of the visionary leader. All these abilities come together after joining mind, soul, and spirit, having found the center of his being, once he is rooted and also connected to the superior chakras of the subtle vision. The wise integrated leader uses his somatic knowledge and his intuition. He is able to perceive the field, the surrounding energy, the vibration needed for his purpose. And obviously, he still works with his rational mind, though not in a neurotic way. This is the ideal to aim for. Only saints, geniuses, and great men and women have reached this point of integration, but many of us can take the reins of our destiny, awake from our "kind of a life," and start doing what we came here for. This is *dharma*, the path to happiness, what we find at the end of the

Fig. 10 The wise integrated leader has the thousand faces of the heroes and the aspects and abilities of the warrior, the visionary, the caretaker, the healer, and the mentor leader. He is able to join them or work with each of them, depending on the situation

hero's journey or any process of transformation and awakening. By doing this we can celebrate, share our gift with others, and bring more wisdom and benefits to our community (see Fig. 11).

At this point, we have to believe in our vision, in our intuition, and have the discipline to master the two worlds. Nothing will be like the beginning, when we started this process of awakening. Now we also see our wound bleeding from time to time.

Finally, we understand that happiness drives to sadness and the other way around, so life can't only be happy sunny days all the time. Along our path there will be thunder and storms, but we have to keep being real, authentic, and rooted, without losing perspective of who we are and what our true goal or dharma is.

At this last stage, we have to work hard on ourselves, before being able to lift others, like a therapist who becomes a patient before helping to cure neurosis in others (Fig. 12).

At the end of the hero's journey, we master the two worlds, the conscious and the unconscious, the known and the unknown, as shown in the figure above. Whenever we come into darkness, we'll remember what to do because we have been in the belly of the whale and in the heart of darkness. In any situation we'll understand that everything is in permanent change, that to be alive means embracing polarities and whatever comes our way.

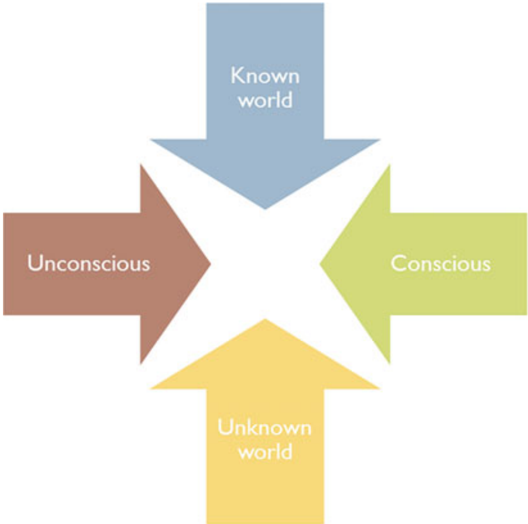
The time of warriors seems to be over. The new leader is a spiritual hero. Mastering the two worlds is similar to that experience we have when we come back from a long trip to a place like Cambodia, somewhere that was strange to us, and during the first days, we feel as if we're still there but also here. Our human condition has to do with mastering these two worlds of mind and body, rational thinking and spiritual wisdom.

To awaken is not to become a child, and yet somehow we go back to the cocoon, to our original state of being, to the origin, in a journey that is similar to the one in Kubrick's *2001*.

When we are able to connect these two moments of our life, mastering the two worlds, no obstacle will stop us from the determination to be free to offer our gift, soul,

Fig. 11 Transformation moves to a shared-wisdom community, and the final point is to celebrate the advance, the progress to a new area of development or personal happiness

Fig. 12 To be the spiritual hero, we need to integrate the known and unknown worlds and give space to the unconscious – not only to the conscious and rational mind



and heart to others. This is the way of awakening, the new leader as spiritual hero. We need to believe in the power of myth, remember our legends, and read all kinds of tales. Cinema or TV series could be an extension to this in this in the twenty-first century.

We have to move on from standing still and bring back the hope of the child we were. Don't forget to listen to your soul and true essence to find real happiness.

The path of the spiritual hero shows us how to open our hearts and share a wisdom that can benefit our teams, our company, and the whole world.

We need to be brave but we have help: the path is known.

> We have not even to risk the adventure alone; for the heroes of all time have gone before us; the labyrinth is thoroughly known; we have only to follow the thread of the hero path. And where we had thought to find an abomination, we shall find a God; Where we had thought to slay another, we shall slay ourselves; Where we had thought to travel outward, we shall come to the center of our existence; Where we had thought to be alone, we shall be with all the world. (Joseph Campbell 1949, p. 25)

Practices on the Transformation and Mastering the Two Worlds

– Breathe in and out very slowly and add a corporal movement to it. Bring your hands to the strongest part of your body where you feel more energy.
– Exercise to enter the future:

Create a timeline in a room. At the end there is the desired future.

Take three steps to the desired future while twisting your body, every time you move. From there, turn back to look to the starting point and watch where you were. Finally bring the future to your present position and integrate both, past and future, who you were and who you want to be.

Then, go on walking with presence while saying:

What I most want. . . (word/image/somatic model)
I want to offer and share my gift of. . .
What I've learned is . . .

While walking add a somatic model (corporal expression to it), a word that answers to each question, and bring an image to your head.

Note: All the practices are a short version of the intense long weekend workshop to be done at a mountain resort. The short version of this whole process could be done in an urban environment by the reader.

Conclusion

This chapter describes a transformational methodology called "the way of awakening" that draws upon the concept of "the new leader as spiritual hero." I have presented a model of four stages of the hero's journey based on Joseph Campbell's work and integrated concepts and practices from other traditions. From my experience in working with this model, people who follow this path are likely to:

- Be able to connect to our true identity, expanding our consciousness.
- Transform our personal and management development.
- Emerge with new creative and integrative resources from the center of our spiritual identity.
- Learn a method, based on the hero's journey, to realize a transformation process.
- Move into creative states where ideas, new visions, projects, and dreams appear.
- Have new resources for any situation where there are decisions to be taken.
- Learn from myths, fiction, and movies how to get inspiration for a personal situation.
- Feel the call of the adventure, awakening from our ordinary life to start a journey to our true self, our true purpose in this life.
- Meet our shadow and confront our fears to have better understanding of ourselves.

Further learning:

- Hesse, H (1957) Siddhartha, New Directions, NY
- Campbell, J. (1970) The Masks of God, Penguin Compass, NY
- Campbell, J. (1972) Myths to Live By, Viking Press, NY
- Eliade, M. (1958) Yoga, Bollingen, Princeton
- Huxley, A. (1946) The Perennial Philosophy, Chatto & Windus, London
- Osbon, D. (1991) A Joseph Campbell Companion, Harper Collins, NY
- Pearson C (1989) The hero within. Harper, San Francisco
- Racionero, A. (2017) Darshan, Ed Kairós, Barcelona
- Rinzler, L. (2013) Walk Like a Buddha, Shambhala, Boston
- Zimmer, H. (1969) Philosophies of India, Bollingen, Princeton

Cross-References

▶ A Sufi View of Human Transformation and Its Organizational Implications
▶ Creativity to Flourish: Pathways Toward Appreciative Leadership
▶ It's Not What You Do, It's Who You Are
▶ Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership
▶ The Truth About Transformation: One Person Can Change the World
▶ The Untapped Power of Imagination in the Workplace
▶ Transformative Leadership

References

Blake W (1994) The marriage of heaven & hell. Dover, London
Babbit I (translation) (1965) The Dhammapada, Oxford University Press, New York.
Campbell J (1949) The hero with a thousand faces. Princeton, Bollingen
Gillihan S, Dilts R (2010) The hero's journey. Crown House, New York
Kerouac J (1958) The Dharma Bums, 50th Ann edn. Viking, New York
Loy D (1997) The great awakening. Wisdom Publications, Boston
Loy D (1988) Nonduality. Yale University Press, New Haven
Perls F (1969) In and out of the garbage pail. Real People Press, Lafayette
Singh Khalsa G (1991) Numerología tántrica. Alas Ed, Barcelona
Suzuki DT (1959) Zen and Japanese culture. Princeton, Bollingen
Wilber K (2006) An integral spirituality. Shambhala, Boston
Wilber K (1985) No boundary. Shambhala, Boston

Movies

American Beauty, Mendes, 1999
Apocalypse Now, Coppola, 1979
Excalibur, Boorman, 1981
Indiana Jones and the Last Crusade, Spielberg, 1989
Lust for life, Minnelli, 1956
The Matrix, Wachowski, 1999
Star Wars, Lucas, 1977
Spirited Away Miyazaki, 2001
Taxi Driver, Scorsese, 1975
The Lord of the Rings, Jackson, 2001
The Social Network, Fincher, 2010
The Treasure of the Sierra Madre, Huston, 1948
The Wizard of Oz, Fleming, 1939
Unforgiven, Eastwood, 1992
2001, Kubrick, 1968

Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership

J. Lee Whittington

Contents

Abstract

Recently there has been a great deal of focus on creating sustainable organizations. A commonly cited definition of sustainability is "meeting the needs of the present without compromising the ability of future generations to meet their own needs." In this chapter, I take the notion of sustainability and apply it to individual leaders by addressing these questions: *How can leaders meet their current responsibilities without compromising their future capacity to lead? How can*

J. Lee Whittington (✉)
Satish and Yasmin Gupta College of Business, University of Dallas, Irving, TX, USA
e-mail: jlee1@udallas.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_49

leaders excel in their leadership roles without sacrificing family and personal well-being? I approach these questions from a Biblical perspective, and this chapter begins with a comprehensive definition of leadership that is based on scriptures. Drawing on my own experience and using life lessons from several leaders, I then discuss a set of spiritual disciplines that can prevent leader derailment and set the leader up for a sustainable leadership that has positive impact now and for generations to come.

Keywords
Leadership · Sustainability · Spiritual disciplines

Introduction

If we are to be transformational leaders, *we must first be transformed*. As Judi Neal argues in her introduction, this the fundamental premise of this volume. Indeed, if individual followers and entire organizations are to be transformed, the process must begin with a leader who is himself or herself transformed. The importance of personal transformation was identified by the apostle Paul who encouraged his followers to "not be conformed to this world, but to be transformed by the renewing of your mind." According to Paul, personal transformation begins with the renewing of the mind, but the renewal does not stop there. This renewal cascades into every area of person's life, resulting in a new perspective that a person's entire life is "a living sacrifice," and an ongoing act of worship. Neither the renewal of the mind nor the resulting transformation Paul calls for is a one-time event. In the original language, these were to be ongoing activities. Literally, he encouraged his followers to "keep on being transformed."

According to Paul, transformation is an inside-out process that begins with the renewing of the mind. In this chapter, I take a similar inside-out approach to developing a more sustainable approach to leadership. Rather than merely giving intellectual assent or manipulating externalities, I argue that developing a more sustainable approach to leadership begins with a fundamental choice to redefine success. This redefinition is then implemented through the process of setting boundaries and utilizing the spiritual disciplines necessary for strengthening the "soul of leadership."

Extending Our Understanding of Sustainability

Over the last 20 years, a great deal of emphasis has been placed on the idea of organizational sustainability. The essence of this emphasis on corporate sustainability is captured in Porter and Kramer's (2006) assertion of the need for organizations to "achieve commercial success in ways that honor ethical values and respect people, communities, and the natural environment" (p. 3). This balanced view of commercial success involves consideration of the claims of the full set of stakeholders in the present, yet it extends beyond the present by explicitly acknowledging that meeting the needs of the present must be done without compromising the ability of future generations to meet their own needs. Thus, sustainability is viewed both holistically and with the future in mind.

The principles of sustainability can be applied to individuals, as well as organizations. In this chapter, I will extend this two-pronged understanding of sustainability to individual leaders. The perspective I take in this chapter runs parallel with the concept of corporate sustainability: sustainable leadership requires avoiding the mistake of leveraging current performance at the expense of the future. As Porter and Kramer have done in their definition of corporate sustainability, I will argue that in order to maintain personal sustainability, leaders must view it from a long-term perspective. Sustainable leadership also requires the holistic perspective of performing in a specific leadership role without robbing from the other arenas of the leader's life.

Redefining Success Requires a Renewing of Your Mind

> I appeal to you therefore, brothers, by the mercies of God, to present your bodies as a living sacrifice, holy and acceptable to God, which is your spiritual worship. Do not be conformed to this world, but be transformed by the renewal of your mind, that by testing you may discern what is the will of God, what is good and acceptable and perfect. (Romans 12:1–2, ESV)

In an often-quoted passage from his letter to the Romans, Paul the Apostle appeals to believers to view their entire life as an act of "spiritual worship" – "a living sacrifice" – that is "holy and acceptable to God." This idea ran counter to the prevailing norms of Paul's time, and it runs counter to the prevailing norms of contemporary culture. According to Paul, personal transformation begins with the renewing of the mind. While the process of transformation begins with the mind, it is clear that it does not stop there. He goes on to say that this renewal will result in a comprehensive reframing that views a person's entire life as an act of worship. The need for personal transformation and a whole-life approach to success is at the heart of a redefinition of success. This is the necessary point of beginning for individuals who seek to create a more sustainable leadership pace.

Leaders are hardwired with a bias for action that is usually accompanied by a high need for achievement and personal ambition. Most leaders I know tend to define success within the narrow confines of their specific leadership role or formal position and title. This narrow definition of success certainly provides focus and intentionality around the expectations associated with that particular leadership role. However, sustainable leadership requires a recognition that leaders are in this for the long haul. They cannot sacrifice the future in order to deliver results in the present. Beyond taking the long view, leaders must also be acutely aware that the diligent focus they bring to their leadership roles has unintended consequences for the other areas of their lives. We all know stories of leaders who have sacrificed their families and personal relationships on the altars of their careers. This phenomenon is not restricted to corporations that are dominated by the tyranny of quarterly profit expectations. I have seen this in not-for-profit organizations and even in churches. A prominent pastor publicly admitted that his drive and ambition were costing him precious relationships with his wife and his children.

These patterns are easy to spot in the lives of others. Yet we are often unaware of the same patterns in our own lives. Unfortunately, our awareness frequently comes late in the game, when relationships have been damaged, if not permanently severed. To overcome this, it is imperative that we as leaders develop a new, more comprehensive definition of success. Rather than viewing our success as a leader solely in terms of meeting the goals associated with our formal roles, we need to redefine success in a holistic way. The Olympic pentathlon provides useful model for such a redefinition. The pentathlon involves competing in five events – a 4000-m cross country race, a 300-m freestyle swim, a 5000-m 30-jump equestrian event steeplechase, pistol shooting, and a fencing contest. Athletes who compete in the pentathlon cannot afford to excel in only one area; the pentathlon requires developing the skills required to perform well in each event. Because each event impacts every other event, intentional and coordinated preparation is required. Although the goal is winning, the athletes never achieve perfection in any event.

Extending the pentathlon metaphor into the life of individuals, Whittington et al. (2011) identified five arenas that are the basis for a new definition of success. These areas include the work arena, the family arena, the spiritual arena, personal arena, and the community arena. These arenas are not mutually exclusive. Rather than viewing these life arenas as segregated and independent, the pentathlon requires leaders to view life as a comprehensive and unified whole (Sherman and Hendricks 1987, 1989). The pentathlon model is intended to prompt leaders to think about success in a way that transcends the narrow scope of the work arena. Indeed, my approach to understanding sustainability holistically is designed to prevent "success" in the work arena from coming at the expense of the other arenas of the leader's life. This comprehensive view of success is presented throughout the Bible. In the next section, I will review the primary texts that support a whole-life definition of success.

Success: A Biblical Perspective

The pentathlon-based definition of success is reflected in the Hebrew perspective that although certain things are designated as sacred, everything in life is related to God (Sherman and Hendricks 1987). This comprehensive and unifying principle is clearly stated in the *Shema* (Hebrew for *Hear*) recorded in Deuteronomy 6:4–9. The integration of God into every dimension of life is called for in the command to "love the Lord your God with *all* your heart and with *all* your soul and with *all* your might" (emphasis added). The practical implications of this commitment include diligently teaching God's principles to the next generation and applying them throughout the daily routines of life – “when you sit in your house and when you walk along the way and when you lie down and when your rise up.” According to this passage, God’s principles are to permeate our work (“bind them on your hands”) and our thoughts (“they shall be as frontals on your forehead”) and guide our family life in the home (“write them on the doorposts of your house and on your gates”).

This holistic perspective extends to the New Testament. As described earlier, Paul encouraged people to live their entire lives as an act of worship (Romans 12:2). This perspective is also reflected in Paul’s frequent admonition to “walk worthy” (Ephesians 4:1; Colossians 1:10; 1 Thessalonians 2:12). In each of these passages, the word translated as “walk” is based on the Greek word *peripateo*. Walking involves making progress one step at a time. In the original language of the New Testament, walk had a broader meaning than just traveling by foot. Walk refers to a person’s habitual way of life (MacArthur 1987). In the commands to “walk by the Spirit” and to “walk worthy,” Paul uses the present tense to indicate that this walk is a continuous, regular action that involved every aspect of person’s life. A worthy walk is always based on a moment-by-moment submission to the Spirit. This worthy walk is a joint venture between the individual and the empowering presence of the Holy Spirit (Whittington 2015). The ability to “walk by the Spirit” or “keep in step with the Spirit” (Galatians 5:16) is based on the intentional cultivation of the individual’s spiritual arena.

This comprehensive integration of life is also described in the “house code” passages of the New Testament letters to the Ephesians and the Colossians. In these passages, Paul describes the practical implications of being “filled with the Spirit” (Ephesians 5: 18) and “letting the word of Christ richly dwell within you” (Colossians 3:16). In each letter, Paul describes the various relationships that existed at that time. This includes the husband-wife relationship, the parent-child relationship, the master-slave relationship, and “outsiders.” Each of these relationships is to be governed by mutual submission to one another (Ephesians 5:21). These relationships match the family, work, and community arenas of the pentathlon. The impact on these arenas is directly impacted by the personal and spiritual arenas. The comprehensive implication of being filled with the Spirit is expressed in Paul’s letter to the Colossian church: “*Whatever* you do in word or deed, do *all* in the name of the Lord Jesus, giving thanks through Him to God the Father” (Colossians 3:17; emphasis added).

The biblical call for a more comprehensive view of success is supported by contemporary research on self-complexity (Linville 1985, 1987). According to Linville’s (1987) *self-complexity buffering hypothesis*, individuals with high levels of self-complexity are buffered from distress and strain when a stressful life event occurs in one life arena. When an individual’s self-worth is based on their total self-concept, stressful events in one life arena are not as devastating. In contrast to this, individuals whose self-worth is dominated by only one role or life arena are more likely to experience higher levels of distress when a stressful event occurs in that arena. Linville’s research supports the need for the comprehensive definition of success depicted in the pentathlon model. Recognizing the importance of each of the arenas in that model contributes to the needed self-complexity identified by Linville (1987). Each of these arenas is discussed in the next section.

The Pentathlon: A Whole-Life Model of Success

The Work Arena

Work is a central dimension of our life. Our work has important implications for our personal identity, and much of our self-esteem derives from our work. Furthermore, the decline of traditional source of community and social support has made the workplace a primary venue connecting with others (Ciulla 2000). For many work is now the primary source of personal identity, significance, and meaning in life (Diddams and Whittington 2003; Diddams et al. 2005). Our work matters, and it has both instrumental and intrinsic value (Sherman and Hendricks 1987). Instrumentally, work provides the means by which we make a living and support our families. The way we work impacts our employment status and our career trajectory.

The instrumental value of work is clear. Yet the biblical perspective of work suggests that work also has intrinsic value (Sherman and Hendricks 1987). Far from being a curse, the scriptures refer to work as a gift through which God empowers people to "receive his reward and rejoice in his labor; this is a gift from God" (Ecclesiastes 5:18–19). The creation accounts presented in the book of Genesis present God as a worker. He created the world, he separated the heavens and the earth, he separated the light from the darkness, he created animals, and he planted the first garden. As each of these works was completed, God evaluated it and pronounced that "It is good."

God also created human beings in his image, and because God himself was a worker, humans were also created as workers. God created them and gave them work to do. The first man and woman were told to rule over creation, to be "fruitful and multiply, and fill the earth and subdue it" (Genesis 1:26, 28–29). While God created people as workers, they were not intended to work unto themselves. God placed them in the Garden of Eden as his coworkers. They were assigned the task of cultivating and keeping the garden (Genesis 2:8, 15).

It is clear from the Genesis account that work was assigned prior to Adam and Eve's expulsion from the garden. When they chose to disobey God's command to not eat from the tree of good and evil, "God sent him out from the Garden of Eden, to cultivate the ground from which he was taken"(Genesis 3:23). It is important to note that work was not assigned as a penalty or a curse. Rather, God cursed the serpent (Genesis 3:14–15) and the ground (Genesis 3:17). The curse made working and the work environment more difficult, but work itself was not imposed as punishment.

The difficulty associated with work in this fallen environment is indicated in Genesis 5:29 where Lamech names his son Noah saying, "This one will give us rest from our work and from the toil of our hands arising from the ground which the Lord has cursed." Despite the cursing of the environment in which work is done, the Psalmist extolls God's original assignment of work:

What is man that you take thought of him, and the son of man that you care for him? Yet, you have made him a little lower than God, and you crown him with glory and majesty! *You make him to rule over the works of your hands. You have put all things under his feet, all sheep and oxen, and also the beasts of the field.* (Psalms 8:4–8, emphasis added).

The idea that work – even in a fallen environment – can be a source of fulfillment and joy is reflected in Solomon's observations that work and the rewards derived from it are "good and fitting." In fact, God "empowers" people to work, receive rewards, and even "rejoice" in their labor:

Here is what I have seen to be good and fitting: to eat, to drink and enjoy oneself in all one's labor in which he toils under the sun during the few years of his life which God has given him; for this is his reward. Furthermore, as for every man to whom God has given riches and wealth, He has also *empowered him to eat from them and to receive his reward and rejoice in his labor; this is the gift of God*. For he will not often consider the years of his life, because God keeps him occupied with the gladness of his heart. (Ecclesiastes 5:18–20, emphasis added).

This perspective that work is an act of worship extends into the New Testament, where Christ's followers are told to do their work with excellence (Ephesians 6:5–9; Colossians 3: 17, 22–25, 4:1). This call to excellence extends beyond the quality of the work to include the quality of the relationships between employers and employees and managers and subordinates. The importance of work and the need to do our work in a manner that is worthy of the Lord are clear. Yet the biblical view of success is much broader than the work arena. The "worthy walk" also includes the personal, family, community, and spiritual arenas. These arenas are discussed in the following paragraphs.

The Personal Arena

The demands placed on leaders in contemporary organizations create a great deal of distress. In the midst of workplace challenges, the adrenaline is flowing, and leaders can lose sight of the limits of their physical and emotional capacity. Immersed in the demands of their role, leaders may be derailed by forgetting to pay attention to themselves (Heifetz and Linsky 2002). Developing exercise routines, maintaining a healthy diet, and scheduling regular rhythms of engagement *and* withdrawal are necessary steps for "staying alive" as a leader (Heifetz and Linsky 2002). The *personal arena* includes personal health, exercise, stress management, and leisure time activities. Relationships with mentors and protégés would properly fall in the personal arena, although they are also included in the community arena.

Sustainability requires self-awareness, and leaders must be aware of and manage their own hungers. Addiction recovery programs have long advocated the H-A-L-T principle as a tool for developing the self-awareness and self-management necessary to avoid relapse and derailment. According to this principle, individuals should never get too hungry, too angry, too lonely, or too tired because these situations create a heightened vulnerability that can diminish a person's ability to act wisely. Managing these hungers requires self-awareness and personal discipline. Avoiding hunger certainly involves the physical hungers for food, rest, and meaningful personal connections. As Maslow (1943) noted, satisfied needs are not motivators. Yet unsatisfied needs are powerful motivators, and deficiencies in basic needs leave leaders vulnerable to temptations.

Anger is a common reaction to frustrations with people and organizational processes. Allowing anger to fester leads to unresolved issues that tax both the leader and the organization. The best approach is to deal with conflict quickly and responsibly. Paul tells us to not "let the sun go down on your anger, and do not give the devil an opportunity" (Ephesians 4:26–27). Rather than avoiding anger, it must be dealt proactively and resolved constructively.

A frequent lament is that leadership is "lonely at the top." While there is certainly some truth to this, many leaders allow the stress of the job and the pace of their schedules to prevent them from nurturing significant personal relationships with their spouse and family. Failure to maintain these relationships creates a loneliness that makes the leader vulnerable to temptations.

Leaders have a bias for action and they tend to view their busyness in heroic terms. They view their jammed calendars and lack of margin as an honor. This is often fueled by a need to be perceived as important and indispensable. The ego-gratifying pace creates short adrenalin rushes and causes leaders to lose sight of the fact that the race they have been called to is a marathon, not a sprint. Staying in and completing the races require a sustainable pace. Contrary to self-serving egotistic defenses, leaders must learn to allow themselves the discomfort of taking time off. They must realize that the organization will not go broke and no one will die if they commit to a date night once a week, a weekend getaway once a quarter, and a full – technology free – vacation once a year.

The relentless pace of "excessive activity and compulsive overworking" may be masking the presence of a deep fatigue that is growing within the leader (Barton 2004, p. 58). This deep fatigue has been described by Barton (2004) as becoming "dangerously tired." It is the result of "chronic inner fatigue" that accumulates over several months. According to Barton, this represents an "atmospheric condition of the soul that is volatile and portends the risk of great destruction" (p. 57). Leaders who become physically and emotionally depleted have short fuses, and their decision-making suffers. Perhaps even more importantly, when a leader becomes dangerously tired, their vulnerability to the demands of their hungers is heightened.

There are no quick fixes for this condition. While long weekends or vacations may provide a temporary sense of refreshment, the desperate need for deep rest of the soul will remain. However, the recognition and admission of being dangerously tired can become the catalyst for the fundamental choice (Quinn 2011) to redefine success and begin the process of "ordering their private world" (MacDonald 2007).

The original H-A-L-T principles provide a good starting point for understanding a leader's need to manage his or her hungers. Based on my experience as an executive coach, I think there are two additional principles that are required, and I have revised the acronym to H-A-L-T-E-R. First, leaders need to be sure they never allow themselves to get too entitled. Success brings its own downside for many leaders. After working hard to attain positions and build organizations, many leaders may feel they deserve extra benefits and compensation. Often, they begin feeling entitled to extra perks that are in violation of accepted standards or prudent stewardship of the organization's resources.

Leaders also must guard against becoming too remote. Leaders who lose touch with those they lead are setting themselves up to falter. As leaders move up in their organizations, they tend to forget where they came from and lose touch with the people in the trenches. This isolation is not healthy relationally, but it also cuts off an important source of information. Remote and isolated leaders are out of touch with the pulse – the heartbeat – of the organization. This becomes even more acute in organizational structures that consciously filter the information flowing to the top. In these organizations, the "palace guard" keeps the leader from knowing what is really going on.

The Community Arena

Clearly self-awareness and personal discipline are important for sustainable leadership. Yet leaders are frequently blind to the toll that their role is having on them and others. To combat this tendency, leaders need to cultivate an inner circle of people who are willing to help identify these blind spots in order to maintain perspective, balance, and proper boundaries. Cultivating these relationships occurs in the *community arena* where healthy interpersonal attachments are developed for the purpose of mutual support. The community arena may include a spouse or other family members, a faith-based group, affinity groups, and mentors. Ideally, a leader will have many resources available and can create a "personal board of directors" who serve in this capacity. Beyond assistance with blind spots, the community arena also provides a vital source of nonwork-related social interaction and refreshment.

Heifetz and Linsky (2002) extend the community arena by discussing the importance of confidants. Confidants provide a safe place where a person can say everything that is in his or her heart without the need to script or edit the raw feelings and emotions. Confidants can put a person "back together again" when they have just lived through a Humpty Dumpty-like falling off of the wall (Heifetz and Linsky 2002). Confidants provide a unique perspective because they care about the person. Because they usually are not connected to the individual's work role, they can listen intently and objectively. Confidants are people who tell a leader what he or she needs to hear. They provide information and insight that a leader may not want to hear and will not be able to hear from anybody else. Reciprocally, confidants can be confided in without concern that the leader's revelations will spill back into the organization.

In their discussion of the important role of confidants, Heifetz and Linsky (2002) also make a distinction between confidants and allies. Allies may share many of a leader's values or strategy, but they operate across organizational or factional boundaries. These boundaries prevent allies from developing the personal loyalty to the leader that is exhibited by confidants. While allies are certainly an important source of information, they have other ties to honor. Despite this inherent limitation, allies are a crucial component of a leader's community. Because they do have other loyalties, they can help a leader gain perspective on competing stakes, conflicting views, and missing elements in the leader's grasp of a situation.

Leaders need both allies and confidants, but leaders make a mistake when they treat an ally like a confidant. Confidants have few, if any, conflicting loyalties. Although occasionally someone very close in the organization, whose interests are perfectly aligned with the leader, can serve in the confidant role, they usually operate outside of the leader's organization boundary. They have enough familiarity with the situation that they can provide wise advice and needed perspective. Yet their personal loyalty to the leader allows them to say what needs to be said without fear of reprisal. Healthy leaders proactively initiate and cultivate confidants. They allow them into their lives and invite the scrutiny needed to avoid derailment (Whittington 2015).

Confidants may also come in the form of executive or life coaches. These individuals are vital to maintaining perspective and can create accountability for managing the hungers that threaten to derail leaders. However, the potential benefits of coaches and confidants are limited by the access they have to a leader's thoughts and behaviors. While there is a great deal of emphasis placed on having accountability partners, leaders are really only as accountable to others as they allow themselves to be. In my coaching of leaders, there is a great deal of selective disclosure. I am usually only aware of the issues the leader tells me about. Despite this inherent limitation, a coach can be a crucial part of a leader's *personal defense initiative* (MacDonald 1988) by allowing the coach to ask questions about each arena of the leader's life. In Table 1, I have provided a set of questions based on the pentathlon model that can be used as a personal assessment tool, as well as a vehicle for inviting the scrutiny and accountability of a coach.

The Family Arena

The *family arena* emphasizes the leader's responsibilities to spouse and children and includes obligations to siblings and to parents. Planning and budgeting for household management requirements, spending significant time with children, and continuously cultivating one's spousal relationship are all activities associated with the family arena. Despite recognition of these responsibilities, the family arena usually suffers the most from a leader's skewed commitment to their work. It is easy to take family members for granted and assume that their love creates an "understanding" of the leader's lack of extended and authentic engagement with their family.

The tendency to take our spouses and children for granted is exacerbated during periods of extreme work stress. New initiatives, deadline pressures, and rising performance expectations may require an additional commitment in terms of time given to work. These demands also require additional expenditures of emotional energy. In the midst of these periods of heightened work demands and intensity, it is particularly important to be intentional about making the family a priority. Without intentional effort, our intimate relationships will dry up. During periods of intensity in our work arena we must be particularly intentional to "rekindle the sparks" in our relationships (Heifetz and Linsky 2002).

I am acutely aware of this issue; it has been a recurring struggle for me. Early in my corporate career, I frequently worked late, on weekends, and brought work home.

Table 1 Personal defense initiative/evaluation based on pentathlon model

Spiritual àrena
How is your relationship with God right now?
What have you read in the Bible the last few weeks?
What has God said to you in this reading?
Where do you find yourself resisting Him these days?
What specific things are you praying for in regard to others?
What specific things are you praying for in regard to yourself?
Do you have a daily time of silence and solitude?
Do you have a daily time of reading the Bible?
Have you read completely through the Bible?
Do you attend a Bible study discipleship group regularly?
Do you have a daily time of prayer every day?
Do you have a prayer plan to pray for people?
Do you know what your spiritual gifts are? Are you using your gifts to serve others?
Do you have regular fellowship with others who will challenge you spiritually?
Are you sensing any spiritual attacks from the enemy right now?
If Satan were to invalidate you as a person or as a servant of the Lord, how might he do it?
Personal arena
What are the specific facts facing you right now that you consider incomplete?
What habits intimidate you?
What have you done to play?
Do you regularly meet with a friend socially?
Do you plan regular periods of rest and recreation on a weekly, monthly, and annual basis?
Do you consider yourself overweight?
Do you feel you should get more exercise?
Do you regularly express and discuss your emotions with your spouse or close friend?
Do you have anyone who holds you accountable to reach personal goals?
What small thing in my life right now has the potential to grow into a big thing? And who knows about it other than me?
What is the state of your sexual perspective? Tempted? Dealing with fantasies? Entertainment?
Where are you financially right now? Under control? Experiencing anxiety? Great debt?
What was the last nonwork-related book you read?
What challenges do you think you're going to face in the coming week? Month? Quarter? Year? How are you preparing for those challenges?
What would you say are your fears right now?
Are you sleeping well?
What three things are you most thankful for?
Family arena
Do you have any transitional rituals that help you move mentally and emotionally from your work arena to the family arena?
If you are married, do you and your spouse "date" regularly?
Are you proactive in planning dates, anniversary, and birthday celebrations?
What are you doing with your spouse?
When was your last date night? When is your next date night?
How's your emotional tank these days?

(*continued*)

Table 1 (continued)

How is your spouse's emotional tank?
What fears and anxieties is your spouse experiencing right now?
When was the last time you went on a retreat with just your spouse? When is the next retreat scheduled?
If I were to ask your spouse about your state of mind, state of spirit, and your energy level, what would the response be?
Are you aware of the "love language" of your spouse? Your children?
How would your spouse evaluate your use of their love language?
Do you regularly take time to talk with your spouse about anything that matters to either of you?
Do you spend individual time with each of your kids, giving them focused attention?
Would your family rate you as physically affectionate?
Does your family plan family fun and togetherness each week?
Would your spouse describe you as a servant-leader in the home?
Do you have good control over your family finances?
Do you and your spouse have a weekly time of planning?
Work arena
Do you regularly plan your day and set priorities?
Do you have clear and firm boundaries around the work arena?
Do you have a disciplined plan for unplugging from technology at the end of the day? On weekends? On holidays and vacations?
Do you regularly pray for your coworkers?
Are you comfortable in discussing your spirituality with colleagues if appropriate?
Could you give a clear presentation of the gospel?
Do you feel you do your job with excellence?
Do you stay current with changes and developments in your profession?
Do you set challenging personal development and performance goals for yourself?
Is there any area of ethical compromise at work?
Are you clear on how your job helps others?
Do you tend to work too many hours?
Do you worry excessively about your work?
Do you find that problems with your work cause significant frustration and anger?
Community arena
Are there any unresolved conflicts in your circle of relationships right now?
When was the last time you spent time with a good friend of your own gender?
Do you meet socially with non-Christians?
Do you have any close non-Christian friends?
Do non-Christians feel comfortable around you?
Are you involved in any form of benevolence with those in need?
Do you know your neighbors?
Can you give a clear, concise presentation of the gospel?
Do you regularly pray for government leaders and other officials?
Are you involved in any community service projects?
Are you giving money to feed the poor?
Are you aware of the political issues in your area?
Have you shared the gospel with someone in the last 6 months?

While I might have been physically present at home, I was emotionally and mentally absent. The founder and CEO of the small company I worked for confronted me directly about the growing imbalance he saw in my life. When I tried to justify my "work ethic" and the attention I was giving to the various projects I was working on, he said, "This business is a fleeting thing. That woman at home is not!" I began to respond that she understood, but he interrupted with an explosive response: "You think she understands and then one day you come home just as she's leaving with her suitcases packed! It happened to me and I don't want it to happen to you. Now cut it out!"

Despite that direct and emphatic intervention, I have continued to struggle with keeping my work in proper perspective throughout my career. Perhaps that is why I frequently return to this issue in my coaching and teaching. The suggestion that teachers most frequently teach on the topics they most need to learn certainly rings true in this arena of my life. Overcoming the deficiencies in my own family arena has required a great deal of intentionality over several years. The process began with embracing the holistic definition of success described in this chapter. I realized that "success" had to include being a good husband and a good father. At this stage of my life, it now includes being a good grandfather as well.

The intellectual decision to redefine success is not sufficient; the definition must be actualized by re-arranging priorities. Two calendar-based disciplines have been very helpful with this. First, I try to get "in front" of my calendar by scheduling date nights well in advance and committing to them on my calendar. I now use online reservation tools to make restaurant reservations several months in advance of anniversaries, birthdays, and other significant occasions.

The second calendar-based discipline is creating hard stop times for my work days. I stop working before 6:00 in the evenings. I do not check email after that time, and I turn my phone off until well into the start of the next day. I have made an explicit commitment to these boundaries by communicating these to my colleagues and students. I include a statement specifying these boundaries in all of my course syllabi and in all of my online courses. This sets expectations for my students and colleagues, and by making it a formally stated limit, they are very supportive in honoring my commitment to my family.

In addition to these calendar-based disciplines, the practice of using the drive time between work and home as a time for transitioning from the roles and priorities of the work arena to the priorities of the family arena. Other leaders have developed a full set of transitional rituals that may include changing clothes or a deliberate time of solitude when they first get home. These rituals can be useful activities that allow us permission to stop working and to become mindful of having moved from one arena to another. It is ironic that we must bring discipline to unplugging and slowing down, yet without this intentional effort, our need for renewal and the cultivation of intimacy will be hindered (Heifetz and Linsky 2002).

The Spiritual Arena

The *spiritual arena* includes an intentional effort to cultivate the leader's relationship with God. This is relationship is enhanced through the leader's personal commitment to regular times of silence and solitude that include prayer, meditation, and study.

The spiritual arena also includes consistent involvement in a faith community. In the following section, I will discuss a variety of "spiritual disciplines" that a leader may use to strengthen their spiritual arena. These disciplines include a commitment to silence and solitude, "the discipline of the calendar," prayer, meditation, study, journaling, and establishing a rhythm of engagement and withdrawal. I discuss these as activities that have been personally helpful to me. These are not intended to be a legalistic set of rules; instead, they are suggested as helpful tools for "strengthening the soul of your leadership" (Barton 2012).

Strengthening the Soul of Your Leadership: Spiritual Disciplines for Sustainable Leadership

The commitment to strengthen the spiritual arena may require the creation of a readily available "sanctuary" (Heifetz and Linsky 2002) or "sacred place" (Barton 2004). This is a physical place that is designated for withdrawing from activity and noise in order to experience the silence and solitude necessary for reflection and renewal. It is a place that allows a leader to suspend the stress of the workplace. Creating a sacred space also involves identifying a specific "place in time that is set apart to give God our undivided focus" (Barton 2004). The form of the sanctuary may vary. It could be a jogging trail, a garden, or a special room that provides the quiet and solace needed to have uninterrupted time alone for reflection and renewal.

Sacred space also includes a place in time that is set apart to give God our undivided attention (Barton 2004). Thus, the creation of sanctuary requires the discipline to structure schedules and routines so that the benefit of the sanctuary is not lost in the busyness of the person's life. In the sanctuary, a leader steps into the discomfort of silence and solitude to provide the context necessary to "unclutter the soul" (Hybels 2015). The sanctuary is a place and a time that allows the "sediment that swirling in our souls to begin to settle" (Barton 2004, p. 37).

For me, the sanctuary is a small office in our home that is removed from the noise and traffic of our daily routines, which include the daily visits of our now adult children dropping off our six precious grandchildren who we shuttle to and from school. My days begin – with coffee – in the silence and solitude of this simple room. It is in this sanctuary that I pray, read, meditate, and journal.

The discipline of going to the sanctuary for a deliberate time of silence and solitude does not require in-depth study or a specified amount of time, but it should be purposefully slow and protected from distractions. The time of day and the designated place should be one that works best for you. These particulars are not nearly as crucial as the decision to make this a daily practice (Hybels 2015).

The importance of silence and solitude as a tool for developing a sustainable leadership pace was modeled by Jesus. The gospel accounts repeatedly mention Jesus' apparent habit of beginning each day alone in prayer with his Father. Mark records that "in the early morning, while it was still dark, Jesus got up, left the house, and went away to a secluded place, and was praying there"(Mark 1:35–37). Luke also reports that "when day came, Jesus left and went to a secluded place" (Luke

4:42). Even when his popularity was growing and the demands for his presence were increasing, Jesus maintained this discipline: "But *the news about Him was spreading even farther, and large crowds were gathering* to hear Him and to be healed of their sicknesses. But Jesus Himself would *often* slip away to the wilderness and pray" (Luke 5: 15–16, emphasis added).

Jesus' pattern of engagement and withdrawal provides an exemplary model for sustainable leadership. In spite of the strategic importance of his mission and the expectations and demands of his followers, Jesus consistently withdrew to have uninterrupted time with his Father. Those who offer Jesus as a model for effective spiritual leadership "tend to focus on his activities and often overlook the rich inner life that fueled all that Jesus actually said and did" (Fadling 2013, p. 100–101).

Jesus' habit of beginning his days in a time of prayer was supplemented with extra times of prayer when he faced important decisions. Luke reports that Jesus "went off to the mountain to pray, and He spent the whole night in prayer to God. And when day came, He called His disciples to Him and chose twelve of them, whom He also named as apostles" (Luke 6:12–13). Jesus knew that he needed the Father's perspective, the Father's wisdom, as he made these important personnel decisions. As Jesus prepared to make these choices, he spent a significant time in unhurried communion with his Father. Thus, his decisions were enriched by divine wisdom and guidance (Fadling 2013).

Sanctify the Calendar

The pentathlon model provides the basis for a whole-life definition of success that requires "performance" in each of the five life arenas. As with athletes who compete in the pentathlon, this model is intended to recognize the fact that the interdependence among the five arenas. While there is certainly tension among the arenas, there is also a mutual interdependence that can be leveraged to create a more sustainable approach to leadership. An immediate implication of the pentathlon approach is the need to establish boundaries (Cloud 2013) for the investment of time, physical presence, and emotional energy. Implementing this perspective requires an intentional effort to identify priorities and proactively implement calendar-based disciplines that explicitly reflect the leader's values and priorities across the five arenas.

Pastor Bill Hybels (2015) tells the story of the consequences of being overscheduled in the early life of Willow Creek Church. He realized that he was not taking control of his own schedule but rather allowing others to dictate his involvement with urgent matters that did not reflect his personal priorities. This realization prompted him to rethink his approach to his calendar. He recognized that his calendar was more than simply an organizer for what needs to get done; it is also the primary tool for helping a leader become the person that they want to be. According to Hybels (2015, p. 31), "A simplified life begins with well invested hours each day. You can harness the true power of your calendar by filling in each square holistically, creating room for both the outward activities and the inner priorities in your life." Calendars that are dominated by the tyranny of the urgent will hold the leader hostage to meetings, appointments, and projects without giving proper priority to the intangibles such as who you are becoming, your relationships with family and friends, and your personal relationship with God.

Much of this overscheduling may be driven by an egotistic drive to be needed and thus always available. Yet, as Elton Trueblood (1961, pp. 43–44) observed, "A person who is always available is not worth enough when they are available." Without conscious intervention, this pattern of chronically overscheduling the calendar ensures that the priorities the leader cares about most take a backseat to the urgent priorities of others every time (Hybels 2015).

The implementation of this holistic approach to success requires some basic tactics that may initially seem unnecessary or overly simplistic. However, it is in these tactical details that a leader begins to establish the boundaries and the rhythms that will ultimately allow them to endure the pressures and responsibilities of leadership. Let me be very specific with some of these tactics. First, our most significant relationships must be reflected in our calendar. I have mentored many men who struggle with making their marriage a priority. Date nights are acknowledged as important, but they are not reflected on their calendar. To correct this, date nights must be planned for well in advance, scheduled on the calendar, and treated as nonnegotiable investments in the marriage relationship. Hybels (2015) refers to the necessary discipline of designating time at home on the calendar in order to guard family time from the urgent demands of the early church start-up. He committed to four nights a week at home and wrote the word "home" on his calendar. This commitment was made public, and he invited his administrative assistant to help him maintain this boundary. In addition he realized the importance of silence and solitude to maintain purposeful connection with God each day. Implementing this priority led him to put the phrase "chair time" on his calendar each day (Hybels 2015). These tactics seem so basic that they might be easily ignored. Yet they are vital for establishing the spiritual disciplines necessary for developing a sustainable rhythm in a leader's life.

The *discipline of the calendar* has become a primary tool for my own efforts to manage competing demands and maintain a sustainable pace in this season of my life. The discipline of the calendar involves the explicit identification of meetings, conferences, intense grading periods, and manuscript deadlines. My calendar also shows date nights, weekend getaways, and vacations. This is not a rigid scheduling that leaves no room for flexibility, but the structure provides focus for the activities and relationships that I have predetermined to be important. Having all of my obligations on my calendar allows me to anticipate the times when I will need to bring not just physical presence but emotional energy and focus to specific tasks. By explicitly identifying priorities and deadlines, I actually have more freedom to focus on specific projects than I did when I adapted more organic approach to my calendar.

The discipline of the calendar is not just a tool for managing the external demands of my roles. It is vitally integrated into my sanctuary times of silence and solitude.

In the sanctuary, I bring the details of my schedule and the tasks of my day before God in prayer. A key element of the journaling I do during my daily time of silence and solitude is the *previewing* of the known decisions and crucial conversations I will face that day. This deliberate seeking of wisdom, discernment, and guidance parallels the pattern we observed in Jesus' preparation for the strategic decision of choosing his apostles. This daily sanctuary time also includes a *review* of the previous day. In fact, my initial journal entries often begin with thanksgiving for the fact that the previous day's crucial conversations went "exceedingly abundantly beyond all that I had asked or thought possible" (Ephesians 3:23). This recurring pattern of a specific request on 1 day and thanksgiving for the outcome on the next day has provided me a documented history of God's faithfulness.

Although I now consider these habits and disciplines to be embedded in my life, it has not always been the case, and it was not something that was easy to implement. My own journey into a more disciplined pattern of calendar management was forced on me when I was asked to serve as the Dean of the College of Business at the University of Dallas. I did not seek the job and indeed tried to avoid it. Yet, when it became abundantly clear that I was to serve in that role for season, I decided that unlike my previous leadership responsibilities, I simply could not serve in that role in my own strength. Therefore, I forced myself to begin each morning with an intentional time of silence and solitude. To put this decision in perspective, it is important to understand that by design and preference I am not a structured, disciplined person. I prefer a more organic structure, and I tend to utilize a "build the bridge as you walk on it" (Quinn 2011) approach to my days. However, the responsibility of this new leadership role required me to allow myself the discomfort of getting up early and disciplining myself to use the first part of my day for cultivating my relationship with God, seeking his wisdom, discernment, perspective, and vision. So, I began a new process of reading, meditating, and journaling each morning. During this time, I often preview my day before God. I seek his wisdom for every crucial conversation and decision that I know I will be facing that day. I use journaling as a tool to process my thoughts and my emotions while seeking his perspective and the discernment to lead wisely in the role I have been called to.

For me, the discipline of the calendar also involves "soft starts" into the tasks of the day. I do not check emails (or missed calls and text messages) until after I have completed this time of silence and solitude. These "soft starts" to my days are bookended by definite "hard endings" to the end of my day. I do not check email after 6:00 pm, and I turn my phone off and leave it on a bookcase until the next morning. I made this personal commitment after many years of not having clean breaks between work and personal time. I repeatedly allowed a late email to distract me. These disruptions were rarely important, but I allowed them to become an urgent demand for my attention. These often resulted in an expenditure of emotional energy that disrupted quality time with my wife and family. I have gone public with this commitment by including an explicit statement in my course syllabi and notifying my colleagues of the disciplined structure to my days. This boundary setting is not a rigid, legalistic rule; however, I have found that by proactively managing the expectations of others, I feel less and less tension to be continuously available.

Sustainable Leadership Requires Strategic Cheating

Embracing the pentathlon model as a comprehensive definition of success is the point of beginning for leaders who seek to create a sustainable approach to their life. The implementation of this model requires creating boundaries on the commitments an individual makes in terms of time, physical energy, and emotional labor. Enforcing these boundaries requires an intentional effort to limit commitments. I call this intentional effort *strategic cheating* (Whittington et al. 2011). This is not an immoral activity. Rather it is a disciplined approach to setting boundaries around time and energy commitments and making strategic trade-offs that reflect my espoused values and priorities. Strategic cheating is essentially about setting and living out priorities. "Setting priorities is about putting something ahead of something else. A priority is something you say yes to even when it means saying no to other important things" (Stanley 2003, p. 12). The fact is we all "cheat" by expending the bulk of our time and emotional energy in one arena at the expense of the others. This is cheating by default and rarely reflects our espoused values. In contrast to cheating by default, *strategic cheating* is an intentional act. It is a decision to set and keep boundaries so that over-commitment in one arena does not damage the other arenas.

Deciding to implement the discipline of the calendar requires more than just a personal internal adjustment. It will quite likely require going public to manage the expectations of others. We are often reluctant to seek the support of others because of fear of rejection or outright disapproval of our request. This reluctance should also be a subject of prayers. In my own life, I have often asked not only for wisdom in making these kinds of decisions, but also asking that God would prepare the way so that my request might be accepted and even be granted favor in the eyes of those I report to.

There is a great example of this very type of decision in the early chapters of the book of Daniel. The context of the story is found in book of Daniel (Daniel 1:3–16) where Daniel is serving the king of Babylon. The king had designated certain foods and drinks that were to be eaten by all of his servants. However, Daniel resolved that he would not defile himself by eating the king's food or with the wine that he drank. Daniel went public with this commitment and asked his supervisor to allow him to follow his own dietary regulations rather than those of the king. The Scripture records that God gave Daniel favor and compassion in the site of his supervisor. Not only did Daniel gain favor but he actually flourished.

A Revised Pentathlon Model

I began this chapter by identifying the need to transfer the recent emphasis on sustainable organizations to the personal level by discussing the need for sustainable leadership. I drew on the definition of corporate sustainability that emphasizes the importance of not robbing the future in order to meet short-term goals. I argued that leaders also needed to take this long-term perspective on their role. I embraced this time frame in my discussion of sustainable leadership, but I extend it by calling for a more comprehensive definition of leadership success. I made the case that for success to be sustainable, a leader's definition needed to encompass their entire life. Rather than viewing sustainable leadership through a narrow focus on the work arena, I called for a definition of success that encompasses the leader's family, community, personal, and spiritual arenas. I used the pentathlon as a metaphor for this holistic perspective.

The pentathlon model presented in Fig. 1 suggests a balanced interdependence among the five arenas of a leader's life. As I have discussed in this chapter, there is certainly a synergy among these arenas that can be a source of support and needed respite from the demands of leadership. While I agree with this holistic approach, the original pentathlon model does not provide the necessary emphasis on the importance of cultivating the spiritual dimension of a leader's life. Therefore, I have revised the model to emphasize the importance of the spiritual arena by explicitly placing spiritual arena in the center of the revised model. This revised model is presented in Fig. 2.

The arenas presented in the revised pentathlon model are not independent of each other; rather, they are interdependent and overlapping. Activities (events) in one arena can stimulate growth or increase the awareness of the need to cultivate another arena. Let me illustrate this interdependence with few examples. We usually think of our spiritual disciplines as personal and private. Indeed, I have advocated the need for silence and solitude as a crucial aspect of my efforts to sustain my leadership. However, having confidants and mentors with whom I can share the insights – including the doubts and struggles – that are raised during these times of study and meditation are powerful supplements to those personal efforts. In addition to these individual relationships, for over 40 years I have been involved with a variety of

Fig. 1 The pentathlon model

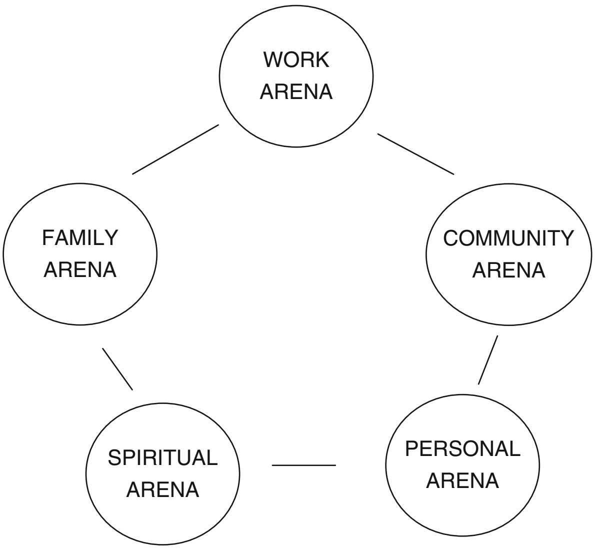
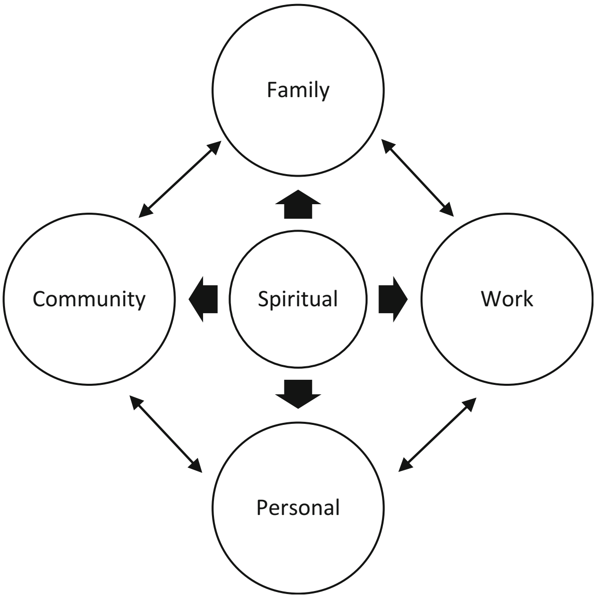


Fig. 2 A revised pentathlon



small groups of fellow believers. While I am often in a facilitator role in the settings, I have drawn strength and support from those groups during times of tremendous stress in my work arena. The individual confidants and the small groups served as “safe places” where I could share the challenge I was facing, seek the wise counsel of others, and ask for and receive prayer from others as I walked through a difficult time. This illustrates the interdependence between the spiritual and community arenas of my life.

I have discussed the role confidants and coaches in a leader’s life. In addition to receiving the support from these individuals, an important dimension of my own development as a leader is to serve as a confidant, mentor, or coach for other leaders. This is an incredibly energizing role that I am honored to participate in. Many times these opportunities are presented formally when I have been hired as an executive coach. At other times, these relationships are formed at the request of a younger man (typically) who is seeking a mentor. Regardless of the source of this relationship initiation, I evaluate these requests prayerfully by asking for wisdom and discernment before making a commitment. Thus, a decision or commitment in my community arena is informed by the disciplines I have developed in the spiritual arena.

A crucial determinant in my evaluation of both paid executive coaching assignments and informal mentoring opportunities is the answer to this question: “Does he have a teachable spirit?” If the answer is yes, I usually take on the assignment, if only for a limited time. However, if the answer is no, or if I do not sense a willingness on the part of the leader to be humble and vulnerable, I do not accept the assignment. My corporate clients find my question about a teachable spirit awkward because it is not the kind of thing we normally talk about in corporate settings. However, I have learned to accept the discomfort of this awkwardness because if the coaching candidate does not have a humble, teachable spirit, everyone involved in the engagement will be frustrated. Time will be taken up, money will be spent, and the desired changes do not occur.

Beyond the teachable spirit, there must also be a willingness to be vulnerable and transparent. I have learned that people often engage coaches but only provide selective disclosure of information they want the coach to know. Consequently, crucial issues are not brought to the surface where they can be dealt with openly. While there is a great deal of talk about the need for personal accountability partners, ultimately a leader is really only accountable to a confidant, coach, or mentor as they want to be. Because coaches are often working from outside the leader's organizational arena, the only information the coach has to work with is what the leader provides. If the leader chooses not to reveal crucial issues, potentially damaging activities or relationships, the effectiveness of the coach will be limited.

My willingness to serve as a coach or mentor for others is part of my own leadership development and sustainability strategy. These relationships energize me. But my passion for doing this is rooted in something deeper than my own leadership development. I have been blessed throughout my life to have had several men – coaches, professors, and the founding CEO of an early-career employer – who invested deeply and intentionally in me. Their impact was significant and lasting. I have tried to thank them in every way possible, yet those efforts have always seemed to be an inadequate reflection of the gratitude I have for their role in my life. Several years ago, I realized that the most appropriate way to thank these men was to be to others what they were to me by paying it forward. Therefore, I am intentional about identifying younger men to invest in. I am also sensitive to those who might be seeking mentors and coaches. My goal here is to pay back those who invested in me by investing in others. The mentoring relationships I have formed have been a tremendous blessing to me. They are refreshing, but they also help keep my own commitments to the holistic definition of success –particularly in the family arena – sharp. Helping others make their marriage a priority reminds me of my own shortcomings and helps me refocus my efforts in that arena.

In my discussion of the community arena, I emphasized the role of allies, confidants, coaches, and mentors. These relationships are crucial; however, our community and work arenas include many other relationships. Some of these relationships are tremendous sources of energy for us. Other relationships could be classified as merely social relationships that are refreshing because they provide a vital source of fun and play. Yet we all have people in our world that are best described as "draining" (MacDonald 1986). These people are frequently in need of attention, comfort, and recognition, and they can sap our energy and passion. If we allow them to, they will consume our time and distract us from important commitments and priorities. While I do not advocate totally shunning these people, I do think it is helpful to create respectable boundaries around these relationships in order to guard our time and emotional energy. A useful tool for making these boundary decisions is the relational inventory developed by Gordon MacDonald (1986). I have provided my own version of this inventory in Table 2.

Table 2 Relationship inventory (Adapted from Gordon MacDonald, **Restoring Your Spiritual Passion**. In his book, **Restoring Your Spiritual Passion**, Gordon McDonald identifies five types of people we have in our lives. He "scores" them with a plus/minus system)

VRP: Very resourceful people. Score = +++
They add to our lives and ignite our passion for faith and Christ-like performance in each of the five arenas of your life. These people shape our lives and often act as mentors or maybe surrogate mothers and fathers. They are often older people who are willing to invest in us by sharing their experience and wisdom
VIP: Very important people. Score = ++
They are teammates who share our passion. They love us enough to ask tough questions and keep us honest. They work together with us and share our vision. We stimulate and encourage one another by challenging each other to better and more faithful performance in the various life arenas
VTP: Very trainable people. Score = +
These are the people we serve by acting as their coach or mentor. They catch our passion. In these relationships, we are the ones who ignite passion. We draw them to our side and open our lives to them. In the very sharing of ourselves, we stir our own passion to serve and grow because we see the immediate effect it has upon them
VNP: Very nice people. Score = 0 (neutral; neither +/−)
These people enjoy our passion but do not contribute to it nor do they seriously diminish it. These people are refreshing and we enjoy their company in social settings
VDP: Very draining people. Score = −
These people sap our passion. They are in constant need of comfort and recognition. If we are not careful, these people can consume our time, our emotional energy, and our spiritual passion

It is important to evaluate our relationships periodically and make strategic decisions about who we are spending time with. We should take careful note of the impact each of relationships is having on our emotional state, our leadership capacity, and the other arenas of our life. Ideally, we would spend considerably more time with those who energize us, share our passion, and refresh us, while limiting our time with draining people. Yet this limitation should also be evaluated with discernment because some of those who we initially identify as "draining" may be people that God has intentionally brought into our lives for us to invest in. This is another illustration of bringing our community arena decisions into our spiritual arena where we seek divine wisdom and discernment.

The pentathlon model of success presented in this chapter reframes work as an act of worship. This perspective does not ignore the instrumental value of work, but it also explicitly identifies the intrinsic value of work (Duffy et al. 2010; Keller 2014; Sherman and Hendricks 1987, 1989). Through our work, we serve others, and in serving others, we also serve God (Neal 2000). The holistic view of success depicted in the pentathlon model extends beyond work by calling for an integration of our faith into all of our life arenas. Individuals who have an integrated faith view their work as a venue through which they can express their inherent creative capacity. Beyond this, individuals whose faith is more fully integrated into their whole life experience a sense of meaningfulness that enhances their engagement in the workplace and beyond (Meskelis and Whittington 2017; Whittington et al. 2017).

Derailment Deterrence

I have emphasized a set of spiritual disciplines as tools for sustaining ourselves over the long run without sacrificing our personal, family, and community arenas along the way. But there is another way to interpret the holistic definition of success and the important role of the spiritual disciplines that support that view: defining success holistically and seeing our work, indeed our entire lives, as an act of worship can be a powerful detriment to the potential for derailing as a leader. Implicit in the model presented here is the need to be intentional about cultivating the soul of our leadership and setting goals in each arena that reflects our priorities, values, and commitments. Leaders are typically comfortable with goal-setting in the work arena to meet project deadlines and corporate objectives. However, very few leaders I have worked with bring that same level of intentionality to the other arenas of their lives. I strongly advocate setting goals in each life arena. However, this goal-setting must go beyond tangible, easy to measure targets such as date nights or family budget goals. Leaders must also be intentional about setting what I call "being goals." These being goals are intended to bring focus to our own ongoing character development. The importance of being intentional about setting character goals is emphasized in Andy Stanley's observation: "your talent and giftedness as a leader have the capacity to take you farther than your character can sustain you. *That ought to scare you*" (Stanley 2003, p. 151, emphasis added).

Stanley (2002) goes on to observe that our natural talent as a leader will eventually exceed our character if we are not intentional about developing and strengthening our soul. This effort certainly requires the personal investment in the spiritual disciplines described in this chapter. Developing our character requires the ongoing cultivation of our personal relationship with God in the private times of silence and solitude, but the development of our character is enhanced through our involvement in spiritual communities and the involvement of confidants and coaches whose scrutiny we invite. These people encourage our growth as leaders. They care about us as individuals and they have the upclose perspective to see where we are slipping toward a path of derailment.

Implementing the holistic pentathlon-based view of success that I have advocated in this chapter requires diligence, focus, and intentionality. I think it is helpful to use the questions in the personal defense initiative provided in this chapter for periodic personal evaluations. The usefulness of these questions, however, will be enhanced by inviting others who have access to and visibility into a leader's life to also ask these questions. However, the potential contribution of this invited scrutiny is clearly dependent on the leader's humility, willingness to be vulnerable, and the fullness of information they are willing to disclose.

The revised pentathlon model presented here is intended to help leaders reframe their definition of success by seeing beyond the primacy of the work, recognizing the interdependencies among all of these arenas. The model also provides a foundation for the continuous renewal that is necessary to sustain ourselves as leaders. The spiritual disciplines discussed in this chapter are crucial for cultivating the spiritual arena that is central to this integrated life perspective. The strengthening of our soul through these disciplines is imperative for implementing a sustainable approach in our leadership roles.

In the second part of this chapter, I have provided a discussion of various spiritual disciplines that I have found effective. My list and the specifics of my implementation of these disciplines are unique. They fit my design and the structure of my life. There are certainly other ways to implement these disciplines, and in fact there are several other disciplines that leaders may find more meaningful. Regardless of the particulars, I have become convinced that sustainable leadership requires the intentional ordering of our private world (MacDonald 2007). This intentional effort requires the establishment of a sustainable rhythm of engagement and withdrawal that extends beyond merely taking an annual vacation and occasional long weekends. Establishing a sustainable rhythm requires the commitment to a daily time of silence and solitude in the sanctuary. It is in these quiet times of reflection that we gain clarity, discernment, and wisdom for the challenges of leadership. In the sanctuary, we provide the time to let the sediment of our busyness settle, and as the sediment settles, we gain the perspective needed to recognize the need to invest in the other arenas of our lives.

Cross-References

- ▶ An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
- ▶ An Overview of the Field of Transformation
- ▶ Creativity to Flourish: Pathways Toward Appreciative Leadership
- ▶ Identity and Meaning in Transformation
- ▶ It's Not What You Do, It's Who You Are
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ Management and Franciscan Spirituality as a Source for Personal and Organizational Transformation
- ▶ Self-Awareness in Personal Transformation
- ▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment
- ▶ The New Leader as Spiritual Hero: The Way of Awakening
- ▶ The Truth about Transformation: One Person Can Change the World
- ▶ The Untapped Power of Imagination in the Workplace
- ▶ Transformative Leadership

References

Barton RH (2004) Invitation to silence and solitude: experiencing God's transforming presence. InterVarsity Press, Downers Grove

Barton RH (2012) Strengthening the soul of your leadership: seeking God in the crucible of ministry. InterVarsity Press, Downers Grove

Ciulla J (2000) The working life: the promise and betrayal of modern life. Three Rivers Press, New York
Cloud H (2013) Boundaries for leaders: results, relationships, and being ridiculously in charge. Harper Collins, New York
Diddams M, Whittington JL (2003) Revisiting the meaning of meaningful work. Acad Manag Rev 28(3):508–512
Diddams M, Whittington JL, Davigo T (2005) Creating in the name of God who creates: a biblical view of vocation and work. J Manag Spiritual Relig 2(3):310–331
Duffy RD, Reid L, Dik BJ (2010) Spirituality, religion, and career development: implications for the workplace. J Manag Spiritual Relig 7(3):209–221
Fadling A (2013) An unhurried life: following Jesus' rhythms of work and rest. InterVarsity Press, Downers Grove
Heifetz RA, Linsky M (2002) Leadership on the line: staying alive through the dangers of leading. Harvard Business Press, Boston
Hybels B (2015) Simplify: ten practices to unclutter your soul. Tyndale, Carol Stream
Keller T (2014) Every good endeavor: connecting your work to God's work. Penguin, New York
Linville PW (1985) Self-complexity and affective extremity: don't put all of your eggs in one cognitive basket. Soc Cogn 3(1):94
Linville PW (1987) Self-complexity as a cognitive buffer against stress-related illness and depression. J Pers Soc Psychol 52(4):663
MacArthur JF (1987) Galatians MacArthur new testament commentary. Moody Press, Chicago
MacDonald G (1986) Restoring your spiritual passion. Oliver-Nelson Books, Nashville
MacDonald G (1988) Rebuilding your broken world. Thomas Nelson, Nashville
MacDonald G (2007) Ordering your private world. Thomas Nelson, Nashville
Maslow AH (1943) A theory of human motivation. Psychol Rev 50(4):370
Meskelis S, Whittington JL (2017) Work as worship: bringing meaning to work through an integrated faith. In: Ewest T (ed) Faith and work: Christian perspectives, research and insights into the movement. Information Age Publications, Charlotte. forthcoming
Neal J (2000) Work as service to the divine. Am Behav Sci 43(8):1316–1333
Porter ME, Kramer MR (2006) Strategy and society: the link between corporate social responsibility and competitive advantage. Harv Bus Rev 84(12):78–92
Quinn RE (2011) Building the bridge as you walk on it: a guide for leading change. Wiley, San Francisco
Sherman D, Hendricks W (1987) Your work matters to God. NavPress, Colorado Springs
Sherman D, Hendricks W (1989) How to balance competing time demands. NavPress, Colorado Springs
Stanley A (2002) The next generation leader. Multnomah Publishing, Sisters
Stanley A (2003) Choosing to cheat. Multnomah Publishing, Sisters
Trueblood E (1961) The company of the committed. Harper, San Francisco
Whittington JL (2015) Biblical perspectives on leadership and organizations. Palgrave MacMillan, New York
Whittington JL, Maellaro R, Galpin TJ (2011) Redefining success: the foundation for creating work-life balance. In: Kaiser S, Ringlstetter MJ, Eikhof DR, Pina e Cunha M (eds) Creating balance? International perspectives on the work-life integration of professionals. Springer, Berlin/Heidelberg, pp 65–77
Whittington JL, Meskelis S, Asare E, Beldona S (2017) Enhancing employee engagement: an evidence-based approach. Palgrave Macmillan, New York. forthcoming

Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey

Denise Frizzell and David K. Banner

Contents

Abstract

The global work environment is placing increasing demands on leaders to develop and actualize more of their potential. However, these growing demands require more than acquiring new general knowledge and skills. They require turning inward and embarking on a transformative journey of psychological maturation and vertical development. Consequently, there is a growing interest in transformative practices, to include mindfulness meditation, to support and facilitate the type of deep changes needed for leaders to effectively navigate our increasingly complex, uncertain, and interconnected world.

Keywords

Leader self-development · Maturation · Meditation · Mindfulness · Vertical development · Transformation

D. Frizzell (✉)
Metamorphosis Coaching and Consulting, Durham, NC, USA
e-mail: denise.frizzell@dafrizzell.com

D. K. Banner
School of Management, Walden University, Minneapolis, MN, USA
e-mail: david.banner@waldenu.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_66

> The healthy (and mature) ego is the hero that struggles successfully to be free from fears and attachments so that he or she can join the forces of the light. Our interior journey throws that light of consciousness on every holdout of the ego. Spirituality then comes to mean that love has released us from the ego-bound world. We treat others with respect and drop our ego defenses as we let go of the need to be right, to be in control, to use or abuse others, and so on.
>
> From *Shadow Dance* by David Richo

Introduction

There is growing awareness that deep understanding of complex human and social phenomena such as leadership and organizational life requires more comprehensive or holistic frameworks. Ideally, these frameworks need to include the individual subjective dimension, the individual behavioral dimension, the collective interior dimension, and the collective objective or systems dimension (Wilber 2001). Historically, organizational change initiatives have focused on behavioral and systems domains of organizational life such as employee performance, structure, performance metrics, information systems, strategy formulation, and mergers.

However, while addressing behavioral and systems dimensions of organizational life is essential, lasting, and deep, organizational change or transformation requires attention to individual and interpersonal transformation as well, particularly as it relates to founders and senior leaders who usually have significant influence within an organization. Leaders must transform themselves to facilitate lasting transformational change at the interpersonal, team, cultural, and organizational levels. Consequently, this chapter focuses on leader self-development, psychological maturation, and meditation, as elements of a transformative journey.

Leader Self-Development

Humans have multiple intelligences or developmental lines that differ in potential (Gardner 1983). While there are different developmental models, Gardner originally proposed seven intelligences (linguistic, logical-mathematical, spatial, bodily-kinesthetic, musical, interpersonal, and intrapersonal) and later added an eighth intelligence (natural). Other intelligences or developmental lines include self/ego, moral, needs, values, and emotional (Wilber 2000), which may progress through stages of increasing maturation over the course of one's life. While humans naturally learn and grow throughout their entire lives, the term self-development frequently refers to voluntary and intentional actions to learn or develop in one or more intelligence.

However, when discussing human development, it is important to distinguish between two general types of development, horizontal and vertical. Horizontal development, or conventional learning, refers to the acquisition of general knowledge or skills (e.g., learning how to create a company budget). Vertical development or transformational learning refers to shifts in perspective to more complex and inclusive views or structural changes within intelligences or developmental lines. Vertical development may assume a proactive and voluntary approach to the actualization of human potential. However, it often results from disorienting life events because such events disrupt or "unfreeze" underlying worldviews, beliefs, assumptions, and identities, thereby creating space for alternative ways of seeing and thinking (Mezirow 2000).

While numerous developmental stage conceptions exist, Kegan and Lahey (2009) presented three different plateaus in mental complexity that they identified in adults – the socialized mind, self-authoring mind, and self-transforming mind. The authors described the socialized mind as the "team player" and "faithful follower." The adult at this stage of development is shaped by the definitions and expectations of their social environment. Cohesion and loyalty to one's tribe, cause, or community are central to one's identity. Thus, one's communications and actions are tailored toward what he or she thinks the pertinent other wants to hear and see. The socialized mind filters, interprets, and acts to maintain harmony with the idealized other(s).

In contrast, the self-authorizing mind is highly independent and driven by one's agendas or personal compass. The adult at this stage of development is able to take a step back from his or her social contexts and offer a critique based on one's own worldview or belief system. One's communications and actions are primarily a function of what he or she thinks others need to see and hear to support one's agenda. As highlighted by Kegan and Lahey (2009), it is easy to see the admirable expansion of mind that occurs with this shift.

However, the self-authoring mind is vulnerable to filtering out or dismissing critical information that challenges one's agenda. In addition, it is also important to note that as an adult develops from one stage to another, he or she does not lose capacities associated with earlier stages. Thus, individuals are able to "transcend and include" aspects of preceding stages into one's newly acquired stage (Wilber 2000). Alternatively, as Kegan and Lahey (2009) present, what was once *subject becomes object*.

In contrast to the social mind and the self-authoring mind, the self-transforming mind holds contradictions, leads to learn, sees the interconnectedness of all life, and honors interdependency. In this stage of development, adults are able to step back and critique not only one's social environment but also his or her own worldview, ideologies, and personality. In addition, the self-transforming mind is friendlier to contradiction and paradox. An adult at this stage of cognitive development can still focus on advancing an agenda; however, he or she is also able to modify one's plan or agenda when additional relevant information arises. In other words, the self-transforming mind is able to hold one's relationships, worldviews, identities, and agendas as objects.

Kegan and Lahey's (2009) model represents one developmental framework within the realm of developmental psychology. However, there are numerous other developmental theorists and frameworks to include moral (Kohlberg 1984), ego (Loevinger 1982), needs (Maslow 2014), emotional (Goleman 1995), values (Graves in Beck and Cowan 2006), and consciousness (Wilber 2000). Wilber (2000) presented

Table 1 Select developmental stage conceptions

Theory – theorist(s)	Integral theory – Wilber	Cognitive – Kegan and Lahey	Spiral dynamics – Graves, Beck, and Cowan
Tier 2	Turquoise, holistic	Self-transforming mind	Turquoise, holistic
	Yellow, integrative		Yellow, integrative
Tier 1	Green, sensitive self	Self-authoring mind	Green, communitarian
	Orange, scientific achievement		Orange, achievist
	Blue, mythic order	Socialized mind	Blue, purposeful
	Red, power gods		Red, impulsive
	Purple, magical-animistic		Purple, magical
	Beige, archaic-instinctual		Beige, survival

Note: From Wilber (2001), Kegan and Lahey (2009), and Graves in Beck and Cowan (2006)

an analysis of over 100 developmental theorists and frameworks East and West and determined that they could all be generalized in a nine-stage model, which he later reduced to a two-tier, eight-stage model. Adapted from Spiral Dynamics, Wilber uses unique colors and descriptive terms to distinguish each stage within the overall model (see Table 1).

According to Wilber (2001), tier 1, stage 1, or beige, archaic-instinctual (note: in his extensive body of writings, Wilber frequently uses different terms to refer to the same concept) represents infantile consciousness that does not have a sense of a separate self. In other words, infants cannot tell where their bodies end and others begin. Tier 1, stage 2, or purple, magical-animistic, which generally occurs around 18 months, represents the capacity for an infant to distinguish his or her self from others and its surroundings. In tier 1, stage 3, or red, power god, as the child continues to grow and differentiate itself from its environment, it gains greater awareness of its separateness and develops power drives to protect its own security and safety.

Beginning with the tier 1, stage 4, or blue, mythic order stage, as highlighted by Wilber (2001), the self starts to empathize and identify with others and groups with which it associates or belongs (e.g., family, community, race, religion, etc.). This represents a significant shift from an *egocentric* (I) to an *ethnocentric* (us) identity. At the next stage, tier 1, stage 5, or orange, scientific achievement, the self gains the ability to form a scientific, objective, universal view and shift from an ethnocentric identity to a global or *worldcentric* identity. Tier 1, stage 5, or green, sensitive self, the last tier 1 stage in Wilber's developmental framework, represents the capacity to contemplate and criticize institutionalized perspectives and honor multiple diverse perspectives (i.e., pluralism). All of these tier 1 stages have positive and negative characteristics as well as significant limitations. The most restricting quality of all of them is that they have little tolerance for folks from other levels.

Tier 2 and the remaining stages, yellow, integrative, and turquoise, holistic (or more simply combined as integral) in Wilber's model, represent a major leap in human consciousness. Tier 2 folks can see the value of all the lower stages and understand them. As highlighted by Wilber (2001), "it (Tier 2 stages) is the most inclusive, the most sophisticated, the most complex, the most conscious, the most embracing, and includes the greatest numbers of perspectives, of any levels to emerge in all of history, and truly marks a 'monumental leap in meaning.' It is the first level in all of human evolution that believes all other levels have some importance, while those levels themselves believe only they are important (audio)."

Kegan and Lahey's (2009) self-transforming mind represents the type of psychological maturity of organizational leaders necessary for organizational transformation from Wilber's tier 1 to tier 2 interpersonal relationships, teams, culture, processes, and systems (Laloux 2014). The growing pressure to evolve from tier 1 to tier 2, individually and collectively, is mounting as numerous global challenges threaten humanity's future. However, the majority of organizational manager-leaders are currently at the tier 1 orange-achiever stage (Joiner and Joseph 2007). Consequently, this begs the question: what practices are available to foster the vertical development and psychological maturity necessary for leaders to transform organizations into entities that support individual workers in fulfilling their potential and contribute to solving society's most pressing global challenges?

However, before exploring this question, several additional factors related to psychological maturation must be considered to include self-identity and moral development, developmental readiness (DR), persona and shadow, and motivation and will.

Psychological Maturation

Identity, oriented in the work of Erikson, Loevinger, Kegan, and numerous other developmental psychologists, is a term that references how individuals view themselves in relation to different levels of the environment: others, society, and the planet. In addition, self-identity refers to the integration of various dimensions of the self, which changes and evolves over the lifespan. Identity and identity formation have significant implications for leader development because developing as a leader, in part, requires viewing oneself as a leader (Day et al. 2012). Therefore, self-identity informs and directs decision-making and behavior in addition to moral sensibilities.

According to moral development theory, with roots in the work of Kohlberg, Gilligan, Graves, and others, individuals develop more complex, inclusive, and flexible views of right and wrong action over the lifespan due in part to life experiences such as formal education (Wilber 2001). As highlighted by Day (2011), practically every decision made by a leader has ethical implications. In addition, leaders are role models and are frequently emulated by others, especially followers, and they greatly influence organizational climate and culture (Day et al. 2012). Furthermore, developmental readiness (DR) and willingness are essential for individual leaders and organizations to optimize learning and growth opportunities.

Hannah and Avolio (2010) defined DR as "the ability and motivation to attend to, make meaning of, and appropriate new leader KSAAs (knowledge, skills, abilities, and attributes) into knowledge structures along with concomitant changes in identity to employ those KSAAs" (p. 1182). This definition highlights the significance of volition and willingness in DR as development, particularly vertical development, must be freely chosen. In addition, leadership research literature underrepresents DR and how it is determined (Day 2011), which is inconsistent with the billions of dollars invested each year on leadership development. To correct that discrepancy, the authors proposed that more leadership research focuses on DR, including metacognitive capacity (i.e., the capacity to think about thinking), which supports deeper processing and interpretation of life experiences.

Furthermore, Kaiser and Kaplan (2006) wrote that *sensitivities* frequently hinder DR and underlie unskilled behaviors that can derail managers and their organizations. The authors defined sensitivities as "a set of emotionally charged beliefs and expectations generalized from experience that serve to protect the individual from repeating a painful injury, physical or psychological" (p. 466). Without a baseline of self-awareness and self-regulation to govern the impact of one's sensitivities on perceptions, motivations, and behaviors, performance deficits repeatedly surface in every work/life setting. Unfortunately, traditional growth-oriented interventions often do little to address underlying sensitivities (Kaiser and Kaplan 2006) or the role of the personality, persona, and shadow in the journey to psychological maturation.

The topic of personality is a familiar one with many students of leadership and organizational theory. The term personality refers to common patterns of motivating or energizing, information gathering, decision-making, and orienting or relating. While there are numerous personality typologies, three popular models in management literature are the Big Five, Myers-Briggs, and the Enneagram. The Big Five or Five-Factor Model utilizes broad categories to portray the human personality along the spectrum of five characteristics – openness, conscientiousness, extraversion, agreeableness, and neuroticism (John et al. 2010). In contrast, the Myers-Briggs typology uses 16 types, combinations of four pairs of traits to include extraversion/introversion, intuition/sensing, thinking/feeling, and sensing/judging (Keirsey 1998). The Enneagram typology uses nine basic personality types (Riso and Hudson 1999). It is one of the few (if not only) personality typologies with an expressly spiritual component, making it useful for working with vertical development.

Ideally, personality typologies provide insight into psychological and behavioral tendencies of self and others to enhance awareness, interpersonal relationships, and effectiveness (individual and collective). However, it is essential to note that personality types represent tendencies not absolutes. Furthermore, personality patterns and types can change and mature over the lifespan such that people become more balanced, integrated, and intentional in their self-expression. However, the healthy evolution of the personality requires an understanding of the persona and shadow (Jung and Campbell 2014).

Persona is the term (Jung and Campbell 2014) used to refer to one's social face or mask. Our social face, molded over time, is an aspect of our personality that one becomes dependent upon for securing social approval and navigating the world. While there is nothing inherently wrong or dysfunctional about our social face or persona, overtime, people tend to overly identify with the persona and repress conflicting qualities, desires, memories, or life experiences. Elaborate defense mechanisms and controls may be constructed to protect the persona. Therefore, any person or situation that threatens the persona is inclined to encounter an inauthentic and potentially harmful force or shadow.

The shadow or lower unconscious refers to the dimension of the psyche where unwanted aspects of the self are unconsciously repressed from awareness, often during childhood, for coping or survival reasons, initially. However, over time, coping mechanisms can evolve into habitual patterns that result in disconnection from one's internal world and undesirable consequences for self and others due to an unwillingness to face, recognize, and accept repressed aspects of the self. However, shadow material does not go away. It frequently and repeatedly surfaces in various ways such as projection of repressed anger onto other people. Thus, instead of being aware that "I feel angry," I perceive others to be angry.

For the average person, the persona and the shadow operate unconsciously and habitually. This phenomenon is a source of significant personal and organizational turmoil. Healing and self-development necessitate facing and feeling the unacceptable parts of ourselves (Banner 2014). Consequently, psychological maturation requires that every individual gets to know their personality, persona, and shadow and work to integrate them into their operational field of awareness (Assagioli 2000) or ego awareness (Jung and Campbell 2014). However, this is and can be extremely difficult and emotionally draining work because frequently, to varying degrees, childhood wounds and traumas lie underneath.

Thus, this type of work often requires long-term self-compassionate effort and the assistance of a therapist, a strong support network, and/or some other type of reputable deep healing program (e.g., *The Presence Process* by Michael Brown 2010). Consequently, one has to be extremely motivated to engage in this intense work and consistently and compassionately employ the will to reveal, reclaim, and reintegrate the persona, shadow, and personality to develop into a healthy and mature adult human being. In addition to a lower self or shadow element, several developmental theorists (e.g., Assagioli, Jung, and Wilber) include a higher self or golden shadow in their models of the human psyche.

The higher self includes one's highest inspirations, intuitions, values, and aspirations for self and humanity (Assagioli 2000). However, similar to the lower self, throughout childhood, we can receive messages from our parents and other authority figures that particular characteristics, traits, or self-expressions are undesirable. For example, a male child may be ridiculed for being overly expressive or a female child may be shamed for being too assertive. This type of shaming can lead to suppression of positive qualities or authentic expressions.

Sustained suppression of innate qualities and characteristics hinder access to intuition and vitality, which over time can lead to physical, mental-emotional, and spiritual diseases (Assagioli 2000). Consequently, it is essential to acknowledge, allow, accept, and reintegrate aspects of the higher unconscious for general wellness, development, and psychological maturation. However, the inner work of integrating the lower and golden shadows requires understanding of the roles of motivation and will in leader self-development and maturation.

Motivation refers to the degree of internal intensity to gratify an aspiration, desire, need, or goal. Will refers to the volitional capacity and discipline to respond to the internal force of motivation by dedicating time, resources, attention, and effort toward goal fulfillment. Assagioli (2010) argued that healthy and mature adults need balanced wills that are strong, skillful, and loving.

Motivation and will are central to leadership and organizational life in general. Furthermore, both are highly significant to leader self-development, because deep psychological healing and maturation (mental and emotional) typically require intentional disciplined effort to consistently engage in practices that facilitate the degree of growth necessary to reach Wilber's (2001) tier 2 stage (Richo 1999; Wilber 2001). It is important to note that the role of will in psychological healing and maturation is in contrast to a more nuanced dance of effort and grace involved in spiritual enlightenment discussed later in this chapter. While there are numerous transformative practices, one psycho-spiritual technology backed by ancient wisdom and a growing body of supportive evidence is meditation. Meditation is the only evidence-based technique for fostering vertical development or stage progression in adults (Wilber 2001). Furthermore, as highlighted by Wilber, the transformative potential of regular meditation increases when it is part of a more holistic or integral practice that honors body, mind, and spirit in self, culture, and nature.

Meditation

Meditation, referred to by the Dalai Lama as "a technique for transforming the mind" (as quoted in Wallace 2005, preface), is often associated with the contemplative paths of the world's great religious traditions, particularly Eastern traditions. While historically known as a path to awakening or enlightenment, Walsh and Shapiro (2006) defined meditation as "a family of self-regulation practices that focus on training attention and awareness in order to bring mental processes under greater voluntary control and thereby foster general mental well-being and development and/or specific capacities such as calm, clarity, and concentration" (pp. 228–229).

Historically, the family of meditation techniques falls into two general categories: concentration practices and awareness practices. Concentration practice is an essential element of the Buddhist Eightfold Path and other contemplative traditions, East and West. While concentration practices may differ across traditions, typically they include an object of attention (e.g., breath, an image, a sacred word, a word or phrase called a mantra) to which the practitioner returns, repeatedly, gently, and nonjudgmentally (Walsh 2000). However, the focus of this section is on mindfulness meditation, an awareness practice.

A prevalent understanding of mindfulness is "awareness of present experience with acceptance" (Siegel 2014). Consequently, mindfulness meditation practice involves intentionally cultivating "an open, accepting, and discerning attitude" through formal or informal practices (Shapiro et al. 2009, p. 13). Formal mindfulness practices orient around the *Four Points of Mindfulness* (body, feeling tone, thoughts, and senses) and include breath awareness meditation (also referred to as sitting meditation), walking meditation, and body scan meditation. Informal practices include bringing one's attention to the current task (Siegel 2010, 2014).

Although mindfulness meditation has roots in Buddhism, many Western mindfulness-based practices are secular, straightforward, and completely accessible to diverse populations (Shapiro et al. 2009; Siegel 2014). In addition, although the majority of mindfulness meditation research is clinically oriented (e.g., chronic pain, substance abuse, and anxiety), researchers increasingly attend to its health-promoting and developmental potential. For example, Jain et al. (2007) found that mindfulness meditation and stress-reduction interventions reduced negative mental states and increased positive mental states for healthy college students. The authors determined that mindfulness meditation reduced distraction and rumination, whereas relaxation methods failed to do so.

Presently, Eastern psychology and philosophy underlie four popular secular mindfulness-based interventions (MBIs) – mindfulness-based stress reduction (MBSR), mindfulness-based cognitive therapy, acceptance and commitment therapy, and dialectical behavior therapy (Siegel 2014) – that accentuate experiential, meditative techniques as the principal mechanism for self-development and transformation. Other popular MBIs orient toward a synthesis of Western and Eastern psychological approaches to greater well-being.

Mindfulness, as measured by the Mindfulness Attention Awareness Scale and fostered through mindfulness-based practices, benefits individual well-being (Shapiro et al. 2008). Chiesa and Serretti (2010) determined that graduates of a 10-day mindfulness meditation retreat experienced reduced stress levels for up to 3 months following the retreat. The authors also found a reduction in stress values of a group of healthy meditators, compared to a control group. However, Newberg (2011) cautioned that although mindfulness practices have the potential to facilitate perceptual shifts and enhance acceptance, self-doubt and frustration accompanying feelings of performance anxiety might hinder possible benefits. Therefore, one must have realistic expectations and patience when starting a mindfulness meditation practice.

Nevertheless, contemporary psychologists have adopted mindfulness as a supportive practice to enhance awareness and respond more constructively to personal and social situations (Siegel 2014). Mindfulness supported greater self-regulation and emotional well-being (Brown and Ryan 2003). People who regularly engage in meditation consistently reported greater emotional well-being, particularly individuals who practiced more frequently at longer intervals (Keune and Perczel Forintos 2010). Therefore, meditation, in a nonclinical setting, might support enhanced mental and emotional health (Keune and Perczel Forintos 2010) as well as moral reasoning and decision-making (Shapiro et al. 2012).

Thus, although one can easily dismiss mindfulness as the latest fad in organizational development or the latest quick fix for an overly stressed society, the mounting body of scientific literature, indicating impressive benefits for clinical and healthy populations, challenges such a position (Glomb et al. 2011). Consequently, the time is appropriate to investigate the potential impact mindfulness might have on leader self-development and psychological maturation.

Currently, while practitioners garner increased interest in mindfulness meditation and leader development, scholars conduct few studies on this topic. Mindfulness meditation allows a leader to appreciate the changing nature of reality and begin to relinquish over-identification with particular views or outcomes (Gelles 2015). Moreover, regular and consistent mindfulness practice helps leaders identify and replace limiting habits by helping them identify and accept current strengths and weaknesses (Goldman Schuyler 2010).

Opening up to one's daily experiences and learning to *be* offset the persistent drive to achieve, which gives greater access to one's innate inner wisdom (Carroll 2008). This opening offers leaders the opportunity to see and accept circumstances for what they are, not how they may wish them to be, before taking action (Gelles 2015). In addition, cultivating mindfulness allows leaders to make smarter decisions, because they are more aware of their inner world and, therefore, better able to connect with others and the conditions in their environment (Boyatzis and McKee 2013; Scharmer and Kaufer 2013). Whereas research on mindfulness in the work setting is young, the evidence indicates that it may have the potential to greatly contribute to several lines of management inquiry including leader effectiveness (Goldman Schuyler 2010).

Offering short-term workplace programs on mindfulness practices may be a valuable method for organizations to support the self-care and self-reflection necessary for leadership effectiveness (Pipe et al. 2009). For example, mindfulness training may help leaders develop the capacity to notice bodily sensations, thinking patterns, and behavioral patterns. Such insights allow leaders to loosen the grip such habitual patterns have on them and permit them to meet people and circumstances with more openness and receptivity (Karssiens et al. 2014).

Moreover, mindful leaders tend to have stronger intrapersonal and interpersonal skills; therefore, they frequently become more effective in fulfilling their leadership responsibilities and functions (George, as cited in Silverthorne 2010). Consequently, Ruderman et al. (2014) concluded that mindfulness and other types of contemplative practices offer leaders an assortment of techniques to interrupt habitual thoughts and reactionary patterns while creating opportunities for reperceiving, reinterpreting, and responding in ways that are more constructive. "Contrary to popular belief, cultivating the capacity for mindfulness is not just a nice-to-have or something to be done for private reasons: it is actually essential for sustaining good leadership" (Boyatzis and McKee 2013, p. 140).

Frizzell et al. (2016) identified ten developmental themes from 20 diverse manager-leaders with a regular (at least 3 days a week) mindfulness meditation practice for at least 3 months. The developmental themes included (a) more integrated/balanced leadership, (b) greater self-regulation, (c) commitment to the practice, (d) enhanced self-awareness, (e) improved work relationships, (f) greater inner calm and peace, (g) greater self/other empathy and compassion, (h) deeper listening and being present, (i) motivated by a personal or professional crisis, and (j) more tolerance for ambiguity and uncertainty. These developmental themes are indicative of increasing psychological maturation and wellness.

Research findings, such as ones highlighted above, are contributing to growing interest in and the use of mindfulness meditation by individual leaders such as Bill George (former CEO Medtronic), Bill Ford (Ford Motor Company), Peter Meehan (Newman's Own), Jeff Immelt (GE), and Steve Jobs (1955–2015: Apple, Inc.). Furthermore, an increasing number of organizations such as General Mills, Goldman Sachs, Apple, Medtronic, and Google are offering mindfulness training to employees (Gelles 2015).

However, the practice of mindfulness is not a quick fix or instant remedy. Goldman Schuyler (2010) warned that cultivating mindfulness is comparable to starting an exercise program or engaging in other wellness-oriented activities rather than learning a particular management skill, which may explain its underrepresentation in the leadership literature. Furthermore, it is important to emphasize that the original and ultimate purpose of meditation is spiritual enlightenment.

Spiritual enlightenment generally refers to a direct experience of the unity of all life or one's Supreme Identity (Wilber 2001). Humanity's future depends on our capacity to fully mature and cultivate spiritual intelligence (SQ). SQ is the capacity to maintain equanimity regardless of internal or external circumstances and includes a sense of relatedness to life in all its diverse expressions (Wigglesworth 2012). Wigglesworth (2012) proclaimed that SQ, along with IQ, emotional intelligence (EQ), and physical intelligence, was a foundational intelligence for living a healthy and fulfilling life in the twenty-first century.

Furthermore, while SQ is developmental, a temporary spiritual state experience is distinct from a permanent developmental stage progression (Wilber 2000). As highlighted by Wilber, higher states of consciousness tend to be temporary while higher stages of consciousness (which can be stimulated by higher states) are more permanent acquisitions of the person. In addition, Wigglesworth (2012) distinguished between the self of the ego and personality from the self of his or her divine nature, grounded in God, as a person understands Him/Her/It. Thus, one can have a spiritual experience at any level of development. However, unity experiences do not guarantee psychological maturity.

Consequently, people can be spiritually enlightened but be underdeveloped in essential developmental lines and also have problematic shadow issues (Wilber 2001). Wigglesworth's proclamation about the essential nature of SQ in the twenty-first century has profound implications for individual leaders and organizations given that the topic of spirituality is often a forbidden one in the traditional work environment.

Conclusion

Humanity faces unprecedented global challenges such as climate change, terrorism, water scarcity, and growing social inequality in countries (Guillén and Ontiveros 2012). Humanity's global challenges, along with other evolutionary drivers (e.g., the increasing demands from millennials for greater equity, meaning, and responsibility in the workplace), necessitate personal, relational, team, and organizational transformation.

Consequently, every capable adult is being called to be and become a leader for his or her inner journey toward maturation and wholeness.

However, given the current reality of the developmental gap of formal leaders at this critical time in human history, transformation must begin with formal leaders and their development to include psychological maturation. As highlighted above, psychological and emotional maturation include issues of identity, moral, and ego development; personal mastery; personality integration and shadow work; and will (balanced) cultivation. Furthermore, this critical transformation also requires awakening to the ultimate unity of all life.

In today's Global Age, access to instruction on contemplative practices that facilitate vertical development and foster unity consciousness is widely available. One extremely promising supportive and transformational practice is mindfulness meditation. Mindfulness meditation and other contemplative practices are not new. They have roots in the world's ancient wisdom traditions. What is new, however, is the scale at which they are available. The mass availability of mindfulness meditation and other contemplative practices is unprecedented. Therefore, the potential implications for individuals and organizations are extensive.

As evidenced by studies highlighted in this chapter, mindfulness meditation has salutary and transformative potential for individual leaders who regularly, consistently, and skillfully practice. Although one transformed leader may not be able to transform an entire organization, "transforming individuals through leader development efforts also transforms organizations" (Day et al. 2004, p. 11). Whereas one transformed leader with greater self-awareness and self-regulation can make a positive difference in an organization, investment in mindfulness training for multiple leaders or leadership teams might transform entire organizations. In turn, transformed organizations have the potential to transform societies and the world.

However, mindfulness meditation is not a panacea or quick fix for leaders or organizations nor is it an easy or pleasurable "do when you please" activity, as it requires a long-term commitment to regular self-observation and self-honesty. The Eastern approach to mindfulness, with roots in Buddhism, is part of a comprehensive path known as the Noble Eightfold Path. Although one does not need to be or become a Buddhist to practice mindfulness, the Eightfold Path includes three general categories of practice, ethical conduct (right or skillful speech, action, and livelihood), mental discipline (right or skillful effort, concentration, and mindfulness), and wisdom (right or skillful understanding and thinking; Gunaratana 2012). Therefore, without consideration of and commitment to these other dimensions, the transformative potential of mindfulness meditation is limited.

As highlighted by Reddy and Srinivasan (2015), leaders and organizations must consider the goals and objectives of talent development. If they desire vertical growth, they must initiate interventions that will facilitate such learning, which may require serious investigation of firmly held assumptions about leader development. However, organizations cannot mandate vertical growth. They can invest in, offer, encourage, and support leaders and all employees in exploring and experimenting with mindfulness meditation and other contemplative practices when conditions are suitable (i.e., readiness, openness, and commitment).

Leaders who yearn to make a difference and positively contribute to real solutions will have to access more of their potential. Traditional ways of learning, being, and acting will not suffice. People must open their hearts and minds to techniques and practices that foster vertical development and transformation, not with blind faith, but with genuine willingness and courage to experience for themselves whether these practices make a real difference in their lives.

References

Assagioli R (2000) Psychosynthesis. A collection of basic writings. The Synthesis Center, Inc., Amherst

Assagioli R (2010) The act of will. Penguin, Baltimore

Banner DK (2014) Loving it all: living with an awakening heart (Kindle edition). Retrieved from https://www.amazon.com

Beck D, Cowan CC (2006) Spiral dynamics: mastering values, leadership, and change: exploring the new science of memetics. Blackwell Business, Cambridge

Boyatzis RE, McKee A (2013) Resonant leadership: renewing yourself and connecting with others through mindfulness, hope, and compassion (E-book). Retrieved from https://play.google.com/store/books/details?id=etkqwO_Cd-EC

Brown M (2010) The presence process: a journey into present moment awareness. Namaste Publishing, Vancouver

Brown KW, Ryan RM (2003) The benefits of being present: mindfulness and its role in psychological well-being. J Pers Soc Psychol 84:822–848. https://doi.org/10.1037/0022-3514.84.4.822

Carroll M (2008) The mindful leader: awakening your natural management skills through mindfulness meditation. Trumpeter, Boston

Chiesa A, Serretti A (2010) A systematic review of neurobiological and clinical features of mindfulness meditation. Psychol Med 40:1239–1252. https://doi.org/10.1017/S0033291709991747

Day DV (2011) Integrative perspectives on longitudinal investigations of leader development: from childhood through adulthood. Leadersh Q 22:561–571. https://doi.org/10.1016/j.leaqua.2011.04.012

Day DV, Zaccaro SJ, Halpin SM (2004) Leader development for transforming organizations: growing leaders for tomorrow. Erlbaum, Mahwah

Day DV, Harrison MM, Halpin SM (2012) An integrative approach to leader development: connecting adult development, identity, and expertise (E-book version). Retrieved from https://play.google.com/store/books/details?id=JcN4pZOAFLAC

Frizzell DA, Hoon S, Banner DK (2016) A phenomenological investigation of leader development and mindfulness meditation. J Soc Change 8:14–25. https://doi.org/10.5590/JOCS.2016.08.1.02

Gardner H (1983) Frames of mind: the theory of multiple intelligences. Basic Books, New York

Gelles D (2015) Mindful work: how meditation is changing business from the inside out (Kindle version). Retrieved from http://www.amazon.com

Glomb TM, Duffy MK, Bono JE, Yang T (2011) Mindfulness at work. Res Pers Hum Resour Manag 30:115–157. https://doi.org/10.1108/S0742-7301(2011)0000030005

Goldman Schuyler KG (2010) Increasing leadership integrity through mind training and embodied learning. Consult Psychol J Pract Res 62:21–38. https://doi.org/10.1037/a0018081

Goleman D (1995) Emotional intelligence: why it can matter more than IQ. Bloomsbury, London

Guillén MF, Ontiveros BE (2012) Global turning points: understanding the challenges for business in the 21st century. Retrieved from http://www.coursera.org

Gunaratana H (2012) The four foundations of mindfulness in plain English (Kindle edition). Retrieved from http://www.amazon.com

Hannah ST, Avolio BJ (2010) Ready or not: how do we accelerate the developmental readiness of leaders? J Organ Behav 31:1181–1187. https://doi.org/10.1002/job.675

Jain S, Shapiro SL, Swanick S, Roesch SC, Mills PJ, Bell I, . . . Schwartz R (2007) A randomized controlled trial of mindfulness meditation versus relaxation training: effects on distress, positive states of mind, rumination, and distraction. Ann Behav Med 33:11–21. https://doi.org/10.1207/s15324796abm3301_2

John OP, Robins RW, Pervin LA (2010) Handbook of personality: theory and research. Guilford Press, New York

Joiner B, Joseph S (2007) Leadership agility: five levels of mastery for anticipating and initiating change (Kindle edition). Retrieved from http://amazon.com

Jung CG, Campbell J (2014) The portable Jung (Kindle edition). Retrieved from http://www.amazon.com

Kaiser RB, Kaplan RB (2006) The deeper work of executive development: outgrowing sensitivities. Acad Manag Learn Edu 5:463–483. https://doi.org/10.5465/AMLE.2006.23473207

Karssiens AEA, van der Linden C, Wilderom CPM, Furtmueller E (2014) Embodied mind knowledge in leadership practice: creating space in patterned thoughts and behaviors. J Manag Inq 23:231–241. https://doi.org/10.1177/1056492613513501

Kegan R, Lahey LL (2009) Immunity to change: how to overcome it and unlock potential in yourself and your organization. Harvard Business Press, Boston

Keirsey D (1998) Please understand me II: temperament, character, intelligence. Prometheus Nemesis, Del Mar

Keune PM, Perczel Forintos D (2010) Mindfulness meditation: a preliminary study on meditation practice during everyday life activities and its association with well-being. Psychol Top 19:373–386

Kohlberg L (1984) The psychology of moral development: the nature and validity of moral stages. Harper & Row, San Francisco

Laloux F (2014) Reinventing organizations: a guide to creating organizations inspired by the next stage of human consciousness (Kindle edition). Retrieved from http://www.amazon.com

Loevinger J (1982) Ego development. Jossey-Bass, San Francisco

Maslow AH (2014) A theory of human motivation (Kindle edition). Retrieved from http://www.amazon.com

Mezirow J (2000) Learning as transformation: critical perspectives on a theory in progress (Kindle version). Retrieved from http://www.amazon.com

Newberg AB (2011) Spirituality and the aging brain. Generations 35(2):83–91

Pipe TB, Bortz JJ, Dueck A, Pendergast D, Buchda V, Summers J (2009) Nurse leader mindfulness meditation program for stress management: a randomized controlled trial. J Nurs Adm 39:130–137. https://doi.org/10.1097/NNA.0b013e31819894a0

Reddy CM, Srinivasan V (2015) Dialogue on leadership development. IIMB Manag Rev 27:44–55. https://doi.org/10.1016/j.iimb.2015.02.001

Richo D (1999) Shadow dance: liberating the power and creativity of your dark side. Shambhala, Boston

Riso DR, Hudson R (1999) The wisdom of the enneagram: the complete guide to psychological and spiritual growth for the nine personality types. Bantam Books, New York

Ruderman MN, Clerkin C, Connolly C, Center for Creative Leadership (2014) Leadership development beyond competencies moving to a holistic approach (White paper). Retrieved from http://www.ccl.org/leadership/pdf/research/leadershipdevelopmentcompetencies.pdf

Scharmer CO, Kaufer K (2013) Leading from the emerging future: from ego-system to eco-system economies. Berrett-Koehler, San Francisco

Shapiro SL, Oman D, Thoresen CE, Plante TG, Flinders T (2008) Cultivating mindfulness: effects on well-being. J Clin Psychol 64:840–862. https://doi.org/10.1002/jclp.20491

Shapiro SL, Carlson LE, Kabat-Zinn J (2009) The art and science of mindfulness: integrating mindfulness into psychology and the helping professions. American Psychological Association, Washington, DC

Shapiro SL, Jazaieri H, Goldin PR (2012) Mindfulness-based stress reduction effects on moral reasoning and decision making. J Posit Psychol 7:504–515. https://doi.org/10.1080/17439760.2012.723732

Siegel RD (2010) The mindfulness solution: everyday practices for everyday problems. Guilford Press, New York

Siegel RD (2014) The science of mindfulness [MP3]. The Teaching Company, Chantilly

Silverthorne S (2010) Mindful leadership: when east meets west, Q & A with Bill George. Harvard Business Review. Retrieved from http://hbswk.hbs.edu/pdf/item/6482.pdf

Wallace BA (2005) Genuine happiness: meditation as the path to fulfillment. Wiley, Hoboken

Walsh R (2000) Essential spirituality: the 7 central practices to awaken heart and mind (Kindle edition). Retrieved from http://www.amazon.com

Walsh R, Shapiro SL (2006) The meeting of meditative disciplines and western psychology: a mutually enriching dialogue. Am Psychol 61:227–239. https://doi.org/10.1037/0003-066X.61.3.227

Wigglesworth C (2012) SQ21: the twenty-one skills of spiritual intelligence (Kindle version). Retrieved from http://www.amazon.com

Wilber K (2000) Integral psychology: consciousness, spirit, psychology, therapy. Shambhala, Boston

Wilber K (2001) A theory of everything: an integral vision for business, politics, science, and spirituality. Shambhala, Boston

In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations

Richard J. Major

Contents

Abstract

We believe the starting point of any personal and organizational transformation is the individual itself. This chapter aims to link Western philosophical perspectives with the Latin notion of *exemplarity* as a vector for self-transformation and organizational transformation. The quasi-mythical notion of *Exemplarity* is in

R. J. Major (✉)
Laboratoire d'Innovation Sociale et de la Performance Économique (LISPE), Institut de Gestion Sociale, Groupe IGS, Paris, France

Exemplarity Management Solutions, Mazan, France
e-mail: rjm@exemplarity.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_70

Latin cultures, which refers to individuals who exhibit exemplary behavior. Intrigued by the impact exemplary management behaviors produce in organizations, we will see how Exemplarity is essentially intentional, attitudinal, and behavioral.

Positing personal transformation as an imperative to transform the world around us, we will distinguish virtue ethics from consequentialist and deontological ethics. Thus, this chapter mainly focuses on virtue ethics as the philosophical foundation of our *Perceived Managerial Exemplarity* conceptual framework. Studying notions such as Example, Imitation and Exemplarity from ancient Greece through the Middle Ages and the Enlightenment period will bring us to our postmodern era.

We will identify two dynamics of exemplarity: on one hand, collective, normed mimetic processes that facilitate socialization, cultural assimilation, and the transmission of knowledge and skills. We associate these with Aristotle's (Rhetoric) pragmatic, rhetorical, and inductive Example. On the other hand we find individuals who are sources of inspiration, appealing to what is best within human beings, encouraging agents to become better associates, better managers, and better people. We interpret this aspect as Plato's (Republic) ontological, idealized, and abductive Example. These distinctions will help delve into both the normative and transformational qualities of exemplarity.

Keywords
Exemplarity · Exemplar · Imitation · Virtue ethics · Intention · Attitude · Transformation

Be the change you wish to see in the world.
Mahatma Gandhi

Example is not the main thing in influencing others. It is the only thing.
Albert Schweitzer

The exemplar's call to become "who you are" presents an ideal of human life and stimulates an inquiry aimed at self-knowledge and self-creation. It is imitation of the exemplar on a very abstract level. Bryan Warnick

Introduction: Exemplarity, Source of Drift, and Societal Opportunity

The growing examples of political, financial, and ethical scandals (Peretti 2010) and the ensuing economic and social crises confirm widespread skepticism towards the "powerful," to the point where the perception of the lack of Exemplars seems to make them all the more sought after. Based on the assumption that employees' perception of exemplary management could generate virtuous attitudes, productive working conditions, and positive results, we wonder about the possibility of identifying what managerial exemplarity could be and cultivating it. To answer this, we will explore what exemplarity is. Our conceptual framework of *Perceived Managerial Exemplarity* integrates social science theories such as personal identity construction, role identification, vicarious learning, group prototypicality, as well as authentic, ethical, and spiritual leadership. These and our empirical quantitative research involving 1200 respondents in 28 countries will be developed in future publications.

So let's start by looking at the business case, the organizational and societal need for managerial exemplarity.

Crises and Managing Behaviors

Many corporate crises, going back to the Enron or Worldcom scandals, have accounted for billions in losses and destroyed hundreds of thousands of jobs worldwide (Khurana 2007, 2010). Beyond the ethical debates these have generated, the US government responded at the time by passing the Sarbanes-Oxley federal law as a system of coercion and control of financial activity organizing, reporting, and auditing. It is pretty much a given that the financial goals dominating the business world have little to do with long-term economic and social consequences (Peretti 2010). The subprime mortgage crisis in 2008 culminated in economic and social capital destruction representing $500 billion in losses and 20 million unemployed (Lewis 2010). The recent Volkswagen crisis shows again how fragile ethics are in a competitive profit-driven system, and recent presidential elections around the world repeatedly demonstrate how we lack models of integrity at the highest levels of the state.

Beyond deregulations and computer system manipulations, the influence of unethical behaviors of individuals in positions of authority is, in our opinion, at the origin of these drifts. A mimetic propagation will eventually erect questionable behaviors into norms, provided these behaviors are displayed by those in positions of power.

These scandals question the ethical and moral values of leaders, and hence the very existence of a managerial code of ethics, through leadership's failure to act as institutional guardian (Nohria and Khurana 2008), a role we would expect to come with the territory. In response, the students of Nitin Nohria, Dean of the Harvard Business School, drew up a managerial oath so the function could model itself as a true profession and globally subscribe to a code of ethics, such as the practice of medicine with the oath of Hippocrates (Nohria and Khurana 2008). His students disseminate this oath around the world (www.http://mbaoath.org/) with the objective of making it a deontological ethical reference for the managerial profession.

Admittedly, codes of ethics enable emerging professions (Rival and Major 2016), to structure themselves by defining frameworks of values and deeds, encouraging managers to incarnate their business stewardship responsibility. They have the potential to create the conditions for aligning behaviors to standards and principles.

Managers' Inner Life and Practices

But we see a different imperative, developing an ethics of virtue, anchored in the values, intentions, and behaviors of managers and leaders, appealing to the framework of virtue developed by Aristotle. As Pierre Hadot (1993) rediscovered, philosophy is above all a way of life, sustained by work on oneself through *spiritual exercises* designed to perfect the inner being, the soul of the philosopher.

For many centuries, the object of philosophy has been more theoretical and speculative than involving personal practice. The inner dimension, philosophers' application of their precepts to their daily lives, experiencing first-hand what they were teaching, was originally the basis of their legitimacy. Philosophy has lost that personal ascetic dimension to become purely an intellectual exercise.

In a similar manner, managers' inner lives have had little to do with what we expect of them in the business world. The philosophical approach of personal practice could be considered for managers in order to develop their intentionality, inner attitude, and corresponding behaviors. After all, managers impact the quality of employees' lives through their day to day experience at work. As holding this responsibility, they may well have the imperative to develop themselves beyond technical and soft skills, the responsibility to actually delve into who they are and what motives drive their personal and professional selves.

Though comparing philosophers to managers may be seen as a stretch, internal ethical development has become critical today to ensure our ability to survive and adapt to the global economic, technological, and societal changes of the world we have created:

> Because of the speed of change and the complexity of business today, because we cannot write the rules for every situation that our people, our managers will be facing . . ./. . . our people need to be able to make decisions based on their knowledge of what is right or wrong and above all, based on their personal capability to judge a given situation. Jean Pierre Sounillac, Chief Human Resources Officer, Faurecia (2015)

Beyond the sole business environment, our society suffers, in our view, from an imbalance in human self-development. For centuries, mankind has concentrated on developing what is outside itself, mastering the world, exemplified by today's technologies, thus improving its physical and material life conditions. But has it made men more enlightened? Can we say that on a planetary scale we live with more security, serenity, and happiness than before? Does humanity act with a greater sense of the common good, a key characteristic of great civilizations?

In management science, we offer theories, methods, and skills development for our students to carry out their future functions. The knowledge and tools we provide are nonetheless limited to instrumental techniques to manipulate management levers, therefore the external world. How does this limitation affect the ontology and epistemology of business itself, as a human social experience? What about the other dimensions of our humanity? And to what extent are we as business academics concerned about teaching theories, methods, skills, and tools that enable young or experienced managers to develop their inner life, critical thinking, and their emotional and spiritual intelligence?

Starting from the observation that corporate and political scandals originate in deviant behaviors, companies and governments develop deontological ethics as guardrails to human conduct. Beyond the deontology of rules and codes, we suggest the transformational quality of virtue ethics as an imperative managerial development tool in a period dominated by volatility, uncertainty, complexity, and ambiguity.

Let's have a closer look at this influence managers may have on team members.

Mimetics, Mimetic Rationality, and Influence

The mimetic impact of leaders – the replication of their behaviors taken as examples by coworkers – occupies a considerable place in the conduct of organizations – companies, institutions, countries – today. In a world of unprecedented global complexity and interdependence, this impact is all the more significant, as large multinational groups concentrate unequaled levels of economic and political power. The workplace constitutes a greater element of our day to day lives and of society than ever before.

The world's accelerated social and economic pace of change and increasing degree of complexity generate high levels of uncertainty and skepticism among employees. This drives them to seek for key referent figures as benchmarks on which to adjust their own (Amblard 2009; Melkonian et al. 2006; Montmorillon 1999; Shapiro 1995; Simons 2002; Wheeler 1966). According to Treviño (1986), adults are not ethically autonomous and seek benchmarks to resolve the ambiguity of ethical dilemmas. These dynamics are what Montmorillon (1999) describes as *mimetic rationality*, namely conduct where the agent, in a situation of critical uncertainty, decides his conduct according to the decision criteria of other actors.

For Amblard (2009), a normative social dimension interferes with the rationality of the agent, where:

> The agent placed in a situation of uncertainty, directs his conduct no longer by mere calculation but by referring to behavioral regularities that he observes or has previously integrated. (Amblard 2009, p. 73)

Wheeler (1966) speaks of behavioral contagion when a person experiencing an internal decision-making conflict loses any inhibition when she/he observes another person performing a similar act without negative consequences. Cialdini (2005) demonstrates the often unconscious influence of our peers in our decision-making, leading us to adopt benevolent and civic attitudes and behaviors, or not.

An individual therefore looks at her peers' and hierarchy's behaviors in the event of a dilemma to gain confidence in the sequence of events and decide her conduct. Today's world happens to provide more and more instances of potential dilemma. We must accept that hierarchy provides examples de facto, to follow or not to follow, to employees who attempt consciously or not to determine their own behavior. The impact of management's conduct, its behavior, and its exemplarity is in this sense a weighing factor of change and transformation at the individual and collective level.

Nevertheless, exemplarity is rarely on leaders' or managers' top priority lists. Or rather, its impact exceeds both their perceptions and their control. The quality of managers' exemplarity as perceived by others would a priori be limited by their capability to be, or perhaps interest in being, exemplary, as evidenced in the recurring frauds, affairs, and scandals aforementioned as well as in the day to day escalations of inappropriate workplace behavior.

Exemplarity as perceived by employees – and citizens – per the current results of our research would cover moral, virtuous, ethical, and perhaps idealized qualities we expect from our rulers, business leaders, and public figures. In Latin Europe, the term occurs daily in conversations, speeches, and the press. However, to this day the concept of exemplarity suffers from a lack of research, more specifically in management science. Philosophy has historically studied the topic, as do our contemporary Latin philosophers Ferrara (2008) and Gomá Lanzón (2009). But its stakes and impact to the business world are such that its study in management science is fully justified.

The word *exemplar* in English is used for someone or something serving as an example. *Moral exemplar* qualifies a person who provides an example of morality. But the term *exemplarity* is not commonly used in English, whereas in Latin countries it defines the highest ground of ethical values that someone can incarnate in their day to day actions (*Exemplarité* in French, *Ejemplaridad* in Spanish, Esemplarità in Italian). Even the widely used notion of Role-model in social science is poorly documented (Gibson 2004; Lockwood and Kunda 1997; Moberg 2000). In this exploration, we distinguish Anglo-Saxon Role-modeling from the Latin notion of Exemplarity (Major 2015). Indeed, though it is loosely used in management literature, “role-model” contains a strong *role* dimension. It does not participate in a cultural, quasi-mystique of ethics as the notion of *exemplarity* does in Latin cultures.

To summarize, our society is confronted with problems to which a deontological ethics, based on laws and rules, can no longer respond to in totality. The values, intentions, and attitudes of individuals are the basis of managerial behaviors, for better or for worse. At the same time, during organizational and social changes, employees look for trusted referent individuals on which to model their own behaviors. Finally, the notion of *exemplarity* has an idealized dimension in Latin cultures, in contrast with Anglo-Saxon countries where the notion of Role Model, somewhat more contingent and instrumental, prevails. These bases being established, how has the notion of exemplarity evolved over time?

From Virtuous Exemplarity to the Exemplar as a Threat

Our journey begins with the formalization of virtue ethics among Greek Socratic philosophers with Plato and his student, Aristotle. The Latin term *vertus* refers to moral energy and force, though translated from the Greek *arété (ἀρετή)* meaning *excellence*.

Virtue Ethics from Aristotle to Dewey and Sartre

Ethics is the philosophical discipline of deliberate responsibility, establishing criteria for freely choosing one’s conduct in the face of moral dilemmas, while respecting oneself and others. The formal study of ethics begins with the Greek pre-Socratic and Socratic philosophers. While Plato often referred to various aspects of ethics in his work, his doctrine has been difficult to grasp for lack of synthesis and for the changes in his perspective at different periods of his life. Aristotle was the first to write a treatise entirely dedicated to ethics, *Ethics in Nicoma*, which followed and refined *Eudemian Ethics*. He stresses that ethics is not a theoretical discipline; its study is not meant to satisfy our thirst for knowledge but to enable us to reach our own good by developing an embodied understanding of what human fulfillment is.

Aristotle presents virtue as the middle ground between two extremes, between lack and excess of qualities, emphasizing, in a contingent approach, that the just mean for a given situation is not the consequence of a mechanical process and requires an adequate knowledge of the circumstances. This capacity of reasoned and contextual judgment, which makes it possible to adapt our actions according to the situation and the actors, this practical sagacity, is called phronesis *(φρόνησις)*. The search for personal excellence as virtue could be represented by an optimal moderate balance, adapted to circumstances, between extreme inclinations or attitudes (Bright et al. 2014), and is developed through regular practice of virtuous behaviors (Fig. 1).

We distinguish *excellence* from the more instrumental and limiting notion of *performance*, prevalent in today's society of production and consumption.

According to Socrates, Plato (Republic) then Aristotle (Ethics in Nicoma), virtue is therefore the capacity to lead a moral life that is most beneficial to oneself and to others, by a daily practice of principles and values. For Aristotle, happiness as such is not virtue; it is a *virtuous activity*. Living well consists of being active and happiness consists of activities throughout life that actualize and cultivate the virtues of the rational part of our being.

> Happiness, [eudaimonía] is a first principle or starting-point, since all other things that all men do are done for its sake; and that which is the first principle and cause of things good we agree to be something honorable and divine. (Ethics in Nicoma, 1.12.8)

The notion of excellence and virtue takes different forms, specific qualities or characteristics according to historical periods, cultures, and contexts (Peterson and Seligman 2004). Throughout Western traditions from Plato to Thomas Aquinas, standard virtues commonly include integrity, moderation, courage, sagacity, justice, humility, benevolence, and compassion. More recently, Murphy (1999) sought to identify virtues applied to the business and marketing world, and Solomon (2003) defended the need for virtue ethics in management. Always based on inner qualities and the notion of *character*, virtue integrates conscious cognitive intent, emotion, motivation, and action, thus concerning as much our *being* as our *doing*.

Dewey (1980) confirms Aristotle's logic in that our present acts and choices form our character, which in turn defines our future moral choices. For Dewey, the essential unity between the concept of self and our deeds does not concern so much who we have been or who we are in the present; it challenges us on who we wish to become. For Dewey, as for Aristotle, the positive impact of virtuous action is the notion of growth and development towards optimal human functioning. For Dewey

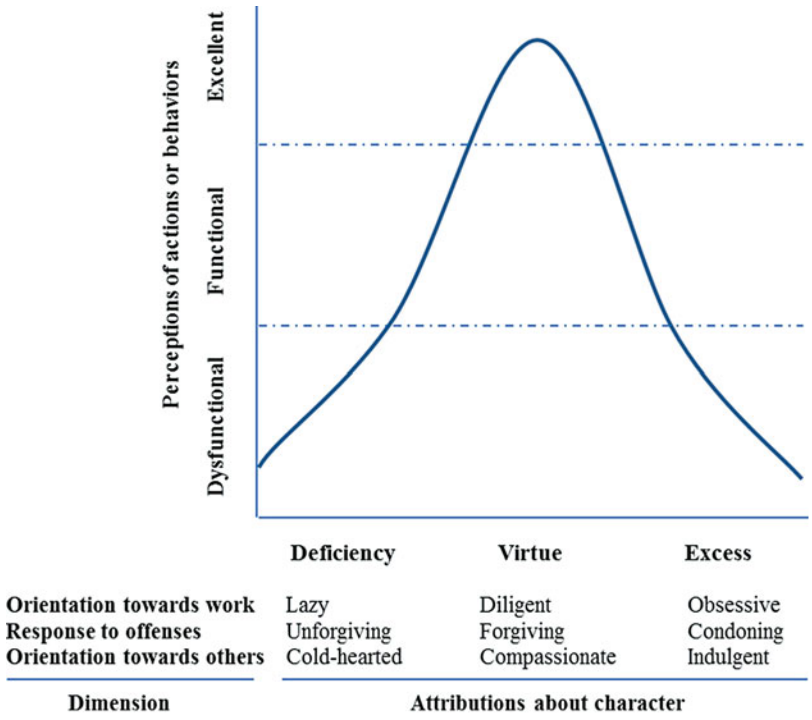


Fig. 1 Virtue as an optimal point of excellence (Bright et al. 2014, p. 451)

Growth is the only moral end (in Kadlec 2007, p. 46). Although of infinite variability, growth for Dewey is directional and the organizing principle of virtue. His experiential rather than intellectual conception of human fulfillment (Carden 2006) is inductive of individual experience rather than being theoretically and normatively imposed. This reflects again Aristotle's thought that a personal practice of virtue constitutes its apprenticeship. Far from approaching virtue dogmatically, Dewey avoids presenting any list of virtues or behaviors. Faced with situations of moral dilemma in the experience of our ambiguous and paradoxical lives, his conception of virtue ethics questions our deliberation and self-determination as the basis for our decisions and actions:

> the thing actually at stake in any serious deliberation is not a difference of quantity but what kind of a person one is to become, **what sort of self is in the making and what kind of a world is in the making** ? (Dewey, in Teehan 1995, p. 846)

The difference in quantity Dewey stresses is that the aim is not to seek *more* virtue.

Dewey's pragmatic vision placing responsibility for an individual's behavior in a context of personal growth and social impact helps clarify the notion of managerial exemplarity development. As a social phenomenon, mirroring the transformational dynamics of virtue ethics, it offers the individual manager the means of projecting a possible, desired future self.

But virtue ethics is sought for in itself, not as an instrument serving a purpose. Based on an ideal of well-being for oneself and for others, virtue is moderation between extreme behaviors. It is contingent, interrelated, and interdependent. We develop it through examples of virtuous behaviors and observed practices. Gini quotes Aristotle: *"the spirit of morality . . ./. . . is awakened in the individual only through the witness and conduct of a moral person"* (in Brown et al. 2005, p. 119).

Seen through Dewey's perspective virtue is a transformational source of becoming. An agent deliberately choosing a conduct in face of moral dilemma questions himself based on the future self she/he wishes to be and the future world that s/he actually wants to participate in creating.

We can find a strong resonance here to the existentialist theory of Sartre that *man is what he does "l'homme est. ce qu'il fait"* (1970, p. 1), in that the essence of man is not predetermined, but is the fruit of his choices and deeds. Similarly, Hadot's concept of *Philosophy as a way of life* (1995) anchors virtue in one's intentions and actions, promoting regular practice as the only way to develop it.

Virtue ethics was initially a manner to lead an excellent life in society, based on moderation, sagacity, and the ability to introspect one's behaviors and attitudes by regular virtuous practices. Both Greek and recent philosophers emphasized the deliberative responsibility we have for our decisions and actions as the main source for developing our virtue.

We are suggesting that through the lens of virtue ethics, exemplarity plays a substantial role in behavioral contagion in the workplace. But there are two distinct definitions and associated organizational dynamics that we wish clarifying to understand how examples operate.

Plato's Abductive Exemplarization or Aristotle's Inductive Exemplification

The notion of Example varies from Plato to Aristotle, from an absolute vertical alignment to a relative horizontal alignment. The consequences of these two meanings applied to management open up specific perspectives of organizational understanding. An Example can be at the same time a source of inspiration of principles and values or the origin of normative mimetic dynamics (Major 2015) based on prototypical group referents (Hogg 2001).

For Plato (Phaedo, Timaeus), the example "*paradeigma*" *(παραδειγμα) is* Idea, Form or Principle; a unique, immutable, and universal archetypal source within the intelligible world, "eidos" *(εἶδος),* from which are formed the elements of the sensible world in which humankind lives. Humans must tend towards these principles and respect their qualities, so as to perfect themselves towards excellence (*arété*), the very attribute of the Example.

> I desire, therefore, that the beauty with which the sky is decorated should be the symbol of this other beauty, and serve for our instruction, as a drawing drawn and executed by Daedalus or any other sculptor or painter would be for a geometrician. While considering

> them as masterpieces of art, a geometer would think it ridiculous to study them seriously, in order to discover the absolute truth of the relations between equal, double, and other quantities. Plato (Republic, VII 529-530)

The Platonic approach is primarily philosophical, ontological (Gelley 1995) and abductive. We attribute to him the typology of the managerial Example, as a source of inspiration for values and principles.

On the other hand, Aristotle (Rhetoric) proposes an Example of cognitive, pragmatic, rhetorical, and inductive nature. His example is the specimen illustrating an argument, a concept, a pattern, or a set whose parts are similar. The Example has the power to represent the whole, as characteristic of this set or representative of the concept or events (Goodman 1997).

> The means of actual or apparent demonstration are here, as in the dialectic, induction, the real syllogism, and the apparent syllogism. In fact, the example is an induction, and the enthymeme is a syllogism. I call enthymema an oratory syllogism and an oratory induction.... (Aristotle, Rhetoric, I. II, VIII.)

Thus, we propose another typology of the Example: the referent and prototypical manager, an example of professionalism, source of confirmation of customs, traditions and practices of a group, maintaining and developing its collective identity (Fig. 2).

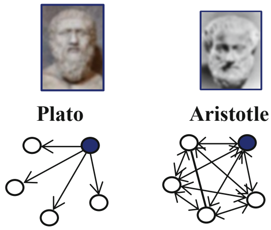
Our current dictionaries provide two corresponding definitions of the word *example*: *"one that serves as a pattern to be imitated or not to be imitated"* and *"one that is representative of all of a group or type", "an instance (as a problem to be solved) serving to illustrate a rule or precept..." (Merriam Webster, 2017)*. With these distinctions of the word example's meaning in Western language and philosophy, let us turn toward literature for further exploration before visiting the seventeenth- to nineteenth-century philosophers' debate on the limitations of exemplarity.

In literature, *exemplarity* has a very specific meaning and represents a field of research in its own right. It is the ability of a book or a passage to be exemplary of a principle, to represent it in condensed and essential form. The example functions as a space where a historical narrative confronts its own rhetorical ties and where new forms of normality can be forged from previous ones (Giavarini 2008). According to Macé (2007), the production of examples is:

> ... to create an empirical datum, to provide data validating a law without necessarily proving it, by simply constructing an empirical datum correlative to a corpus of beliefs or theoretical propositions, to a discourse. (Macé 2007, p. 28)

We find typologies of the example in literature precisely reflecting the two meanings addressed by the Greek philosophers, one as a reference and another as a model. The first, the *exemplum*, derives from *exemplification*, a narrative example produced by singular cases and summoned in a narrative by reconciliation, illustrating an established reasoning. The second is the *exemplarization* of narrative sources, where the event becomes exemplary, illustrating a model to be imitated, or to be rejected.

Fig. 2 Distinctions of Example between Plato and Aristotle



	Plato	Aristotle
Image - movement		
Manifestation	Unique	Multiple
Reference	Internal	External
Nature	Absolute	Relative
	Philosophical	Pragmatic
	Ontological	Rhetorical
Model	Standard	Referent
Norm as	Inspiration	Representation
Followed for	Principles	Practices
Leadership	Exemplarity	Role-modeling

The first, by saturation, uses many examples, the comparison of which reveals a common structure or property, corresponding to the *similar* of Aristotle.

> The example here plays an inducing role: it reveals an empirical datum already having some general form, it does not have the role of modifying or making appear new hypotheses. (Macé 2007, p. 29)

The second typology is the paradigm, which Macé (2007) calls the exemplary example.

> It has a rather metaphorical function. It can present itself alone, and acts as a reduced model, the "title" of a problem; a concrete, more graspable and easy to manipulate image, an abstract notion or proposition. . ../. . . This type of example plays a heuristic role; its detailed observation gives rise by abduction,. . ./. . . to new theoretical propositions, at first unpredictable. (Macé 2007, p. 29)

Literature refers to the two conceptions of example according to Plato and Aristotle. The example is therefore considered as abductive, passing from the general to the particular and inductive moving from the particular to the general (Goodman 1997). It is similar to the paradigm explicated by Kuhn (1970), an exploratory metaphor for the future when the example is the foundation of a concept or conversely anecdotal of the past when the example creates a reference to situate an argument or a membership. This later rhetorical example, representative of proven or alleged facts, was widely used in the Middle Ages to convert pagan populations to Catholicism but also since the Chinese Cultural Revolution to strengthen patriotic values among the masses with the objective of influencing their behaviors.

Studying these goal-directed approaches of the use of examples informs us on how exemplarity can act to influence our compliance to norms and/or inspire us to stretch towards a model we embrace. They can influence our experience and attitude towards both personal and organizational change, consciously or unconsciously.

The Rhetorical Exemplum: Propaganda Tool in the Middle Ages and Today

The exemplum is a rhetorical narrative form, in the exemplification approach of the example according to Aristotle. As a form of persuasion for the dissemination and promotion of an idea or a principle, this form obeys specific laws. The example's narrative, through a proven structure and the combination of the audience's cognitive and affective stimulations, is intended to generate a predictable, conditioned imitation.

Christian didactics during the Middle Ages made extensive use of the *exemplum* as a means of persuading pagan crowds of the merits of Christian dogma. By referring to the ultimate example, to the facts of the life of Jesus Christ, ecclesiastics created a normative function of Christian exemplarity (Gelley 1995). Erasmus (1512) develops the exemplum in several works, including *De duplici copia verborum ac rerum*, where he describes the purpose of his work and the utility of the exemplum in persuading an audience:

> . . . provide a method to enrich speech. If the exemplum, which is a useful reminder to persuade of a real action or one presented as such, is the main resource available to the speaker in his quest for arguments, it plays as well the main role in acquiring abundance (copia), whether in convincing, moving or charming. (Erasmus 1512, in Bierlaire 1995)

In this rhetorical application, the example does more than illustrating a point; it has a powerful capacity to induce a reproductive mimicry in the receiver through a normative, conformist, even authoritarian impact. Acting with a goal of behavioral change, it uses the narrative power to anchor a virtuous and poignant argument into the listener's imagination. The memorization through the experience of a theatrical sermon, the actions of the exemplary character, and the results it achieved, borne by the meaning of a powerful narrative, make it possible to modify behaviors to conform to the conveyed precepts. This assumes that two elements intervene in the process of imitation learning: one cognitive and the other emotional. Cognitive functioning operates a selection and representation of what is important in the actions and objectives of the model under consideration. The affective creates the motivation to reproduce those acts by the attraction of the subject for these cognitive representations (Warnick 2008).

Later on, collections of exemplum were widely distributed in the sixteenth and seventeenth centuries, and the style was broadly used in Renaissance literature. In a process very similar to that of the *Exemplum*, Bandura's social learning theory (1977) suggests an attraction to the example by a contrasting staging, a physical amplification (visual, auditory) that strikes the imagination, accompanied by a meaningful narrative that encourages cognitive memorization.

The use of examples as propaganda tools continues to this day. According to an official epidictic rhetoric amplifying the praises of individuals having accomplished great things, the China revolutionary state and Chinese government mediate stories of role-models to this day (Zhang 2008). Their aim is to persuade the population to imitate the actions of personified examples in favor of the Cultural Revolution or of current government programs, thanks to a variety of objects, writings, images, films, cartoons, TV series, music lyrics, and monuments.

Based on the potential for behavioral change offered by the use of examples, current marketing research uses neuroscience to analyze consumer reactions and focuses on the power of story-telling to increase brands' influence on their target consumers' behaviors.

With the powerful impact examples have on learning and on behavioral change, their normative quality can represent a menace to human potential development and free thinking.

The Example during the Enlightment: A Threat for the Rational Individual?

Philosophers Locke (1693), Rousseau (1762), Kant (1790), and later Emerson (1850) and Nietzsche (1874) analyzed the imitation of examples as a source of learning. During this period of human emancipation, while confirming the pedagogical efficiency of exemplars, these philosophers questioned their effects on the development of the free-thinking individual. They emphasized the risks of mimetic dynamics threatening a newly discovered capability for the individual, rational, and critical thinking person, i.e., the full human potential. They considered the imitation of examples as deforming a mind capable of, and needing to, evolving on its own. Developing this rational autonomy was seen as imperative to avoid relinquishing the true intrinsic and creative human potential. These philosophers valued in the exemplar that she provided inspiration as one who had succeeded in freeing herself from the constraints of traditional thought.

These thinkers see exemplarity in its ability to convey the inspiration to fulfill oneself as a rational, thinking individual, to become who we are, as the individual perceived as exemplary has become him/herself. Beyond demonstrating what it takes to be like the other, that we associate with role-modeling, the *exemplar* becomes a means of transformation, manifesting who one could actually be *in becoming oneself*. Conversely, when the example is imitated without consciousness of the virtues, values, and principles that guide him/her, the follower is merely the mime of others' gestures and behaviors, failing to realize the freedom of his/her own individuated existence. This amounts to taking the exemplar as a reference for what she/he does and ignoring the significance of *who she/he is*.

Further, Emerson warns us of our tendency to idolize exemplars rather than take what they represent, their values, principles, and inner attitudes as example:

> The power which they communicate is not theirs. When we are exalted by ideas, we do not owe this to Plato, but to the idea, to which also Plato was debtor. . ./. . . Our delight in reason degenerates into idolatry of the herald. (Emerson 1850, p. 1)

In turn, Nietzsche condemns the "laziness" of men to follow opinions and conventions, considering the individual who bases his action on the action of another becomes an element of the *grotesque human herd*. (Nietzsche 1874).

If we project this dichotomy between imitation and the development of free thinking onto organizational life, we can anticipate two mechanisms and effects of (a) managerial and (b) referent exemplars.

On the one hand this contrast can be illustrated by employees conforming to norms established by the power and actions of a superior, a mimetic act requiring little critical thinking and strongly encouraged by corporate evaluation and reward systems. The normative tendency of these systems contributes to the alignment of behaviors within the organization and thus to a notion of productivity. But these performance measures and rewards can also contribute to disastrous economic and social consequences such as the subprime collapse (Peretti 2010) where companies encouraged behaviors within a gain-maximizing system are given free rein.

On the other hand, an associate can be inspired to act in conscience on principles and values to which s/he wishes to adhere, through the observation of attitudes and behaviors of a coworker or manager exemplifying them. We see in these transformational dynamics the power of exemplary virtue ethics. This inspiration creates in the agent the desire to adopt behaviors constructive to his/her development and that contribute positively to the organization (Brown and Treviño 2014). Furthermore, according to the results of our empirical research, a manager's alignment with the organization increases employees' perception of his/her managerial exemplarity (Major 2015).

The apparent dichotomy we stress here between conformism and inspiration is solely to highlight these two exemplar dynamics. In the organizational environment, these complement one another more than they oppose each other, but the tension arising from their epistemological differences is at the heart of philosophical debates to this day. For this reason, we must question the place examples, exemplars, or heroes hold in our contemporary world.

Postmodern Exemplarity

Exemplarity in Quest of an Egalitarian Citizen Responsibility

Has the notion of an example to be followed survived the philosophers of the Enlightenment period and its exponential development of rationality and individualism in the modern world? The concept of a human being subjected to the mysteries of the universe has given way since the Enlightenment to one of a rational, autonomous, and individuated entity. This radical evolution of the conception of self has paradoxically created a society in which the individual and the subjectivity of individuality reign. Does this value of the individuation undermine the willingness to serve the common good? (Gomá Lanzón 2009). Our society has progressively moved away from forms of civilization built on a collective consciousness and discipline, where the community benefits from a certain effacement of individual egos. How can our production-oriented societies and cultures now contain this subjective individuation? What is it that civilizes, socializes and encourages virtue in a society where one turns more and more towards a self-referential and intersubjective truth? (Gomá Lanzón 2009).

Here we shall first consider exemplarity as an imperative of a free citizen in order to protect our democratic societies from a potential return to forms of barbarism (Gomá Lanzón 2009). We will then explore the intrinsic quality of an exemplar as creating meaning for the individual because it allows him to reconcile his ideal of what should be with the reality of what is, by observing an ideal of what should be manifested in actual reality (Ferrara 2008).

From antiquity to the seventeenth century, the theory of the imitation of nature, of our ancestors, of Platonic ideas, was universally accepted in the arts and sciences. The trace of the theory of imitation disappeared in the eighteenth and nineteenth centuries, mainly by the preponderance of a nascent modernity whose principle of autonomy rejected the idea of imitation (Gomá Lanzón 2009).

> It is properly speaking this, the valorization of imitation, which seems so contrary to the dominant principles of autonomy of the moral subject. The rejection of imitation in general as a legitimate moral attitude must be analyzed as deriving from an attitude (Doron 2007, p. 8)

For ancient Greeks as well as a majority of spiritual and professional traditions of the world, transmission takes place by a learner observing a master who shows the way through his daily actions and behavior. We observe nevertheless that the debate on the value of imitation and example remains to this day.

Towards the end of the eighteenth century, the cosmic hierarchy of the premodern world ceased to represent an adequate image of the world, leaving room for individuals to experience an emerging subjectivity. Subjective individuality resides in the qualities of the personal ego. The notion of exemplarity has been gradually excluded, though until recently Western society has succeeded in containing this movement with two social instruments that guide the ego towards civic virtue: collective beliefs and customs, including particularly religion and patriotism (Gomá Lanzón 2015).

Are we confronted today in our democratic countries with societies where the value of subjective experience minimizes the collective consciousness and the willingness to work for the common good? Gomá Lanzón (2009) anticipates a risk of Western society's collapse towards an exacerbated vulgarization of individual subjectivities, illustrated by behaviors exhibiting our differentiated personalities to an extreme. Any visit to online social networks and forums confirms this perception. But for Gomá Lanzón (2014), it is not because our consideration of ourselves has evolved over the centuries and that individual subjectivity prevails that our ego is in any way emancipated...

> To live more freely and without coercion is no doubt a good thing, but it does not ensure that the manner in which we exercise that superior freedom is correct as well. Sometimes an unfortunate conceptual slip occurs when we think that because we are more free – which is necessary for virtue – we have been endowed with virtue, which is not true because the liberation of the ego does not guarantee emancipation. If we open our eyes we will realize that what has mainly freed this liberated but not emancipated subjectivity has been, in fact, large doses of vulgarity. Nevertheless, vulgarity, made respectable thanks to the egalitarian principle that generates it, can also be understood as a non-civilized form of exercising freedom, another form of barbarism. (Gomá Lanzón 2014, p. 14)

While the repeated practice of good habits allows the ego to develop virtue, a democracy without morals could fragment the population into as many subjectivities, leaving the individual solitary in his/her path towards some possible civic virtue. One of the consequences of this generalized individual subjectivity is that the private sphere has become synonymous with unlimited freedom. Yet the notion of Exemplarity is an ideal which includes the public and private spheres: one can only be exemplary if one possesses the *uniformity of life* of Cicero (Bohn 1856). Someone publicly inspires confidence in their personal exemplarity when they exhibit integrity between their public and private lives (Gomá Lanzón 2014). Brown and Treviño (2014) confirm this.

To be considered an ethical leader:

> . . .a leader must be seen as both moral person and moral manager. The moral person aspect of ethical leadership reflects the leader's honesty, integrity, trustworthiness, caring about people, openness to input, respect, and principled decision making. As moral managers, ethical leaders use leadership tools such as rewards, discipline, communication, and decision making to communicate the importance of ethics, to set standards, and to hold employees accountable to those standards. (Brown and Treviño 2014, p. 587)

Our field research confirms this notion by two fundamental characteristics of the exemplary manager as perceived by employees: the exemplary manager is an ethical person by their interpersonal behaviors as well as an ethical manager by their way of managing the activity and the team (Major 2015).

The societal opportunity according to Gomá Lanzón (2015) is to regenerate an individualized notion of exemplarity, freeing it from historical elitist conceptions where the subject seeks this exemplarity among the aristocrats, princes, powerful, great thinkers, or heroes. It then becomes a question of empowering the free citizen of our democracies to maintain the societal construction of our civilization by the conscious development of civic and social virtues in everyone. This conception of citizen exemplarity is close to Thévenet's (2008) *ethics of proximity*. For Thévenet, every employee and manager has the responsibility to accomplish a clarification of their motivations, actions, and projects. This implies that we conduct a personal reflection formulating our vision of the world and our conscience of what incites and motivates our behaviors (Thévenet 2008).

We will explore further the question of intention and attitude, after understanding how an exemplary person or manager represents a bridge between our ideals and manifested reality.

Exemplars as Manifested Ideals, the Reconciliation of Paradoxes

According to Ferrara (2008), the world is made up of three major forces, the first of which is *the force of what is; things as they actually are*. The second one is the *force of what should be, of our ideals*. It gives meaning to our existence and we retain our ability to compare reality with the standards of what we believe should be. We generally think that the world should adapt to our standards and not the other way around. These two forces of reality and ideals form the keys to any system of values and beliefs of a given group. But if these two dynamics were the only ones to form our existence, we would feel like disempowered prisoners of an irreconcilable discrepancy between the reality of what is and what should be. The third force is therefore the force of *what is as it should be*, *the force of the Example.* It reconciles the two forces of what is and what should be, by creating a bridge between our ideals and their concrete manifestation (Ferrara 2008). While the normative example illustrates a well-known and expected quality of exemplarity, such as the integrity of a political figure, it should be distinguished from the innovative and differentiating example for which there is no precedent, such as political, scientific, or cultural revolutions as well as certain great creations.

> While the force of what is accounts for much of the continuity of our shared world over time, and the force of what ought to be accounts for our sense that the world is a place worth living in, the exemplarity of what is as it should be accounts for much of the change undergone by our world over time, for the rise of new patterns and the opening of new paths. (Ferrara 2008, p. 3)

De facto, exemplars simultaneously create the abductive awareness of a state of reality not yet identified and therefore its possibility, and the corresponding inductive standard of what is. Ferrara (2008) joins here a notion of creative genius that Kant (1790) attributes to exemplars, while distinguishing the two meanings of example exposed earlier. We now see these distinctions as a thread from ancient Greek to postmodern philosophers, through literature as well as developed in Kuhn's scientific discourse on paradigms (1970).

Exemplarity as Consciousness, Intention, and Attitude

Exemplarity and *ethics of proximity* (Thévenet 2008) reflect the intentional dimension of our inner self as being upstream to its manifestation in thoughts, words, and deeds. This would equate to making our attitudes conscious, for example, by practicing *spiritual philosophical exercises* (Hadot 1993). Hadot emphasized that ancient philosophers held themselves to daily practices in order to live their precepts and teachings. These exercises allow us to develop our personal virtue through an inner work, checking our perceptions and representations, examining our conscience, premeditating evils to arise, dialoguing, listening, writing a personal diary, or contemplatively meditating. . .. What impact would these exercises, that develop a consciousness of our internal attitudes and dimensions, that give insights to the distortions of our egos, have on those in our organizations who have responsibility to manage others? How would these practices create deep change, beyond superficial structural organizational change, an actual transformation of intentions and attitudes, antecedents of our manifested behaviors?

We can deepen this exploration of exemplarity and virtue ethics with the notion of attitude, dear to Paul Hadot who considers philosophy as an integral experience composed of physical, spiritual and discursive practices, cultivating the conversion and transformation of our being (Hadot 1995). According to him, philosophical discourse cannot be understood outside the context of the lifestyle it reflects and the attitude, worldview, and existential choices that are at its origin. The individual's way of life gives philosophical discourse its meaning, beyond the sole dialectic, while allowing this discourse to reaffirm the existential choice of the philosopher. Stoic, Skeptic, Epicurean practices and those of other philosophical schools can be considered, by their daily application, as indicative of a desire to bring into coherence a choice of existence, a life attitude and a discourse.

> These rules of life or action are much more than the mere application of dogma and constitute the circumstantial manifestations of the fundamental attitude. Yet that is not entirely correct, because it is much less a manifestation – the attitude being somehow given beforehand – than an always-renewed attempt to make oneself adequate to the attitude defined through one's actions. (Doron 2007, p. 6)

Again we find an existentialist conception close to Sartre (1970), that *man is what he does*, and to Dewey (1980), that the choices and acts that we pose today in the face of ethical dilemmas shape the individual that we will be tomorrow.

Doron (2007) further suggests that adherence and commitment to a worldview cannot be fully rationalized or articulated in rational terms. We see in it one of the very origins of the power of example, *the foundation of which is the attitude of the exemplary individual*.

> The most obvious example of this non-rational adherence to a worldview manifests itself in the role played by examples and exemplary personalities for centuries, which certainly give rise to a very specific type of adhesion, which can only be interpreted in terms of attitudes. It can certainly be argued that exemplars embody principles that can be discussed and this is no doubt true; but most often they offer "à nu" (as is) a specific attitude to the world, very difficult to interpret in rational terms . . ./. . .. He who imitates an example, like the one who agrees to submit his moral life to a master, says "yes" to a particular form of life and accepts in advance without discussion all the specific actions that will result from it. (Doron 2007, p. 8)

Does the human being, manager or employee need examples to validate his beliefs and convictions, to find meaning and continue to believe in a better world? By her attitude, the exemplar plays a reconciling role in our capacity to believe in our ideals. She offers us a living manifestation of our ideal in reality, originating in her most inner attitude, the vector between intentions, aspirations, and manifested behaviors.

Conclusion

Exemplarity is at the heart of our functioning in society and one of its dominant spaces, the workplace. It is all the more important because today we face complex organizational, economic, and environmental stakes and consequences of our decisions in responding to ethical dilemmas. Moreover, increased individual freedom in our democracies and high levels of subjective self-referenced reality make personal exemplarity a societal stake for our civilization.

This study of exemplars and exemplarity throughout the ages allows us to observe the dynamics of normative collective imitation, enabling us to assimilate and take form through the norms an organization's prototypical referent can create. We distinguish these underlying forces from the influence of exemplars whose inner intentions and virtuous behaviors, when experienced first-hand, touch and inspire us to develop our best intentions, transform ourselves, and grow into better colleagues, managers, and human beings.

From its pragmatic rhetorical function to the capability reconciling our existential paradoxes, the notion of exemplarity is a door opening onto a self-reflection. Today, for those who have responsibility for others, this reflection becomes an imperative. It prompts managers to cultivate self-knowledge beyond know-how, *knowing to be* and *uniformity of life*, allowing to transcend and integrate the wholeness of their so essential role in organizations.

So what does this tell us about personal and organizational transformation?

Aristotle gives an eminently political dimension to virtue; it can only manifest itself in a social context. Dewey suggests a transactional dimension, mutually constituting our being and the society in which we live. Our individuality is in fact the result of our interactions with the social world in which we evolve and transactions between this world and ourselves (Teehan 1995). A mere mirror of individuals, society, and organizations are but the result of the interactions of those who constitute it. Thus, any individual choice that defines action can only take into account the impact on the moral character of the agent while considering its effect on the relationships to the world in which she/he participates.

To become virtuous, one must cultivate the ability to observe the good practices of others. This dimension is most often operationalized in contact with parents, elders, teachers, colleagues, and managers who influence us during our formative phases (Murphy 1999). Virtues are thus assimilated throughout our life by others, from examples and individuals we perceive as exemplary. Virtue ethics considers virtue as a manifest, visible characteristic of action. If we wish to transform ourselves and/or to act on organizational transformation, developing a virtuous introspection, self-practice, and presence in the workplace constitutes a constructive starting point.

There is today an imperative for a profound individual and collective renewal of consciousness to adapt our society that is facing unseen challenges and opportunities. We now need to integrate the dimensions of virtue back into business education and into the development of managers. They must not only produce results as has been expected of them for centuries. Through their responsibility for others, they have also the charter to transform the workplace into a virtuous social and spiritual space... through their own transformation.

The managerial role has never been an easy one; it is now requiring work on yet deeper and fulfilling internal levels of the self.

Cross-References

► Cultivating a Global Mindset Through "Being-Centered" Leadership
► It's Not What You Do, It's Who You Are
► The Untapped Power of Imagination in the Workplace
► Self-Awareness in Personal Transformation
► Self-Knowledge: Master Key to Personal Transformation and Fulfillment

References

Amblard M (2009) Vers une rationalité mimétique. In: Amblard M (ed) La rationalité: mythes et réalités. L'Harmattan, Paris

Bandura A (1977) Social learning theory. Prentice-Hall, Englewood Cliffs

Bierlaire F (1995) L'exemplum chez Érasme: théorie et pratique. Mélanges de l'École française de Rome. Italie et Méditerranée T 107-2:525–549

Bright DS, Winn BA, Kanov J (2014) Reconsidering virtue: differences of perspectives in virtue ethics and the positive social sciences. J Bus Ethics 119:445–460

Brown ME, Treviño LK (2014) Do role models matter? An investigation of role modeling as an antecedent of perceived ethical leadership. J Bus Ethics 122:587–598

Brown ME, Treviño LK, Harrison DA (2005) Ethical leadership: a social learning perspective for construct development and testing. Organ Behav Hum Decis Process 97:117–134

Carden S (2006) Virtue ethics: Dewey and MacIntyre. Continuum International Publishing Group, London

Cialdini RB (2005) Basic social influence is underestimated. Psychol Inq 16-4:158–161

Cicero MT (1856) In: Bohn HG (ed) Cicero's three books of offices, or moral duties, (trad.: Edmonds CR)

Dewey J (1980) In: Boydston JA (ed) The middle works of John Dewey, 1899–1924, vol 1–15. Southern Illinois University Press, Carbondale

Doron C-O (2007) Introduction à la notion d'attitude à partir de Pierre Hadot. Séminaire Attitudes et philosophie morale, Centre Georges Canguilhem, avec Emmanuel Halais

Emerson RW (1850/1996) Representative Men: seven lectures. Harvard University Press, Cambridge, MA. http://en.wikisource.org/wiki/Representative_Men/Uses_ of_Great_Men

Erasmus (1512) De duplici copia verborum ac rerum. Paris, juillet 1512. In Bierlaire, 1995

Ferrara A (2008) The force of the example: explorations in the paradigm of judgment. Columbia University Press, New York

Gelley A (1995) Unruly examples: the rhetoric of exemplarity in literature and philosophy. Stanford University Press, Stanford

Giavarini L (2008) Construire l'exemplarité: pratiques littéraires et discours historiens (XVI-XVII$^{\text{ème}}$ siècles). Éditions Universitaires de Dijon, Dijon

Gibson DE (2004) Role models in career development: new directions for theory and research. J Vocat Behav 65:134–156

Gomá Lanzón J (2009) In praise of naivety. In: Conference at the Cervantes Institute of New York. 17 Feb
Gomá Lanzón J (2014) Public exemplarity, English translation, in press
Gomá Lanzón J (2015) Public exemplarity. English translation (in press)
Goodman N (1997) Languages of Art, an approach to a theory of symbols. In: Warnick BR (ed) 2008, Imitation and education – a philosophical inquiry into learning by example. State University of New York Press, Albany
Hadot P (1993) Exercices spirituels et philosophie antique. Institut d'études Augustines, Paris
Hadot P (1995) Qu'est-ce que la philosophie antique ? Folio, Paris
Hogg MA (2001) A social identity theory of leadership. Personal Soc Psychol Rev 5:184–200
Kadlec A (2007) Dewey's critical pragmatism. Lexington books, New York
Kant E (1790) In: Critique du Jugement, (trad.: Barni J), 1846. Paris: Librairie Philosophique de Ladrange. http://gallica.bnf.fr/ark:/12148/bpt6k54007842
Khurana R (2007/2010) From higher aims to hired hands: the social transformation of American Business Schools and the unfulfilled promise of management as a profession. Princeton University Press, Princeton
Kuhn TS (1970) The structure of scientific revolutions. University of Chicago Press, Chicago
Lewis M (2010) The big short: inside the doomsday machine. W. W. Norton & Company, New York
Locke J (1693) Thoughts on education. http://www.fordham.edu/halsall/mod/1692locke-education.html
Lockwood P, Kunda Z (1997) Superstars and me: predicting the impact of role models on the self. J Pers Soc Psychol 73:91–103. In D. J. Moberg, 2000
Macé M (2007) 'Le comble': de l'exemple au bon exemple. In: Bouju et al (eds) Littérature et Exemplarité. Presses Universitaires de Rennes, Rennes
Major R (2015) L'exemplarité managériale perçue par les collaborateurs: Dimensions et effets. Doctoral dissertation at IAE Aix-Marseille Graduate School of Management, defended 16 Dec
Melkonian T, Monin P, Noorderhaven N, Rouzies A, et Timmers A (2006), Être juste, ou être exemplaire ? La fusion Air France-KLM à la loupe Rev Fr Gest, 164: 229–252
Moberg DJ (2000) Role models and moral exemplars: how do employees acquire virtues by observing others? Bus Ethics Q 10(3):675–696
Montmorillon B (1999) Théorie des conventions, rationalité mimétique et gestion de l'entreprise. In: Koenig G (ed) De nouvelles théories pour gérer l'entreprise du 21ème siècle. Economica, Paris, pp 171–198
Murphy PE (1999) Character and virtue ethics in international marketing: an agenda for managers, researchers and educators. J Bus Ethics 18(1):107–125
Nietzsche F (1874) Troisième Considération Inactuelle: Schopenhauer éducateur, (trad.: Albert H). Wikisource.org. p 7
Nohria N, Khurana R (2008) It's time to make management a true profession. Harv Bus Rev October:70–77
Peretti J-M (2010) Tous vertueux, un défi actuel pour les entreprises. In: Tous vertueux. Eyrolles, Paris, pp 19–24
Peterson C, Seligman MEP (2004) Character strengths and virtues: a handbook and classification. Oxford University Press, New York
Rival M, Major R (2016) What ethics for Lobbying and What for? The case of French lobbying consulting, Journal of Business Ethics, published online April 5th, https://doi.org/10.1007/s10551-016-3141-7
Rousseau J-J (1762) Émile. Librairie Duchesne, Paris
Sartre J-P (1970) L'existentialisme est un humanisme. Nagel, Paris. (1946)
Shapiro E (1995) Fad surfing in the boardroom: reclaiming the courage to manage in the age of instant answers. Addison-Wesley Publishing Co., New York
Simons T (2002) Behavioral integrity: the perceived alignment between managers' words and deeds as a research focus. Organ Sci 13(1):18–35

Solomon RC (2003) Victims of circumstances: a defense of virtue ethics in business. Bus Ethics Q 13(1):43–62
Sounillac JP (2015) CHRO Faurecia. Global Faurecia HR Convention, Barcelona
Teehan J (1995) Character, integrity and Dewey's virtue ethics. Trans Charles S. Peirce Soc 31(4):841–863
Thévenet M (2008) L'éthique de la proximité ou l'éthique pour tous. Revue internationale de Psychologie XIV:21–30
Treviño LK (1986) Ethical decision making in organizations: a person-situation interactionist model. Acad Manag J 11(3):601–617
Warnick BR (2008) Imitation and education – a philosophical inquiry into learning by example. State University of New York Press, Albany
Wheeler L (1966) Motivation as a determinant of upward comparison. J Exp Soc Psychol Suppl 1:27–31
Zhang M (2008) Rhetoric in the service of reform: a study of Chinese discourse in transition. Intercult Commun Stud XVII-2:304–318

Creativity to Flourish: Pathways Toward Appreciative Leadership

Miriam Subirana Vilanova

Contents

Abstract

Most of the challenges in organizations don't need problem-solving but benefit from building and maintaining relationships. Therefore, a relational, conversational, social constructive approach to leadership is needed. Such a concept of

M. Subirana Vilanova (✉)
Institut Dialogue and Appreciative Inquiry (IDEIA), Barcelona, Spain
e-mail: miriam@institutoideia.es

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_64

leadership focuses on mobilizing our creative potential and returning to our creative source. This chapter proposes pathways into the power of our presence that will help us develop our full potential as appreciative leaders, coaches, or thinking partners.

Keywords
Creative source · Leadership · Heartfulness · Presence · Flourishing · Creativity

Introduction: A New Look at the Concept of Leadership

> Everything the appreciative leader does conveys to others a genuine, respect-filled, positive intention to produce enduring change for world benefit. Reality for the appreciative leader is not a given: It is there for our active shaping in the direction of higher purposes. David Cooperrider, prologue to *Appreciative Leaders: In the Eye of the Beholder* (Schiller et al. 2001: 17).

From the start of the new century and with the technological changes in our world, we have been discovering more about what leadership means and what it requires in a particular situation. In reality we only touch on the surface of what leadership and the concept of leadership mean in our changing era. As our environment continues to change, we also need to look again at how the concept of leadership is evolving. And it might well be that, in accordance with what people like Otto Scharmer (theory U) and David Cooperrider (appreciative inquiry) say, we not only should look at what we can learn from the past, but we should also reflect on our journey when we take a look back from an imaginary position in the future (Scharmer 2007; Cooperrider et al. 2008). Adopting this perspective of "looking back from the future" adds a new dimension to the concept of leading and being appreciative leaders.

A leader that is appreciative is inclusive, humble, serving, open to feedback, and able to adapt to changes rapidly as she/he is not "stuck" in her/his position. An appreciative leader anticipates the future and uses positive images and language of abundance that make people and resources flourish. Whitney et al. (2010, 3) use the following definition: "Appreciative leadership is the relational capacity to mobilise creative potential and turn it into positive power – to set in motion positive ripples of confidence, energy, enthusiasm and performance – to make a positive difference in the world."

What is needed to be or become such an appreciative leader, coach, or thinking partner? This chapter addresses these four needs:

First, a genuine understanding of how generative conversation and appreciative inquiry create new, multiple perspectives, which turns leadership into a realm of social constructionism.

Second, the insight that appreciative leadership is both the way and the objective and is ideally to be mirrored in the other person; it needs creativity to mobilize creativity.

Third, there's the reciprocity between expressing the best of oneself and flourishing together as a leadership practice.

Fourth and finally, 11 "new" leadership qualities and attitudes are identified which together develop the full potential of the appreciative leader, who only can really blossom when being fully present.

The reader mustn't expect a fully structured "recipe" nor a training scenario. The process of becoming an appreciative leader is not built on logic, but on wholeness and oneness. These are by far the best perspectives to read and appreciate the text. The same principles that are covered in this chapter will be active when reading it, and the author can only hope that this reading will nourish multiple perspectives on appreciative leadership.

The Construction of Leadership

> A paradigm shift occurs when a question is asked inside the current paradigm that can only be answered from outside it. Marilee Goldberg (in Vogt et al. 2003: 3).

Conversations Create New Realities

We live in the reality created by our conversations and by the stories we tell ourselves. My proposal is that we have conversations which are generative of inspiring realities opening us to other possibilities and that we tell ourselves stories which nourish our love of life and our generosity, positive emotions, and good experiences. Let us think about other ways of seeing, living, and talking about adversity. The words that we use to define problems are negotiable; we can use new languages to move forward.

As leaders it is necessary to promote conversations that provide sense, generate meaning, and move the energy necessary to create the desired future. What do the generative conversations generate? A conversation is generative when we help each other see "what could be" and "what is possible." This shared vision attracts us and motivates us to undertake actions together. They are actions that have meaning and bring significance to our lives, our relationships, and our organizations. They are actions for a common good motivated by a shared vision.

As a coach I accompany the person in opening up generative conversations that allow them to express their full potential in their social relational context. I suggest to them the need to involve others, the people who are appropriate to work with him or her in supporting them in their desired achievements. We see what conversations are necessary, with whom and when. We create an appreciative tone that allows for the encouragement of the best in each person and in what they can create together.

The appreciative tone is created by setting out a framework in which we can foster the valuing of people in the organization, in the community, or in the family system. I ask questions that allow the client to value how the people in their environment have contributed in the best moments. It is about the person developing an appreciative way of looking at his or her surroundings.

I also establish the need to have conversations that develop the appreciative view of the members of the organization or their family toward the client. We achieve this by asking questions that awaken that view. We explain to the people significant for the client that we are going to invest in some coaching sessions for this person, asking them when they were in their best form – what were they doing and what occurred as a result of their actions? We are going to invest in maximizing their potential; let's imagine that the person gives the best of themselves – what would the manifestation of the best of themselves be like? What will they be doing and how will they do it? On including the vision of others, we broaden perspectives.

I can ask a manager or colleague of my client to tell me the story of when the most effective moment was when they gave him or her feedback. In this way, the manager or colleague becomes aware of what and how the best way of giving them feedback is and what happens when they give it that way. I can also ask them to tell me a story of when they supported my client's ability to be successful. Or I can ask the client's team – what are the challenges that you now need to deal with, and in what way can you be thinking partners yourselves in order to overcome them? Although this question seems to focus at first on the challenges, the intention is to set up a generative conversation about how to support each other by being thinking partners.

It is about helping them to develop lenses of social constructionism with questions such as what stories do I tell myself and which do I tell others? What do I say to myself and to others? How could these stories be more generative? What can I ask others in order to involve them? What can I ask them so that they contribute in the fulfilment of our desired future? What missing question needs to be asked that will open us up to a new dialogue once we ask it? What other points of view can I apply to this situation? How would it change if I did so?

To accompany each other in living with this spirit of freedom, we can ask each other – are you sure? Every time someone makes a convinced statement, we can make them question their convictions so that they open up to bringing in other perspectives.

Co-constructing Multiple Perspectives

Social constructionism makes us aware of the fact that there are multiple perspectives and that to bear them in mind enriches us and allows the collective wisdom to flourish and be shared. Social constructionism is based on the following facts:

- We create our ways of understanding reality and values according to the language we use.
- There are multiple traditions with which to construct the world.
- We exist within multiple realities and together can co-construct new realities.
- Words create worlds.
- We accept impermanence.
- Social realities are not fixed.

- All knowledge is saturated with values, conventionalisms, theories, time, and space.
- The ways of explaining emerge from relationships.
- All social action is open to multiple meanings.
- Alterations in our linguistic practices are powerful.

Appreciative inquiry proposes constructing the new in organizational development and our relational systems, where:

- Innovation eclipses intervention.
- Creating substitutes resolving.
- The emphasis is on collaborative leadership.
- We accentuate positive assumptions about human beings.
- Attention is placed on dialogue more than diagnosis.

On innovating, creating, collaborating, assuming the positive, and dialoguing, we create a fertile generative field. Through relational processes, we create well-being and the world we want to live and work in (Gergen 2011). The dialogue of social constructionism deals with the processes in which as human beings we generate sense and meaning together. We recognize that in the measure that people create meaning, we are sowing seeds for action. The meaning of the action is interlaced. As we generate meaning together, we create the future (Gergen 1994).

Generative Questions Are Leading Questions

Questions can generate creative ideas that foster the right change. The art of asking ourselves questions has important implications, not only for changing our assumptions but also in the creation of new possibilities for constructive action.

The appreciative question does not reiterate the problem, but rather transcends it (Subirana Vilanova 2015). It is a question that:

- Generates curiosity
- Stimulates reflective conversation
- Brings underlying assumptions to the surface
- Invites creativity and new possibilities
- Opens the door to change
- Generates energy, vitality, and advancement
- Channels the attention and focus of the chosen subject
- Centers the intention
- Touches the depth, the what and the why of what you do and what you are
- Connects to meaning
- Leads us to the future
- Evokes more questions

We can ask ourselves, for example: What can we do that might help us change this situation? What possibilities do we have that we haven't yet thought of? What small change can bring about the greatest impact? What solution would benefit us both? What moves and harmonizes human relationships?

The way of perceiving and understanding a situation can change in an unsuspected way, and it can be approached from a new angle. It can improve our emotional bonds and our work relationships. These are questions that lead us to a constructive reflection. They arise from an appreciative perspective and stimulate appreciative dialogue. Appreciative inquiry is based on formulating questions that facilitate motivation, cooperation, and the co-creation of a better reality.

Contrarily, the following questions anchor us in negativity and reiterate the problem: What is the biggest problem here? Why did I have to be born into such a problematic family? Why are you so often wrong? Why do we still have these problems?

The questions lead us either to stay stuck in the past, to live and learn in the present, or to generate transformation. There are questions that are incentives to transform, for example: What's the point of being trapped by stress and bitter feelings, in a void, and without achievements? How can I move on? Why am I going to carry on with these recurring experiences, which repeat themselves time and again? Why isn't my life going as I want it to? These questions invite us to review our internal programming and the perceptions, beliefs, and memories that block our progress.

To formulate powerful questions, it is important to become aware of assumptions and use them correctly. Vogt et al. (2003) put this example, contrasting the question "What did we do wrong and who is responsible?" with "What can we learn from what has happened, and what possibilities do we see?" The first question assumes error and blame, and the person who has to answer it will without a doubt go on the defensive. The second question encourages reflection and stimulates learning and collaboration among those involved.

In silence, meditating and relaxing the mind, the circuits of our brain calm down, and we rest on our capacity to invent and to reinvent ourselves. In that space, we increase our creative capacity, and the right question appears, allowing us to find the answer we need. To achieve this, it is good to follow Anthony Strano's (2010: 32) advice:

> "Learn to ask questions and let go of wanting answers.
> When I am too focussed on answers, I lose them.
> Relevant questions are like brooms
> that sweep the mind and create a clean space.
> The mind needs clean space.
> Answers enter clean space."

Powerful Questions

We can see the difference between appreciative questions and other kinds of questions by considering some typical questions in traditional problem-solving, which focus on looking more deeply into the problem and its causes, for example:

Tell me, what is the problem?
What is it that doesn't work?
What is worrying you?
What do you need help with?
What is upsetting you?
What doesn't work?
What will you do about . . .?
What do you think made this happen?

Let us see what the questions in appreciative inquiry and in generative proposals are like:

What gives you energy?
What do you most value about yourself?
What is it that you most want?
What worked well before?
What works well now?
What is it that first attracted you to. . .?
What did you do to contribute to. . .?
How do you see yourself when you. . .?
How do you want to keep going forward by and for yourself?
If your worries were solved, how would you feel? What would be happening? What would you do? How can you contribute to this ideal situation occurring? What conversations should you propose and with whom?

Mobilizing the Creative Potential from Within

> When strength touches strength, or hope touches hope, or the inspiration of one touches the inspiration of another, then instead of languishing, human systems tap into the upward spiral of mutual elevation or mutual upbuilding. There is a positive contagion or spread, like a spark of inspiration turning into a flame, and that flame becoming an Olympian torch or legacy. David Cooperrider, preface to Subirana (2013: 14).

Creativity

To spark inspiration and unleash our creative potential, we need to live free from our self-limiting conditionings; we have to know ourselves better, question our beliefs, clean out the storeroom of memories that keep us anchored in the past, and overcome our fears, which hold us back and block our immense creative energy.

Which Creativity Do We Need at This Time?

I explored the many dimensions of creativity in my book *Creativity to Reinvent Your Life* (Subirana 2010). In it I reflect on the intention of our creative intelligence and creative impulse and on the question what is the creativity necessary in this time that we are living in? The answer includes multiple dimensions.

We are in the need of creativity that allows us to leave behind stressful routine and that leads us to find the necessary connections to help us as human beings to create a better reality for everyone.

We need a creativity that comes out of an awakened consciousness to create a new paradigm: a new world.

We need creativity that doesn't only help you but that accompanies you and brings others out of their bodily cages of selfish pleasure, of their mental prisons and their comfort zones. This creativity has to be daring, elevating, and transforming.

We need a creativity that opens, that opens our eyes in order to see and become aware, that opens closed hearts to feel and be, that opens limited minds to enter into the unlimited and into the sacredness of existence, a creativity that opens, so that repressed beings might express their potential without fears.

We need a creativity that is generous and encourages us to go from a culture of clinging on to a culture of gratitude and generosity.

We need creativity that nourishes, a creativity that unites and upholds. Such creativity neither destroys nor wounds; it sustains transformation so that people take the risk and do not return to their old patterns of behavior.

We need creativity in conjunction with and associated to nature, respecting and sustaining the planet.

We need a creativity that respects. Out of respect we create with the energy of good feelings, of understanding and valuing the space of the other. Respectful creativity encourages and creates out of humility and not out of violent provocation.

We need a creativity that offers space to be, to exist, and to allow the other to be.

We need a creativity that moves out of the energy of the awakened consciousness, that causes another energy to circulate in the human system, in the thoughts and feelings, in the mind, the intellect, the memory, and the heart. Creative energy opens windows and awakens sleeping consciousness. It is an energy which facilitates positive transformation. It is healing and the creator of a new paradigm.

We are in the need of responsible and conscious creativity. Each one of us is responsible for the experiences that we have. Let us be conscious that we create our own reality. Is this the reality that we want? Are we prepared to sacrifice ourselves in order to create a better reality for everyone? Not a painful and unhappy sacrifice, but rather a sacrifice of letting go of our ego and giving ourselves to the other.

We need constructive creativity. In a world where it seems that we are creative through destroying, we should be capable of coming out of that inertia in order to build. Let's be clear: We destroy our body by feeding it bad thoughts, clinging to feelings of blame, victimism, hate, and bitterness. We feed it badly. We use it to oppress and damage. We destroy the harmony in our relationships because we are in the state of asking, needing, and wanting the other to satisfy our needs and longing. When the other isn't as we would like them to be, we destroy the harmony, generating a deep unhappiness. We destroy the environment, using the resources of nature without respect, for selfish, greedy, and exploitative ends.

We need an inclusive creativity that embraces, welcomes, and generously generates a spirit of union, like the three musketeers: one for all and all for one. Personal health, the health of the planet, and the health of humanity depend on us all working creatively. It is a generous creativity that empowers our collaborators and people close to us. It allows them to take decisions in the face of new or unforeseen situations that arise daily. It makes them able to manage the unexpected. And this makes us feel more free, more developed, more useful.

We need a creativity that generates newness and makes a difference, beyond talent, craftsmanship, and ability. It is necessary to use the vehicle of talent; the important thing is not to get lost in it, for it not to be an end in itself. The message and the messenger are what are essential. Let us go deeper into this aspect. Let us see what the intention underlying the talent is. Let us be clear and not lose ourselves in embellishing our image in order to appear something that we are not. Let us refine our talent and skills. Let us do it as best as we can. But let's not disconnect from the essence.

Finally we need a practical creativity, whose end is not to impress or to give great ideas, but rather to generate a true transformation: a metamorphosis, an individual but not selfish creativity. What is the intention behind our creativity? Do we want to use creativity to carry on clinging? To keep power? Let us revise our intention and motivation so that our creativity is unique but not narcissistic, but rather personal and universal.

With these dimensions of creativity, we will go from an ego-system to an ecosystem. In the ego-system, everything is about me and mine: What can I get? What can I control? How can I have more power? In the ego-system we have lost trust. The ego-system lacks generosity, which means there is neither true leadership nor creativity. It does not allow for the emerging of the power of the knowledge, of the competences, of the talent and the motivation of each collaborator, because one is centered on oneself. If we don't allow this to arise, the innovation is not possible whereby there might be enthusiasm, collaboration, and, above all, the risk of taking on new challenges. In the ecosystem it is all about all of us. If we continue to have the ego-system as a culture, we will have serious problems that will put our survival into question and the culture of greed and violence will prevail.

You Can Be More Creative

You are capable of creating from different creative spaces.
You can create beauty and friendship.
You can sow happiness and cheerfulness.
You can create reconciliation and peace.
You can establish harmony and happiness.
You can also create ill feeling and hate.
You can generate rejection and abandonment.
You can create a jungle or a garden.
You can generate thorns or flowers.
You can be fragrant or odorous.
You can give out and love generously or beg for affection and attention.
You can forgive and become free.

You can.
You can do so much and so well.
You can be and shine.

The creative power is in your hands when you reside in the core of your being. That way you will no longer be a shipwreck at the mercy of the currents, the waves, and the wind; rather, you will be at the helm of your life. The currents are the situations that you have lived through and that have left marks on you in the form of scars, of relationships that have to be ended, of aspects that you have to reconcile in yourself, of habits that control you. They are the underground currents that move within you and cause you worry, unease, and anxiety. The waves are the multiple influences that put pressure on you, influences of people, situations, and work. The winds are the cultural, religious, and social conditionings; the economic, political, and work conditionings; and the sports team following conditionings. These winds enter to our minds and condition our decisions and actions.

If we do not hold on firmly to the helm of our life, the currents, the waves, and the winds will continue to dominate us. What does it mean for you to be at the helm? How can you grasp it strongly and allow it to guide your life? Can we walk toward having self-mastery and self-leadership, returning to our creative source?

Returning to the Creative Source

> "Every act of creation drinks from the fountain of Life. Those who connect to that fountain become creative beings. We have in front of us an invitation to unfold all the potential of creative freedom that we have, and it helps us to understand that what is at stake is much more than doing things; it is to turn our very existence into a creative act. To do so we have been brought to existence: to give a unique form to the portion of Life that has been placed in our hands. Being depositaries of the co-creating act of existence like this is permanently made up of two tempos: receiving and giving, taking on and turning one's own life into an offering." Javier Melloni in the prologue of *Creativity to Reinvent Your Life* (Subirana Vilanova 2010: 1).

Upon unfolding all your sleeping creative potential, an endless amount of possibilities appear before you and for you. You become a co-creator of a new culture in which the art of being and, from being, peace, love, and beauty make up an intrinsic part of the same. For this, it is necessary to return to the essence, to the creative source of each human being, and, from there, to create a new being and a new world.

This creative force of each human sometimes gets blocked and needs to be rediscovered. To reconnect to your creative source, to rediscover your creative force, first we need to go inward, to tap into the creative potential that lies within. Let us explore the paths within.

Paths Within

We are very taken up with searching outside of ourselves. We are overstimulated. We live a lot in the mind. We have even left our hearts in order to take up residence in the mind. On making the mind our home, we stay busy by filling it with worries and endless thoughts that stir and make us act in a different way than we might wish to. Thus, we bury our true heart, the heart of the soul.

We forget the resources that lie within us. Let us remember them in order to leave behind the meaningless void that so much distraction and noise leaves us in. Let us remember wisely. One of the keys to transformation is knowing how to forget and how to remember. With remembering we return to our essence; we bring back the memory of our essential being. The capacity to forget and to remember is an extraordinary faculty that we have. If we know how to use it, we will achieve wholeness. Don't forget what you have to remember. Don't remember what you should forget.

To feel complete, it would help you to stop looking outside for what is already within you. You were born with it, but you were probably never taught to look inside yourself, and you have spent your life searching on the outside. This brought about misencounters on the path of life, disappointment, and constant dissatisfaction. Dissatisfaction arises from an inner emptiness that you want to fill. But when you are like a bucket with holes in it, it doesn't matter how much water you pour in. You run after the desires brought about by this deep dissatisfaction and you stop being present. You are trying to achieve something; when you do, it dissolves in moments like sugar in the mouth. And the dissatisfaction seems impossible to overcome.

To stop being the puppets of our desires, appreciative inquiry proposes that we connect to our essential desire (Cooperrider et al. 2008). Knowing what you want helps you to align your energies; that way you manifest the power of a clear intention. Everything we do is propelled by an intention and motivation. It might have as an end the satisfying of a need, a desire, or an addiction, or to achieve a more intangible aim or wish. It is an essential desire because it is aligned with revitalizing and living from your positive core. We need to open the doors within to see what is it that we really need and who we really are.

My experience has shown me that, to open the doors of our inner realms and go into them, we should trust, be brave, and connect to our strengths. To do so, it is essential to be appreciative. In the process of appreciating, you value, recognize, and enhance the beauty of the other and of yourself. Your appreciative presence empowers their self-confidence, opening them up to you and themselves. An appreciative question opens others gently so that they can see without getting blocked or overwhelmed. They open up to enter silently into themselves and listen. Then we listen together. And by listening we discover our essence, our core. By listening we can also discover there is a hidden suffering stored within. Let us explore both aspects.

The Essence: The Healthy and Positive Core

What we long for, what we most seek, lies within us. In our inner space, a core beats that is full of life and of virtues, which in appreciative inquiry is called the positive core, meaning the vital center of our person; it is what makes us vibrate with enthusiasm and the happiness of living, opening us to our full potential. It contains our essence. The positive core includes our competences, skills, and talents, our best achievements and practices, our strengths and unexplored potential, and our values. It is a core that grows and flowers; it expands and finds meaning in relationships, in giving oneself and sharing. If one keeps it for oneself, it withers. Metaphorically, we could say that the positive core is the seed that becomes the sap that gives life to all living systems; it is the blood that circulates round the body of the system of our relationships and interactions. With appreciative inquiry we detect what forms part of the sap, the blood, and nourishes our organs, giving us life and nourishing us.

The positive core is identified in different ways. For example, with appreciative questions, we can inquire in order to find it and connect to it. We awaken the memory, remembering moments that made us vibrate from the depths of our being and connected us to what in appreciative inquiry we call the positive core. It is about remembering what moves us, discovering it again and feeling it, to thus awaken our deepest dreams and live them. That awakening is a flourishing, an opening to being the best version of oneself and the best version of relationships.

We can also follow a sequence of appreciative inquiry phases which in essence consist of identifying the positive core through *defining* what we want to work on and where we want to go toward and *discovering* the strengths we have that will support us on the journey; we do this by setting up a dialogue between the person and their relational system. The core is expanded in the *dreams* phase, when we generate a clear vision, aimed at results relating to the discovered potential that the person wants to manifest more of in their daily life. In the phases of *design* and *destiny*, a present is constructed, based on proposals that we design. With these we seek to come close to and live the future that we want, based on the strengths of the positive core of the person and of their relational system, that is, their family, friends, business partners, the necessary people in their lives.

In order to live your essence, in your positive core, you need to allow yourself to do so and free yourself of fears, limiting beliefs, and feelings of guilt and bitterness. The person whose spirit is freed of all these things controls their mind, directs their thought, and keeps their attention focused. Their heart is at peace and radiates positive energy and love. Their action is aligned with their values, decisions, and will. They liberate themselves from suffering by embracing it.

Embracing Suffering

Let us look at another important aspect in the journey toward self-leadership and in the longing for freedom. It is the suffering that we store inside ourselves and our relationships. To what extent do we confuse the escape mechanisms of suffering with freeing ourselves of it? One can put up resistance to living a return to oneself, given that, as Thich Nhat Hanh states (1998: 47), “The majority of people are afraid of returning to themselves, because they fear facing the pain that is within them.”

When you have a family member, a loved one, or a friend suffering, you can accept their suffering, but if you want to help them to be freed from it, focus on their desire for growth and in what they long for. You can ask them questions that accompany them in seeing their light, that change the direction of where they are looking and their thinking; instead of focusing on the shadow, let them look at the light and be able to feel grateful.

As a leader and thinking partner, you can contribute to the person before you being able to listen to themselves. You can help them be aware that if they don't listen to what their suffering is telling them, a moment will come when an inner split opens up. They will have fled from their own inner voice that wishes to communicate something to us. In taking on the suffering and making it theirs, they will feel that it is speaking to them. Suffering indicates the possibility of a latent change, a transformation that can lead to greater depth. When they find the meaning of our suffering, it is transformed.

Suffering indicates to us that something new is being born. If we go backward, the very thing calling us to be transformed gets infected. If we take it on board and we go through it, the old falls away and the new is born. It becomes necessary to flow with uncertainty, since one doesn't know what will happen after letting go of the outer covering. You don't know what is waiting for you after that change, and this uncertainty can cause you to have a lack of inner strength. However, when we let go of that which we release, it frees us, strengthens us, and makes us free.

Sometimes as a friend, or if it is the case, coach, the only thing you have to do is listen. You realize that the mere fact of sharing the difficulty, of giving it a name and expressing it, lightens the burden of the person speaking to you. If they identify it, they name it, they listen to it, and we look at it in the eye; we make it human. What happens sometimes is that the shame or fear of what people will think on seeing our vulnerability or weakness, or that they will label us a failure, makes it difficult to share our suffering. Looked at appreciatively and in constructive conversation, that fear is dissipated.

We should learn to accompany others in suffering without judging the other. A loving look that receives that pain and does not judge when someone opens themselves to be listened to and to share helps them to express themselves in order to let go of the suffering accumulated inside them. And the more we think that we would be judged, or seen in a bad light, the more we discover the look of tenderness and understanding of the other who is close to us, and this is profoundly freeing. Having somewhere to express and manifest it unloads a lot of the burden that one might feel. Being seen humanizes us and allow us to go forward. Let us widen our perspectives.

We suffer because we stay stuck in points of view, perspectives, and habits that we refuse to modify. "We only suffer because we think things should be otherwise. As soon as we abandon this idea, we stop suffering. As soon as we stop imposing our own ideas onto reality, reality stops presenting itself as adverse or prone and begins to show itself as it is, without that value pattern that prevents us from reaching it. The path of meditation is therefore that of detachment, that of the rupture of mental frameworks or prejudices: it is a process of undressing to the point that we find out that we are much better naked" (d'Ors 2012: 91).

Residing in Our Being

The deepest reason for lack of peace and excess of anger, fear, and mistrust, be it in personal experience or in human relationships, lies in the loss of awareness of our authentic identity and true nature of being. We tend to base our identity on the physical aspect (body), actions (our actions and the roles), possessions (our accumulations), place (where we come from physically), and our conditioning (acquired beliefs). Basing our self-esteem on any of these aspects can become a problem, because none of them is permanent.

If you accompany someone, and are centered in your authentic identity, you will be able to empathize with the person's restlessness and unhappiness, helping them to transcend it. With your centered presence, you act as a mirror. You don't need to do anything else, nor say anything special. Being present, you generate a vibrational field that accompanies the other in reaching more authentic aspects of their identity.

Living means being confronted with often destabilizing changes. Possibly, to prevent those, people will cling on to the intellectual discourse of a mind that needs to understand everything, analyze it, question it, justify it, reason it, conceptualize it, see it, and touch it. In the end, their heart stops feeling, blocked by so much analysis and reasoning. These people find it hard to transcend conceptualization. They seek security in concepts. And when change causes them to feel insecure, they can fall into the trap of wanting to cling on to any discourse, or else they become cynical and skeptical. They stop being open to other points of view, and in that state, it is difficult to innovate and go through the necessary transition.

Other people might find their security and sense of identity not in the mind or intellect, but rather in their habits. They react automatically, almost without thinking or reasoning. Habits rule their lives. The past carries such weight that they live situations and relationships according to the habits acquired along the way. These people are trapped in the prison of their past. Their heart stops enjoying life, as they already live the present in function of the past. Their personal history has such a weight that they stop living in the present, feel afflicted, and remain hungry for the oxygen of love. They close into themselves and stop relating freely to themselves and others.

To reside in the heart of being and live life from that central space is to live awakened and aware of the reality that we are the creators of our thoughts, our beliefs, our reasoning, and our habits, which are often culturally and socially conditioned. We can follow them and live accordingly or instead we can challenge them, question them, reinvent them, and reconstruct them in a different way. The important thing is to be aware of our choice. And, therefore, not to complain that "this is what we are like," but rather to take our choice on board and change if we feel like it. There are many perspectives according to which we can live a reality, a relationship, and a moment. "We can choose to live mindfully and heartfully, with full awareness and to live fully connected, not only to connect from ideas, from the mind, but also from the heart. To live in full awareness is to feel life; it is to live with the awareness of an awakened heart" (Subirana 2014: 17).

Such an awakened and aware person lives with joy and vitality, without anguish or anxiety, being open and generous. To be heartful is to have a big heart that shares and radiates the best of itself and of that which is outside of itself. It is connected to the supreme force of love, compassion, and peace, and it illuminates them. It is an innocent and contented heart. It is clean and honest.

Heartfulness is having a compassionate heart. It is attentive, considerate to the presence of the other, recognizing and seeing the other. Each of its words, thoughts, and actions can make a miracle happen. A word can open a door to opportunity; a thought can transform a tense atmosphere into one of respect; an action can save a life. A compassionate heart loves out of understanding, forgives, and releases bitterness. It lets go of the past and is grateful to the present. It is strong so as to take on suffering and to live fully the path that heals it. It is a heart that lives in gratitude.

If we live with gratitude, and we practice meditation, the way opens up more easily to stop living in the mind, the intellect or our habits, and to moving to residing at the core of being. Then we are fully present.

Focus on being fully present, open and connected, present in mind and body. I breathe deeply; I observe that my body position is open and welcoming and that my body is sitting straight, in a dignified and alert position. As Eckhart Tolle (2006: 220) says: "When you listen to another person, don't only listen with your mind, listen with all your body." It is a question of realizing the importance of nonverbal language. When all your energies are aligned, that is, your awareness, decision, thoughts, feelings, action, and expression, what you say and what you feel become congruent. Sometimes, there are people who say one thing with their mouth, but their body gives off another message. It is about knowing that, for your words to be influential, you should be connected to what message you transmit. It is about believing and feeling what you say.

Cleaning the Storerooms of Your Mind

As leader and thinking partner, you need to explore other possible ways of looking that might help you to break down rusty mental frameworks, and, gently, with grace, with appreciation, you can then go toward the space of the positive core, the vital center of your person, that which makes you vibrate with enthusiasm and the joy of living and opens you up to your full potential.

In order to widen your vision, you can do an observation exercise in silence.

Relax. Breathe deeply. Think: "I am not this situation. I separate from it. I quieten my mind. I think: nothing is permanent. Everything will pass."

Develop that capacity to free yourself from the influences that diminish you and put out your flame, those that reduce your ability to love, to shine, to feel free, to be at peace. Those influences come from the outside and also from your past and your habits.

It becomes necessary to include the practice of silence and patience and the capacity for reflection, in order not to react instinctively, responding to fear and insecurity out of fright or anger, but rather responding out of your values, trust, love, respect, listening, tolerance, creativity, and inner strength.

Try to clean out the storerooms of your mind, the archives inside your being, so that no habit leads you to react with bitterness, jealousy, hate, and fear. To reach that state of wholeness in which there is a balance between the mind and the heart, feel how you respond in accordance with your values, your positive core. To achieve it, you should overcome the feelings that block that experience; strengthen your self-esteem, clarity, self-command, and personal sovereignty; and develop the powers that will help you to face problems and transcend influences.

Let us explore these aspects:

- To feel responsive to your values is to live your essence and be connected to your roots. Let the sap of your essence flow through all your being and feed into your life, keeping you energetic and healthy. It is to live your positive core.
- Overcoming the feelings that block the experience of wholeness requires you to explore what diminishes your presence: mental confusion, negative thoughts, blaming yourself, worries, projections, and comparing yourself.
- To extend and maintain clarity, it will help you to be aware and realize where you come from, where you are, where you are going, and what is happening in the here and now.
- To achieve personal sovereignty means to be in charge of yourself. Living in full awareness will help you to get back your inner power in order to deal with problems and overcome debilitating influences.

Expressing the Best of Yourself to Flourish Together

> Those that wish to create a new culture, a new society, a new state of things, should first understand themselves. The important thing is for each one to understand themselves in their relationship with another. Jiddu Krishnamurti (1992: 30).

When a human being flourishes, they express the best of themselves. And vice versa. They are creative, intuitive, and life-giving. They promote innovation and renewal from the center of their being and connect to others with happiness and positivity. The one that flourishes feels fully alive, creative, and resilient (capable of overcoming adversity) and feels that he or she is growing and having a positive impact on their environment.

For Martin Seligman (2004), the objective of positive psychology is flourishing, which is based on the five pillars of his theory of well-being. In the theory of well-being, analyzing the PERMA model, Seligman invites us to think about what we have to do to prosper and be happy, and he represents the five essential elements that should be in place in order to experience on going well-being:

- Positive emotions: Well-being is experienced through positive emotions.
- Engagement: Being engaged with something allows us to experience motivation and well-being.
- Relationships: Relationships are important for our well-being. The people who have a positive relationship with others are happier than those who do not.
- Meaning: Meaning comes from serving a cause that is bigger than ourselves. If it is a cause that helps humanity, this gives meaning to our lives and brings us well-being.

- Accomplishment: Accomplishment is important insofar as it contributes to our capacity to prosper.

To cultivate positive emotions, we should focus on what works and make it grow and center on what is life-giving. It is also necessary to manage suffering so that it is not devastating and, finally, not to allow certain toxic people or relationships to pollute our inner spaces. Imagine you have a relationship with a person with whom you have created a sacred space, of complete friendship and trust. Then a third person appears on the scene who talks badly of one and another. If you are not careful, a negative perspective can pollute those sacred spaces. Should this happen to you, you might start to imagine things and to think badly; the seed of mistrust may be sown. You opened the door to negativity and unease. In those cases, pay attention so as not to feed the negative assumptions. Better follow the agreement of Miguel Ruiz (1997: 45) in which he advises: "Don't make assumptions or draw conclusions from everything in a precipitative way. If you do that, you believe that what you suppose is true and you create a reality about it. It is not always positive nor guided by love. Have the courage to ask, clarify, and express what you want. Communicate with others as clearly as you can in order to avoid misunderstandings, sadness and other dramas. With just this agreement you can completely transform your life."

When assumptions take root in our being, we blame, we complain and we feel anger, we create dramas in relationships, and we lose our handle on situations. Our energy and mental clarity are reduced, and we end up as victims of external factors and of fear, anger, and sadness. It is difficult for us to stop being victims when we keep on with habits of clinging, getting too attached, and depending. With them, our heart loses vitality and our capacity to flourish remains cut off. The pressure that these emotional states generate and the absence of freedom cause us suffering and nurture our feelings of victimhood. We are so accustomed to these forms of suffering that we come to believe they are natural. It is possible to stop going through these emotional upsets when we recover our inner power.

The capacity to decide what we think and feel at each moment, the possibility of choosing our attitude and how to respond in each situation, is our strength and our freedom. We can choose to think and feel in such a way as to flourish and stay open. We have the possibility of using our immense creative power in different spheres of life. However, our beliefs and partial points of view limit us, the past conditions us, and fears prevent us from living out our dearest dreams. When this happens, instead of flourishing in shared living, we get bogged down and we enter into conflict. Then we prefer to be and live alone. We run from conflict and from relational complications. We want peace. And when we feel trapped in relationships that suffocate us, peace disappears, giving way to anguish. We feel misunderstood and flooded with worries. At other times it seems as if we should submit ourselves to the desires of others in order to please them. All this oppresses us. On feeling threatened by the presence of the other, we end up renouncing our individual integrity, too influenced by others and society. We look for security and we stop being ourselves, taking on a personality that follows cultural and social models, not aligned with ourselves.

Then, instead of establishing positive relationships, as Seligman (2004) advises in his PERMA model, our relationships are the source of unhappiness. Our inner misalignment makes it difficult for us to establish healthy relationships. All this pushes us to escape to an arid aloneness or to take refuge in a toxic kind of shared living. Even though we are with someone else, we feel alone and disconnected. We need to learn to live appreciatively.

Living Appreciatively

To live appreciatively is to feel gratitude for everything that life brings you. Whether it is positive or negative, good or bad, you can decide to see the positive side that helps you to value, to be thankful, and to move forward. You may have many reasons to be sad about your past, angry about the things that have happened to you, or fearful of your uncertain future, but you can decide consciously to be grateful for the lessons learned. Appreciate what the people who accompanied you on part of your journey contributed to your life, even though you later went your different ways. Decide to live with appreciative lenses and to hold attractive images of the future which strengthen your trust in the present and your courage to move forward through the uncertainty.

Instead of complaining, decide to be brave and to recognize the oak in the acorn, as Thatchenkery (2006: 8) poetically expresses: “Appreciative Intelligence is the ability to see the mighty oak in the acorn. Metaphorically, it is the ability to see more than the present existence of a small capped nut. It is the capacity to see a strong trunk and countless leaves as emerging from the nut as time unfolds. It is the ability to see a breakthrough product, top talent, or valuable solution for the future that is currently hidden in the present situation.”

The capacity to appreciate arises out of a mental state and from an attitude that shows itself through the skill of perceiving what is valuable and meaningful about oneself, the other, and the world. An appreciative attitude increases people’s capacity to be generative and influence others, and with this, their ability to generate freeing changes is multiplied. Developing appreciative skills helps us to create and increase our happiness and well-being. “Happiness is a mental state, a way of perceiving ourselves and of conceiving of ourselves and the world around us,” states Sonja Lyubomirsky (2008: 54).

When we appreciate ourselves, we strengthen our self-esteem. On discovering and valuing the best of what we have, we provide ourselves with resources with which to deal with life. When this discovery is sincere, we feel an emotional connection to our strengths and capacities. Positive emotions awaken in us – respect for oneself, happiness, hope, and inspiration, among others. With these positive emotions, we open ourselves to learning. Positive emotions open us; negatives ones close us. Thanks to self-confidence, we dare to take on risks. When we appreciate that what we do is important and can make a difference in our lives and in the world, we feel strengthened and we do it better.

When appreciating the other becomes a habit and a vital attitude, we increase the quality of our relationships and we contribute to bringing out the best in people. Some disciplines base their results on appreciating others and on generating expectations for the achievement of surprising results. For example, some methodologies have worked out theories based on what is known as the Pygmalion effect (Cooperrider, Subirana, 2013: 79) to denominate the actions that we undertake due to the expectations that others have of us. We are sensitive to what our significant others expect of us. The expectations of others can change our levels of effort and have an influence on the profound concept that we have of ourselves.

To practice the appreciative perspective with others is to focus on the talents, strengths, and values of the person and see the best in them. It is not to put on to the other what we would like them to have; it is to practice appreciative intelligence. It is to see the oak tree in the acorn.

Increasing our appreciative capacities allows us to create positive images of the future. The emotions awakened by our personal interpretation of images lead us to create an optimistic or pessimistic future in our mind. "Positive emotions arise as we interpret events and ideas as they develop; it depends on whether we give ourselves a moment to find the good, and, once found, let it flow," says Barbara Fredrickson (2011: 21). If we take the necessary time and we have the intention of maintaining an attitude of appreciation, positive emotions will flourish and open the way for us to live out our full potential.

Being appreciative does not mean that I only focus on the positive and on our strengths, but rather that I value our vulnerability as an opportunity, welcome our suffering as a path to walk in order to free us from that which no longer nourishes us, and listen to our doubts and our questions so that they can become the keys which will open our inner realms.

We seek to be seen and to be recognized. Our beings are often conditioned according to how others see us and how their opinions influence us. When we appreciate the other, we see them, we recognize them, and we value them. When we appreciate, we move forward: our mind opens up to receive, to recognize new data, and to learn. Appreciating, we feel surprise and curiosity. When we appreciate, we discover the best of "what is" and we open ourselves to see "what could be." Appreciating with passionate and absorbing effort, in which we invest emotional and cognitive energy, helps us to generate a positive image of the future that we desire. In appreciating, new values emerge.

To look at the value offered by appreciation, let's begin with your own experience.

Remember a moment in which you were appreciated, a moment when you felt that others valued you. Perhaps they recognized you for what you were doing, for what you were, or for what you were sharing. You can remember it now and, when the memory arises, reflect upon the questions:

How you felt?
What happened?
What effect it had on you?

Now, stop reading these pages for a while and remember that moment. If several come to mind, remember one in particular. Write it down.

Remember what you felt when you were appreciated.
How did it help you?

When I have done this exercise in workshops, the result is generally that when people felt appreciated, they flourished. Being appreciated made them feel stronger, loved, seen, and cared for, and their self-esteem increased. When we see each other with appreciation, we open the pathways to flourish together.

Flourishing Together

In order to flourish together, it is important to understand the habits that we have created which influence, condition, and tie us down. We were not born with them; we created them as we went along. Some are habits that deprive us of our personal freedom; others limit our potential. It might even be that these habits come to generate a slavery or addiction on an emotional and mental level. Some habits have been cultivated in the midst of relationships that, in the end, became dependent and toxic. Then we lose our freedom.

Freedom consists, among other things, of being capable of thinking, feeling, and expressing our thoughts and feelings, without being conditioned by external factors nor the negative tendencies of our personality and without causing pain. Yes, we should take circumstantial factors and relationships into account, time and place, but we should not act as victims of all of it; rather, it would be healthier to take care of others and ourselves. The person who acts like a victim feels that they cannot be at the helm of their life because their relationships are controlling them and circumstances overwhelm and confuse them. At the least, if we feel conditioned, let us be aware of it and of the possibility of choosing other perspectives. And, depending on the conditions, of choosing the best to care for ourselves and others.

Flourishing together is about being capable of living in positive emotions, in the feelings that exalt our life, and in opening up assertively the conversations that matter to us and that lead us forward. It is to be able to go through negative emotions without drowning in them.

In order to live with greater freedom, let us learn to ask ourselves the powerful questions that will act as keys that open doors for us. This will help us to broaden our vision and be more aware. Asking ourselves the right questions helps us to receive the necessary answers. Even if we have the answer in front of us, if we haven't asked the question, we will not receive or perceive the answer. If we can formulate the question, we will see that the answer is at the threshold of our door.

To formulate the question that will open us up and free us, we should understand the context and the fact that we live by basing ourselves on a series of beliefs that make up our view of life, our attitudes, our decisions, and our behavior. These beliefs are sociological, psychological, cultural, political, religious, and spiritual. They are beliefs about what is good and what is bad, about good and evil, about what success is and what failure is. And so on to an endless list of beliefs that make up our conditionings and the status quo in which we live. Let us open ourselves to other points of view and learn to question appreciatively. If we didn't do this, we would bring about a defensive attitude and push people to stick even more to their own convictions.

What is it that leads you to be convinced of something? Are you sure? Can beliefs free us? Or, in sum, do we have to transcend certain beliefs? In the experience of contemplative silence, we transcend everything, including our individualistic and dual self. We enter into the dimension of pure clarity. As Pablo d'Ors (2012: 32) expresses: "When you no longer have nor are anything, you are finally free. You are the inner territory itself; not only are you in your homeland, you are your homeland." In this pilgrimage toward your homeland, the destiny of freedom is not far away or outside; it is a second and a millimeter away. It is you and it is in you.

Shared Living

> "Embodied in transitory organic structures, human life is characterised by the exclusive capacity to think, imagine, go into the infinite space of the spirits. It is from here that the presence is projected, from the inner power, of which it is necessary to be fully aware for its opportune usage. And for trust in oneself, a vital condition for the presence to be "effective" in the personal dimensions (internal) and the collective (external, relational). The ideal is to obtain the benefits of the "reciprocal presence" (in oneself and in others). It is necessary to share. Share with others. Be compassionate. Be crazy about something. It is necessary to not let oneself get trapped by routine, by pessimism. Creative excess is our hope. The future, I like repeating this, is still to be made.
> The world must change. Another world is possible, but we must, in the first instance, change ourselves." Federico Mayor Zaragoza in the prologue of *El Poder de Nuestra Presencia, una Guía de Coaching Espiritual* (Subirana Vilanova 2012: 18).

True inner power is developed by those who live and work in relation to other people, not those who distance themselves from others. We do things for others that we would not do for ourselves. On relating to each other, we widen our mental limits and make our hearts bigger. In relationships and in shared living, our ego defenses and the games played by the personality are activated, leading us to greater awareness and consciousness and, therefore, to greater personal growth and development. In shared living, we bring our inner qualities and powers into play: tolerance, the capacity to adapt, listen, understand, shape ourselves, forgive, communicate, flow, discern, not be influenced, and not depend. When we develop the appreciative stance, our living together is kinder. We learn to be and to love in a broader way.

What would it be like if our relationships were to flourish? How would new and revitalizing energy flow in our exchanges? Relationships are renewed when each person in the relationship is linked to their essence and connected to their being. They have done their inner work and have a rich personal dialogue, generally manifesting themselves as a person of integrity. They don't need the other out of selfish motives, nor do they need to hide in them; instead, they complement each other. Thus, an option of peaceful and enriching shared living is created in the present and for the future.

Meeting the other out of the wholeness of our being offers us a creative and complementary bond. As long as we are meeting the other out of our dependent needs or our deficiencies, relationships will continue to be nests of conflicts and misunderstandings.

Understanding Each Other

Understanding is necessary in order to relate to the other without losing yourself in them. Sometimes the other influences you in such a way that you lose your core, your center. If you understand yourself better, you will find it easier to stay faithful to yourself and your principles. That way, in relationship with the other, you don't betray your principles. You remain faithful to yourself. What does this fidelity to yourself mean? Faithful to which part of yourself? You can be faithful to what you would like to be, or faithful to your constant desire for being, faithful to what you have been, faithful to a memory of yourself that you keep as memento, a picture inside you. You can be faithful to an agreement or a way of acting. It is possible to be faithful to what you want to be and not to what you have been. It is a question of being aware of what happens in you on being in the presence of the other, remaining in your center yet open at the same time to understand and receive.

When you understand yourself, it is easier to understand the other. Understanding helps you to stay faithful and committed to an agreement with yourself and with the other. Only when you understand your relationship with the other will you be able to understand your relationship with the whole, with society. The consequences of relating out of misunderstanding are mistrust, fighting, antagonism, confusion, infidelity, dividedness, and duality. Developing understanding requires attention, full awareness, active listening, looking at and seeing oneself, in order to awaken together with the other so that the relationship is a process of self-revelation.

Relating to the other out of personal understanding is the path to liberation, as Krishnamurti (1992: 30) explains: "When one understands oneself in relation to another, the relationship does not turn into a process of isolation, but rather into a movement that allows us to discover our own motives, our own thoughts, our own searches; and that discovery is the beginning of liberation and transformation. Only this immediate transformation can give origin to the fundamental, radical, revolution that is so indispensable in the world. Revolution inside separated walls is not revolution. Revolution only comes when the separation walls are destroyed. That is possible only when one is no longer seeking power."

Sharing Power

Power is a drug. It is difficult to become unused to it. Influencing others' lives might relieve us of our own doubts. When people feel obliged to pay you attention, you have the option of rewarding or penalizing them. Power has a positive effect on our own insecurities.

Power is associated with control. The obsession to control is usually based on mistrust, the lack of real self-esteem, insecurity, and the fear of uncertainty and freedom. Taken to its extreme, it means an aversion to risk, resistance to change, and the inhibition of one's own and others' creativity. The obsession for control often arises out of the incapacity to recognize and appreciate the value of spontaneity and happiness.

The individual contribution to a team offers a creative impulse that flourishes with the support of the community. When the members of a community or team create together, anything is possible. We are all affected one way or another by the social or organizational system we belong to, and, in the same way, our individual actions influence others and depend on them to a certain extent. When we are aware of this interaction and recognize its value, not only will we think about what we want on an individual level, but we will take others into account. We will consider how achieving our objectives will influence them, and, vice versa, how they can influence us, and how that influence can strengthen us all positively and benefit the world.

We can ally ourselves and form a team, sharing the power like jazz bands do, whose musicians alternate between being the solo and being the followers of the solo. That way we will support each other in playing the game of life together. Shared power generates co-responsibility, complicity, and co-creation. Good relationships are those in which we add up and, together, we are better. We stop comparing, competing, criticizing, and being jealous. We move on to cooperate, join together, value and support one another. We are partners in creating a better reality for everybody.

One of the aspects that prevents us from creating and living out this complicity is the primordial instinct to protect our individual self and be ourselves. That is why we try not to let ourselves feel invaded, attacked, bothered, or dominated by others. This leads us to want to defend our terrain and move within a defined individual space. That is why sometimes we reject others and, with our attitudes, we give out messages such as "Don't come close, don't bother me." The end repercussion of this is that we are alone and isolated.

On living together with others, we haven't learned that one of the spaces important to know, connect to, and define is the inner space. When we cultivate the inner space of the self, we become aware that nobody can take away from us what we are, or our inner qualities; we can feel comfortable among the multitude and not have to defend our space because our assertive attitude and the connection with our positive core protect us. We feel love for ourselves and for the other. To achieve this we need to cultivate good feelings.

Cultivating Good Feelings

Let us learn the art of loving, of being free, and of allowing others to be. Authentic love flows freely; it is healing and never wounds. You give yourself to the other. It is a self-giving where you share of yourself without denying yourself or sacrificing your positive core. You transcend your "I-ego" without losing yourself or getting stuck on to the other. To reach that state in a relationship, one needs maturity and personal evolution. The majority of people love each other and tie each other down. When we lose freedom, happiness becomes a distant memory, and well-being gives way to unhappiness and to bad times.

Self-knowledge makes it easier to move on from fear to a way of loving that is richer, more tolerant, and relaxed. Emotional love can flourish into true lasting love as the initial fire of the emotions grows cooler and is substituted by a wiser and more mature perception. True love needs a fresh and renewing atmosphere, one without fears.

With a preoccupied mind and a closed heart, we cannot see and receive new ideas, opportunities, and even people into our life. Let us learn to let go of the past and forgive in order to live wholeness in shared living in this moment. It is about cultivating good feelings and cleansing ourselves of bitterness. In cultivating values such as peace, serenity, love, freedom, and solidarity, we will overcome deficiencies and feel stronger. Such a heart ends up becoming a lamp that dissipates the dark. A heart like that lives in the now. The return to the now means to embrace what you are and what the other is and welcome the present moment. You usually mold your expectations according to situations and to people. However, you can shape your life to be open to receiving. When you receive, you give, you give yourself, and in this giving you receive once again. In this reciprocity a dance of joy is created. We flourish together. Together we create a new reality that arises out of being centered in our positive core, of sharing the best of ourselves.

Develop Your Full Potential to Be an Appreciative Leader

> Reality is conditioned, it is reconstructed and, often, it is created through our anticipatory images. Change begins in the images that we have of the future. (Cooperrider, in Subirana 2013: 70).

The ideal for us is to live to our full potential, flourishing together with others. We can be more creative. We can construct our best present, respecting the environment. We can construct our best present taking each other into account, seeing and recognizing each other. We can feel each day with joy and gratitude. We can broaden our mind and the power of the imagination and widen our heart and the power to love. We can do all this with the intention of building a more habitable world together with others, in which each one of us might live to their full potential.

Qualities and Attitudes

What do you need to live the intensity of the instant, to savor the beauty of this moment, to connect to your full potential and open it up so that it can show itself? Some of the necessary fundamental elements in order to develop your full potential are connection to your essence (your positive core), concentration, mental availability, trust, positive images, commitment and courage, curiosity, continuous learning, inspiration, connection, and finding the balance. Let us look at them in brief.

Connection to Your Essence: Your Positive Core

In the section: "The Essence: The Healthy and Positive Core," I looked at the importance of finding our essential being and connecting to our positive core. On living connected to our essence, we flourish and contribute to the flourishing of others.

Concentration

Concentrating helps you to control distractions until they are dissipated. It is the state in which the mind focuses on an object, on a thing, a word, an image, an idea. The mind wanders for lack of mental discipline, lack of clarity and will to achieve it, or lack of vision and passion for what one wants. Sometimes it is a matter of putting limits to our distractions and interruptions. It might help us to develop our capacity to concentrate if we create positive thoughts connected to what motivates us and what we want and use them as affirmations to strengthen the concentration. We can create a list of thoughts that are like keys to be used to open the flow of inner positivity. For example: I can; I don't let myself be influenced; I am love; everything was as it had to be; I accept it and I let it go. If we focus on something we like, it is easier to concentrate.

Meditation is a fundamental practice with which to develop concentration and be capable of thinking what we want to think, avoiding repetitive, useless, or negative thoughts. Meditating helps you to silence the unnecessary voices and thus develop the capacity to be centered and concentrate.

Mental Availability

Learning to release, let go, and detach oneself, one opens up a space in the mind and being. The mind, on no longer being oversaturated with information and unnecessary thoughts, has space and can be available. It is a question of keeping an open attitude. Being curious and feeling curiosity.

Being available requires serenity. Serenity is a natural state of being. It is only possible to be serene when we stop wanting to control situations and people, when we accept uncertainty and impermanence as natural states of the constant change that living implies, and when we are at peace with our acts.

Within yourself, you will find serenity. If you flee from yourself, you will not learn to manage your thoughts nor to transcend your noise. If you take inside you one of the issues you are trying to deal with, you will not find yourself, because that issue will take up too much space, covering up the essential. You will remain connected to that issue and the people involved in it.

With a calmed mind and a serene heart, we know how to pick up on and understand the signals that situations are giving to us, and we also pick up on the signals of the time, of the moment that we are living in. We are more available.

Trust

Trust is a basic willingness to flow in life and deal with its uncertainties and complexities successfully on an emotional level. Without trust there is no hope, freedom, and tolerance nor the possibility of learning from one's errors, meaning that it is difficult to build one's self-esteem and build healthy relationships.

Hellenic wisdom denominated *empistosini*, or "believe in," to the term trust. The word *confide* derives from Latin and, in fact, could be translated as "sin fiducia" or "item given by the one who contracts as security against the fulfilment of their obligation." Without shared faith, we cannot have projects in cooperation. As relational beings, confidence (trust) is basic in order to go forward in the expression of our full potential.

One thing is the trust or belief in oneself and self-confidence; another is trust in others, in the future of humanity, in our political leaders, and in the company project that one might be participating in (hetero-confidence). The trust of others toward us, or trustworthiness, is another. When we trust, and are in an environment of trust, it is easier for us to live our full potential.

We generate trust when we show ourselves to have integrity; we want the good of the other; we demonstrate the ability to meet their needs; we are appreciative, adopt a positive emotional tone, and maintain good self-esteem. Both people and social systems are more disposed toward trust if they possess inner security, if they have good self-esteem and self-confidence, if they are within themselves in an empowered way.

Positive Images

The images that attract and inspire us give us strength to change structures and improve the economy. The changes that are substantial and sustained over time do not begin in the economy or in structures, but rather in the images we maintain. These push us to change or to stay stuck and unable to move forward. Change is deeper to the extent that we are capable of creating new images of the future that are attractive and that stimulate us to be creative. Positive images have an influence on personal, relational, political, social, cultural, communal, and organizational change. They turn into guiding images that attract us toward constructing the future we long for.

In the years of my experience in sessions accompanying people, I have realized how images mobilize their inner world. When the image that we have changes for one that is more positive and attractive, our vision changes, our attitude is modified, and our vital state improves. When we are stuck in the images of the past, especially in those based on what didn't work, what betrayed us or deceived us, change is more difficult or doesn't happen because, on bringing those images to the present, we remain blocked. We feel anger, fear, or sadness, and we find it hard to move forward.

If you go out into the world in the morning with your mind full of pessimistic images of what the day will bring, your attitude will be sad or resigned. If, on the other hand, you go out into the day with images that inspire you, your attitude will be more proactive and you will go through your day in better conditions.

Focusing on what works, and on what we most want, helps us to find positive images of our experiences. It is from that positive emotional space that we can perceive the future that we want. Keeping it on our horizon, our inner potential flowers and leads us toward what we want to reach.

Commitment and Courage

Commitment unleashes power and invites the universe to help. Without commitment we do not move forward. Without commitment we do not grow. I realize that many people set out to do things that they do not do because they do not commit themselves to them. Our will has weakened. We are the puppets of our desires and of circumstances, and our determination has stayed dormant or is hanging from a thread. With difficulty will you be able to take your highest longings to your daily life if you don't act with commitment?

You need a level of commitment that is passionate and sincere, that helps you to overcome the weaknesses and events and unforeseen things that place themselves in your way. With commitment you will see how your energies flow. You have to propose it to yourself; you must want to, decide to, have the willpower and do it. Now, commit yourself and act. Dare to commit yourself. Commit yourself in a decided way to the practice of new attitudes, thoughts, and actions. Cultivate your wholeness; you deserve it. Dare to free yourself of what you don't need any more, of what isn't yours, of what has already gone.

Goethe described (1835: 214–30) the results of commitment thus: "Until one commits oneself, the doubt is there, the possibility of going back, always without benefit. With regards to all acts of initiative (and of creation), there is an elemental truth, the ignorance of which kills an endless number of ideas, as well as splendid plans: that at the moment that one truly commits oneself, Providence also acts. To help someone, all kinds of things occur that, without having taken the decision to commit, would never happen. A whole series of events are set in motion out of the decision, bringing about, in one's favour, all kinds of unforeseen incidents, encounters and material help that no one would ever have dreamed might have happened. Anything that you can dream that you can do, begin to do it. Daring carries with it genius, power and magic. Start now!"

Committing yourself implies connecting to your dreams, keeping them in your vision. Don't lose sight of the horizon or the aim. Clarify your goals. Create the best in yourself, offer the best of yourself, be your best version, and don't feed the other versions (the mediocre ones, the atrophied ones, the infantile, the complicated ones). If your horizon fades away and you feel confused, delve into yourself. Enter into silence. Wait. Don't lose yourself in an impulse. Listen.

Curiosity

Feel curiosity for everything that happens inside you and for everything around you, not taking at face value the automatic answers that your ego gives to your questions. Always look for your inner truth and what is authentic on the outside, so as not to get carried away by mirages. You can ask yourself:

What do I want for myself?
Why and for what do I exist?
What does life ask of me?

What is it offering me to do?
What do I do? Or what am I doing? What do I do it for?
What do I pay attention to? What am I focusing on?
Am I carried away by my attention, am I present or absent?

Being in the present in this moment, you reinforce your essence and the essential. Which deserves joy (not sorrow!). On observing, you can redirect your attention.

To develop our full potential, we should be alert and aware of not believing that we have reached our goal when we are perhaps only half-way. Mariana Caplan (1999) explains this well in her book *Halfway Up the Mountain*.

Continuous Learning

We never know enough, although paradoxically everything that we need to know to be happy and to be fine resides within us and reveals itself and flowers in our relational spaces. As we inquire, we discover that there is more to inquire about, to learn, and to design. This opening keeps us young and mentally agile.

Inspiration

> The courage of inspiration is to awaken the creative spirit. It is to inspire creativity, confidence and hope to innovate and create a better future. Whitney and Trosten-Bloom (2010: 123).

Inspiring leaders bring out the best in people; they involve them in creating the vision and values of the organization, in laying down the goals and objectives, and in designing the work process. The appreciative leader is an inspiring leader who communicates by motivating and inspiring.

Connection

Appreciative leaders have the capacity to connect with all that there is. Naturally, this begins with the question of how the leader connects with their positive and healthy core. Then the connection with others is determined to a large extent by the ability to establish an open and trusting relationship. Humility, openness to feedback, and embracing the unknown are essential qualities to help establish a connection.

Finding the Balance

Inspiring leaders balance the needs and interests of the employees, the clients, and the business; they strengthen excellence in others, as well as seeking it in themselves. They lead by example and show integrity in everything they do (Cooperrider et al. 2002).

The art of living is easier by building bridges, but that requires balance. It is about finding the balance and not going to extremes. About living with feeling, connected to yourself, to God, to your body, to your heart, to others, to nature, and to time, but not losing sight of your dream or the horizons you are walking toward, or want to walk toward, flowing with the moment, not giving up on your dream, nor getting stuck to your rational plan and no longer flowing.

The constant search for the right balance in what we do is key to any process. What can be added is the element of balance from the performance perspective and through the prism of appreciative inquiry. Traditional managers usually focus on the terrain of performance and of endeavor. In traditional coaching for leaders, the focus resides in the data, the objectives, the control, and the action related to this. Sometimes 360° feedback is used, but almost always to reveal “one single truth,” the truth of the shareholders’ value.

As leaders we need to understand that we should keep the balance between, on the one hand, information, the data, and knowledge and, on the other, the experience, wisdom, integrity, and even spirituality that we can find in organizations and in our workplaces in general.

Try to describe a situation that you consider to be balanced enough to progress – as a certain unbalance is also needed to create movement. What is needed for the balance not to get stuck or too comfortable, but rather for it to maintain it dynamic enough for all those in the organization, including you, to be alert and active? And, how do you see the response of the people who work with you to, for example, the technological developments? How do you feel that their talents, skills, and competences respond to the new situations that arise?

Pay attention to practices of humility, courage, appreciation, and reflection; practicing them will be key to maintaining that balance. The underlying quality of all this is your presence.

Presence

The power of presence is the power to be yourself and have an impact around you just by being present. When you are present, you are alert and attentive, and you are aware. You observe, and you see the visible and feel the invisible. You are connected, connected to yourself, to the other, and to the universe. You feel whole, and from wholeness your being overflows with positive energy. Wherever you go, at each step, you emanate trust, happiness, and hope.

The power of presence arises from a clear intention and an open attitude. The intention of the appreciative inquiry coach or leader includes that of generating trust, openness, and appreciation, leading the client to connect to their positive core.

Let us touch on the factors that contribute to increasing our power of presence. This will help us to understand why some speakers, lecturers, coaches, and leaders have more presence than others; why, in some meetings, one person has more presence than another; why someone else goes almost unnoticed; and why some people become visible and others remain invisible.

People with presence are anchored within and firm. They achieve that firmness from being centered in their positive core: in the sap feeding it from the inside. They are rooted in the present moment like a tree. Their presence comes from having and feeling an appreciative attitude. It is a presence that recognizes and is recognized. It is a transformative presence. They are anchored in their values, and in their experience, in their inner wisdom and emotional maturity. They are their roots. The roots nourish the trunk of their self-esteem and give them the firmness of being present. They don't need to pretend or prove anything. They are present. Their branches are their different expressions of being, through work, their profession, their relationships and actions.

Increasing Your Transformative Power of Presence

Your presence comes from having and feeling an appreciative attitude. It is a presence that recognizes and is recognized. It is a transformative presence.

Your presence increases by freeing yourself of the world's mirages and conditionings. You dissolve the tensions. You allow yourself to be transparent without pretending. You don't make judgments and you accept. You accept because you embrace multiple perspectives. Out of acceptance, you embrace the moment and people as they are and feel. Even though you don't agree, acceptance helps you not to resist what it is. That way your presence is transformative. You transform out of acceptance and love. Out of resistance, violence, or irritation, you confront but you do not transform.

To do this you connect to your roots. Go to your essence. Uphold the beliefs that allow you to be and flow. Question and leave those beliefs that limit and prevent you from shining. Your appreciative attitude manifests itself even in silence. It is an attitude that is active, positive, aware, and trusting. Briefly described:

An active attitude: Actively present. Actively listening.
A positive attitude: Focus on the strenghts of others and on strenghthening them.
An aware attitude: Completely awake and alert, with mastery over "being."
An attitude of trust: Trust allowing the uncovering and flourishing of own and client's resources. Daring to be creative.

Meditation

Meditation helps embodying these attitudes. Meditation implies silencing the mind, focusing, being present, managing the emotions and inner critic positively. Meditation helps the leader to:

- Be impartial observer and not judge.
- Be fully present.
- Listen beyond the words.
- Go beyond the rational mind.
- Connect to the intuition.
- Broaden the field of infinite possibilities.
- Trust in the self and personal resources.
- Be capable of visualizing and making the other visualize, evoking guiding images.
- Flourish and make others flourish in their presence.

Intention

Another aspect to bear in mind in order for our presence to be transformative is related to the intention. Review your intentions and motivations. Why are you going to say what you are going to say? Why are you going to do what you are going to do? What moves you? Does what you will say or do take the other into account? Are you on the path that is good for you, or are you going to go off track, weaken, and get stuck? Will it free you and will it free the other? Is it what is best for everybody? Remember that the actions that benefit you also benefit others. The actions that are not good for us are also not good for others. "The moment you realise how important it is to love yourself, you will stop making others suffer," says Thich Nhat Hanh (1998: 32). With full awareness, you can break the chains that keep you trapped in the never-ending circle of desire and rejection. You recognize the desire without getting trapped by it.

Attention

Attention is the necessary key to living free from limiting conditionings and being fully aware, able to own your life and your reactions, taking care of the other, your environment, and yourself. Pay attention to what you think; be awake and alert and be an observer. In this way you will stay connected to the external layers of your identity (your body, your role, your position, and the things you have to do), at the same time as to your inner awareness (what you are and what your being longs for). You will be rooted in your awareness, observing from there what you think and do. It is the "third eye" that sees and pays attention. That is why I propose that perhaps instead of full attention we ought to speak of full awareness. Full awareness helps us much more than simply relaxing us and helping us to overcome stress.

Your attention allows you to direct energy toward whatever you want. However, you should be attentive and decide with great care where you want to direct your energy! Sometimes you fix your attention on to the future that causes you anxiety or you anchor it in the past that causes you anguish. Then, instead of being your ally, it entangles you. The past torments you, and the future causes you anxiety. Your attention keeps you blocked in. You should change the focus of your attention in order to get away from the torment or the anxiety.

Attention, will, and concentration have to go hand in hand. Whatever it is that you give attention to in your life grows and lights up. If you focus on a problem, you increase it. If you focus on what works and on your strengths, you invoke them and express them. Full attention, whole attention, is to be alert, noticing and aware of what is happening in you and around you.

When you are attentive and fully present, you flourish and you express the best of yourself. You are an appreciative coach, thinking partner, leader.

Summary: Living in the Questions

Appreciative leaders, coaches, and thinking partners live more in the questions than in the answers. They don't feel that they have to give answers and are comfortable in the zone of "not knowing," the "I don't know." They trust in their people and client's capacity for learning and they encourage it. They always work toward empowering others.

They are the kind of people who listen, appreciate value, and recognize what gives energy and vitality to the person telling their story. They collaborate in bringing out the potential and skills of the person they accompany. They encourage the appreciative point of view, allowing people to find the available resources that are invisible to “the untrained eye.” In that way they nurture the positive emotions that motivate people to continue with the process.

Appreciative leaders welcome having a thinking partner. A thinking partner holds the space of the leader. Beyond their words, the leader generates a field, and the thinking partner sustains it for them. A thinking partner is an appreciative inquiry coach and leader who not only takes the person’s individual aspirations and talents into account (as in traditional coaching); they also take the context into account: who they work with (aligning personal strengths and values with the system of the organization, the impact of the person on the system they work and live together in). The thinking partner keeps in mind that the person develops in the context of their system. Therefore, it is not only a matter of defining and achieving their personal objectives in their own terms, but rather of including the whole system in the vision, in the conversation and the actions. The leadership coach becomes a thinking partner of the persons with whom they work and accompany.

Other features that characterize the appreciative leaders, coaches, and thinking partners are:

- They accompany people in defining affirmatively the topics of interest, of meetings, and of concern.
- They use positive language that describes what they want and that distances them from what they don’t want and from the language of deficit typical of problem-solving.
- They motivate people to find innovations and strategies.
- They ask questions that allow people to identify their inner dialogues, so that they can observe the quality of the same.
- They make it possible for others to find their guiding images.

The living and practice of all this causes a cognitive, emotional, perceptive, and behavioral opening, which improves performance, and helps people to consider possibilities for the future and change.

In the face of a person’s unhappiness, suffering, or pain, the appreciative leaders, coaches, and thinking partners don’t attempt to relieve their pain, but rather maintain the intention of focusing on helping them in their development and growth. So, they accompany them on a journey which goes from the past and present pain to perceiving the attractor images of the future they want to live. And, on seeing them, on living through them in the visualization and narrating them, the person leaves the space of pain, motivated to go toward where they want to go. They connect to what gives them light and life. One of the keys to holding the space in the relationship with the person we are accompanying is the power of an appreciative and transformative presence.

Cross-References

- ▶ Improvisation and Transformation: Yes to the Mess
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ Leadership Convergence: The Dawn of Practical Wisdom
- ▶ Self-Awareness in Personal Transformation
- ▶ Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology
- ▶ The New Leader as Spiritual Hero: The Way of Awakening
- ▶ Transformative Leadership

References

Caplan M (1999) Halfway up the mountain. Hohm Press, Chino Valley
Cooperrider DL et al (2002) Encyclopedia of positive questions, Vol 1: Using appreciative inquiry to bring out the best of your organization. Lakeshore Communications, Euclid
Cooperrider DL, Whitney D, Stavros JM (2008) The appreciative inquiry handbook. Crown Custom Publishing, Brunswick
d'Ors P (2012) Biografía del silencio. Siruela, Madrid
Gergen KJ (1994) Towards transformation in social knowledge. Sage, London
Gergen KJ (2011) Relational being. Oxford University Press, New York
Hanh TN (1998) Enseñanzas sobre el amor, Oniro, Barcelona, Hanh TN (1997) Teachings on love. Parallax, Berkeley
Krishnamurti J (1992) On relationship. Harper, San Francisco
Lyubomirsky S (2008) La ciencia de la felicidad. Urano, Barcelona
Ruiz M (1997) The four agreements. Amber-Allen, San Rafael
Scharmer O (2007) Theory U. Society for Organizational Learning, Cambridge
Schiller M, Holland BM, Riley D (2001) Appreciative leaders, in the eye of the beholder. TAOS Institute, Chagrin Falls
Seligman M (2004) Authentic happiness. Free Press, New York
Strano A (2010) Los cuatro movimientos. Asociación Brahma Kumaris, Barcelona
Subirana Vilanova M (2010) Creativity to reinvent your life. O'Books, London
Subirana Vilanova M (2012) El poder de nuestra presencia, una guía de coaching espiritual. Kairós, Barcelona
Subirana Vilanova M (2014) La gran liberación, heartfulness y mindfulness. Kairós, Barcelona
Subirana Vilanova M (2015) Florecer juntos, una guía de coaching apreciativo. Kairós, Barcelona. In English: (2016) Flourishing together, guide to appreciative coaching. O'Books, London
Subirana Vilanova M, Cooperrider D (2013) Indagación Apreciativa: un enfoque innovador para el desarrollo personal y de las organizaciones. Kairós, Barcelona
Thatchenkery T (2006) Appreciative intelligence. Berrett-Koehler, San Francisco
Tolle E (2006) A new earth. Penguin, London
Vogt EE, Brown J, Isaacs D (2003) The art of powerful questions. Whole Systems Associates, Mill Valley
von Goethe JW (1808) Faust (Engl transl 1835 by Anster J)
Whitney D, Trosten-Bloom A, Rader K (2010) Appreciative leadership. McGraw-Hill, New York

Part IV

Group Transformation

Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians

Dorianne Cotter-Lockard

Contents

Abstract

What influences personal and small group transformation for classical chamber musicians? In this chapter, I explore the context of classical chamber music ensembles and how embodied awareness and reflexivity contribute to personal and small group transformation, or *collective virtuosity*. According to Marotto et al. (J Manag Stud 44(3):388–413, 2007), collective virtuosity occurs when "individual virtuosity becomes collective in groups through a reflexive process in which group members are transformed by their own peak performance" (p. 395). During my research with classical chamber musicians, I observed personal transformation take place as individuals broadened and deepened their awareness

D. Cotter-Lockard (✉)
Institute for Social Innovation, Fielding Graduate University, Santa Barbara, CA, USA
e-mail: dcotter-lockard@email.fielding.edu; dorianne@cotterconsulting.net

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_31

by practicing a set of rehearsal techniques. Each technique helped musicians to expand and embody awareness, mirror gestures and entrain energies, to enter into a mutual tuning-in process, and to ultimately form a *We Presence* in which musicians experienced collective virtuosity. This chapter contains examples of several chamber music rehearsal techniques with explanations of how they contribute to personal and small group transformation. I provide a model that illustrates a transformation process which results in collective virtuosity.

Keywords
Transformation · Small groups · Teams · Music education · Organizational development · Human development · Chamber music

Introduction

What influences personal and small group transformation for classical chamber musicians? During my research with classical chamber musicians, I observed personal transformation take place as individuals broadened and deepened their awareness. Expanded awareness leads to expanded consciousness through a process of human development. Awareness may also become embodied. Embodied awareness supports the process of transformation. We become something new in the world and we relate in different ways to others. We create novel ideas, approaches, and ways of being with each other. In turn, these aspects influence group transformation.

In this chapter, I address how the expansion of awareness through an embodiment process in the context of classical chamber music ensembles contributes to personal and small group transformation, or *collective virtuosity*. I consider the chamber music ensemble to be a type of small group or *team*, defined as: “A group of people that form an intact social system within a larger social system, with boundaries and an identity, a common purpose, mutual accountability, interdependence, and a commitment to group performance goals” (Cotter-Lockard 2012).

Why did I choose classical music ensembles, and more specifically, the string quartet as the focus of my research? When members of a classical music ensemble perform, they must perform with precision and in synchrony. They must decide together, ahead of time through a rehearsal and learning process, how they will interpret the piece of music they intend to play. Each member of the group builds individual skills to play his or her instrument, as well as learn their part of the musical composition. Group members must learn to communicate verbally and nonverbally with each other during rehearsals and nonverbally during performances. Over time, group members learn to expand their awareness and to use the body in order to communicate nonverbally.

If we refer to the definition of a *team* at the beginning of this introduction, we see that a chamber music ensemble consists of “a group of people that form an intact social system.” Furthermore, this social system is embedded in the larger social system of concert presenters, audiences, schools, and communities. The members create group boundaries, which remain stable for some period of time, often decades. The group names itself and the world comes to identify the group by its name, reputation, recordings, and public concerts. Their common purpose is to perform great music and often includes educating audiences, commissioning new works, collaborating with artists in other genres, and teaching the next generation of professional and amateur musicians.

Ensemble members are accountable to each other as well as interdependent. Ann Elliott-Goldschmid, first violinist of the Lafayette Quartet, said of their group experience during performances: "when you get up on stage, it's the ultimate moment of truth, and I have to trust these three women with everything I'm doing. I have to trust that they're going to be listening" (Rounds and Lafayette String Quartet 1999, p. 73). Arnold Steinhardt, retired first violinist of the Guarneri Quartet said, "If I played out of tune, we played out of tune; if they stumbled, so did I; and if I managed to play beautifully, we would all share the credit" (1998, p. 115). In order to be successful as an ensemble, group members must commit equally to shared performance goals. If these elements of a *team* are absent from a particular chamber music ensemble's way of being and operation, the ensemble will not achieve long-term success.

Keith Sawyer (2003, 2006, 2007) is well known for his scholarly work on group creativity. Sawyer wrote about *group flow*, which he distinguished from Csikszentmihalyi's (1990, 1996, 2003) flow theory. Sawyer said that group flow is a property of what he called "group consciousness." Group flow occurs when performers simultaneously listen to each other, listen to themselves, and play their instruments with excellence. According to jazz trombonist Melba Liston, "everybody can feel what each other is thinking and everything. You breathe together, you swell together, you just do everything together, and a different aura comes over the room" (Berliner 1994, p. 392). This is the magic that accomplished musicians routinely invoke. Music ensembles rehearse until they enter into a group flow state – in the jazz genre it is called being *in the groove*.

Marotto et al. (2007) first coined the concept of *collective virtuosity* in a study of peak performance experiences with orchestral musicians. They defined peak musical performance as "a subjective experience in which one loses a sense of time and space as well as feels great joy and bliss" (pp. 389–390). Marotto and his colleagues defined collective virtuosity as "the aesthetic experience in a group that is transformed by its very own performance" (p. 395). Within this deep group connection, "individual virtuosity becomes collective in groups through a reflexive process in which group members are transformed by their own peak performance."

Let's unpack this definition of collective virtuosity. The first requirement is that group members demonstrate individual virtuosity. Individual virtuosity comes from hours of study and individual practice. The second requirement is for group members to have an aesthetic experience of peak performance. As described above, one of the characteristics of a peak experience is that time and space disappear in the conscious awareness of the individual, and she/he experiences feelings of deep happiness and equanimity. One may characterize the experience as *aesthetic* because group members appreciate the pleasure of the experience through their senses in response to the beauty of that which is created during the performance.

The third requirement of collective virtuosity is that each group member is transformed by their own peak performance through a reflexive process. During a reflexive process, we engage in an "internal conversation, through which we come to understand ourselves, our lives, the meaning of our actions and our biographical narratives" (Burkitt 2012, p. 460). According to Burkitt, the process of reflexivity encompasses social relations and emotions. The string quartet ensemble is a perfect subject for exploration with regard to reflexivity and how individual transformation within a small group can lead to group transformation. I explore the process of reflexivity, individual transformation, and collective virtuosity further in this chapter.

Several varieties of chamber music ensembles exist, which range from two to eight members, and they may contain a wide variety of instrument combinations. While woodwind and brass ensembles are comprised of instruments from the same families, the individual instruments within those groups require different techniques to produce sound. The string quartet is unique in several ways. The sound of each instrument in a string quartet is produced the same way, and the musician draws a bow across the strings or plucks the strings with the fingers. The vibrato (which causes an instrument to sing like a voice) is produced virtually the same way for all four instruments. The fact that there are four group members instead of three or five contributes to a unique set of relationships and working dynamics between members. And not the least important, composers during the past 300 years produced an abundance of compositions for the string quartet. Many of the great classical composers believed that the epitome of compositional challenges was to compose a string quartet and thus they devoted their greatest work to this genre.

My final reason for using the string quartet as an example of individual and group transformation is personal. I began music studies of piano at age 8 and added violin at age 9. Within a few years, my teacher placed me into a string trio and assigned us a wonderful chamber music coach. Thus, began a life-long love of chamber music. In high school, I had the unique opportunity to travel to Berlin with my youth orchestra to compete in a festival. At that festival, I met up with three musicians from the U.S.S.R., who were officially not allowed to fraternize with the Americans. Even so, we found a room with four chairs and stands and sat down to play string quartets. We did not speak each other's language and it didn't matter. All other identity boundaries fell away as we immersed ourselves in the music, leaving us the single identity of *classical chamber musician* to bind us together.

After that, I decided to embark upon a career in classical music. I attended a well-regarded music conservatory and played professionally in New York City during my twenties. As I approached the age of 30, the need to earn a living became more urgent for me, so I learned how to program computers. After a few years, I managed technology teams. I returned to school to earn an MBA and left behind my career in music.

Twenty years later, I found myself in a position of executive leadership within a Fortune 100 company, leading two large divisions of technology professionals. All along, my focus was to help develop the people within my organizations. I aimed to help them transform as individuals, which pushed the organization toward transformation. During those years, I brought the lessons I learned as a classical chamber musician with me; I applied them to my work in organizations. Finally, disillusioned with the corporate world and yearning to focus on my passion for human and organizational development, I entered the academic world to earn a doctorate. I conducted my research at the Cleveland Institute of Music (CIM) to study how the string chamber music coaches there enabled their students to collaborate effectively. Content from that research combined with my work experience form the basis of this chapter.

Classical chamber musicians use specific techniques during their rehearsals to help them embody an expanded awareness, move into a flow state, and enter into collective virtuosity during performances. In this chapter, I explore how musicians use these techniques and how one might apply them in organizational settings with teams to enable collective virtuosity. First, I explore several aspects of awareness and how to develop awareness.

Developing Awareness

In my experiences working in and with teams, awareness is essential for individual and group creativity, as well as healthy relationships. Awareness encompasses many facets, including internal and external awareness. External awareness is derived from the five senses (Ackerman 1990; Damasio 1999), and when combined with internal perceptions and interpretations, external awareness expands beyond the traditional senses. The inner world has several dimensions, including emotions, thoughts, beliefs, values, memories, and the interpretations of these facets of the inner world. For example, internal awareness includes aspects of emotional, social, and spiritual intelligence.

Emotional intelligence (EQ) awareness begins with emotional self-awareness, with which a person can name what she is feeling, identify emotional triggers, and observe her behaviors as she feels her emotions. According to Goleman and Boyatzis, who developed a well-regarded model for emotional intelligence (Goleman 1995; Goleman et al. 2002), EQ awareness also includes empathy, which is the ability to sense, understand, and even feel the emotions of other people. These two types of EQ awareness, combined with the ability to manage one's own emotions and behaviors through all types of situations, allow the emotionally intelligent person to develop healthy, enduring relationships.

Riggio (2014) identified a set of social intelligence skills that lead to positive relationships and outcomes. According to Riggio, individuals with high social intelligence pay attention to others' behavior, body language, and use of language in order to understand others' thoughts and feelings. Socially intelligent people take time to observe the informal rules, or norms, that comprise an organization's culture. As a result, the socially intelligent person can assume social roles based on the context. She/he has the ability to carry on tactful, appropriate conversations with a diverse group of people.

Spiritual intelligence (SQ) awareness builds on emotional and social intelligence. According to Cindy Wigglesworth (2012), a person with high SQ has a deep awareness of his own world view and the ability to understand the worldviews of others. He has the ability to distinguish between the thoughts of his ego self and the inner wisdom of his higher self. A person of high spiritual intelligence also has a deep awareness of the breadth of time and space. These different types of awareness give an individual the ability to adapt to the ebb and flow of life experiences.

Internal awareness also includes understanding one's own psychology and biology. An understanding of our fears, neuroses, addictions, attitudes toward life, and personality preferences (to name a few aspects of psychology) informs how we respond to life's experiences and how we interact in the social world. Similarly, to be mindful of what occurs within our body at any moment provides useful information. For example, if we are aware of the symptoms of low blood sugar, we can take steps to feed ourselves food that sustains us through a period of work until our next meal. We can train ourselves to notice where we hold tension in the body and take steps to breathe and stretch in order to relieve the tension. Some of us may have hormonal changes occurring within us, while others may have reactions to food, medications, or the environment. Some may experience an illness, and all of us experience various circadian rhythm cycles. If we pause to acknowledge our body-awareness, we can take steps to support and nourish ourselves through these physical challenges and changes.

Why is awareness so important for individual and group development and performance? This handbook is filled with stories and examples of how the expansion of individual awareness leads to personal development and transformation. For musicians, awareness and knowledge of the interior self is an integral aspect of their artistic development.

For example, the technical craft of playing a musical instrument requires hours of mental and physical practice. The musician must become aware of how his or her fingers are placed on the fingerboard and how she/he holds the bow to produce a variety of sounds. She/he must train her hearing capabilities to discern the differences in pitch and sound quality. She/he must use body weight to support sound production. Mental practice includes research into the life-world of the composer, the historical context in which a piece of music was composed, and a process of understanding the form and structure of a composition. Finally, the musician brings his or her life experience, emotions, and soul into the process in order to create an interpretation of the music which she/he expresses to the audience during the musical performance.

Acquiring the technical skills to play an instrument with virtuosity does not guarantee artistry. One must develop into a mature human being in order to express musical artistry. I recently interviewed one of my violin teachers and former head of the string department at the Eastman School of Music, Charles Castleman, who said that “I’ve told people to go to Harvard or a place like that for college because they don’t need much help with the technique of playing an instrument, and they can get a private teacher to help them sort things out. If they’re ready to be artists at that point, they should go to a place that makes them be artists, that gives them a well-rounded education in literature, history, and philosophy.” Artists must receive a well-rounded education in order to deepen their awareness of the world, be able to adopt different world-views, and thus draw from a deep well of experience to nourish their art.

Self-awareness is the stepping-off point to develop *other-awareness.* The same skills that a person uses for self-awareness can be shifted from an internal to an external focus in order to develop other-awareness. Once the musician joins an ensemble, she/he must create a joint interpretation of the music with other group members. She/he must learn to use body and facial gestures to communicate with group members during performance. She/he must use emotional, social, and spiritual intelligence skills to create a positive environment in which the ensemble thrives.

Internal and external awareness are essential to a person’s ability to interact successfully within a small group environment. In the next section, I introduce the concepts of *entrainment* and *resonance*, which explain aspects of group interactions within an energetic and physiological framework.

Entrainment and Resonance

The seventeenth century by Dutch scientist Huygens first described the phenomenon of *entrainment* when he discovered that pendulum clocks in the same room eventually align to the same rhythm. Entrainment occurs when two independent rhythmic processes interact and eventually synchronize to a common cycle of rhythm (Clayton et al. 2003). Scientists during the past few decades have studied entrainment across multiple disciplines, including physics, chronobiology, cognitive psychology, linguistics, and social psychology.

Collins (2004, 2012) describes a pattern of social entrainment behavior, that "when persons are physically nearby, recognize that each other is attending to the same thing, and share a similar emotion, a process is set off that builds rhythmic entrainment" (p. 136). For example, research confirms that entrainment occurs in such diverse groups as engineering design teams and groups that build business alliances (Reid and Reed 2000; Standifer and Bluedorn 2006). People entrain to verbal communication and gestures during the course of social interactions. Entrainment plays a role in power dynamics in groups, and rhythmic patterns among team members affect work activities and relationships (Clayton et al. 2003; Davis 1982; Knapp and Hall 1997).

Phillips-Silver et al. (2010) developed a social entrainment model that they applied to the domains of music and dance. According to the authors,

> Social entrainment is a special case of entrainment in which in which the rhythmic signal originates from another individual. In social entrainment, mechanisms capable of sensing sensory stimuli are activated by cues from the social environment in ways that generate coordinated behavior and can potentially lead to complex feedback loops between rhythmic information production and detection. (p. 7)

Furthermore, c*ollective social entrainment* "is characterized by a network of [rhythmically responsive] input/output connections among individuals within a group" (p. 9). Phillips-Silver et al. suggest that a shared social context and shared intentionality are essential ingredients for collective social entrainment to occur.

Research indicates that brain waves align while musicians perform together. Recent studies which focus on music and the human mirror neuron system open an exciting new arena for neuroscience research related to human entrainment. For example, Overy and Molnar-Szakacs (2009) suggested that "imitation, synchronization, and shared experience may be key aspects of human musical behavior" (p. 490). Based on their research, the authors concluded that "the brain's functioning is intimately connected with the body . . . and the brain has evolved to interact with and to understand other brains" (p. 492). In addition, research regarding rhythmic entrainment in music therapy settings has shown critical successes in motor rehabilitation with people who have motor-disorders such as Parkinson's disease, stroke, and cerebral palsy, as well as in speech, language, and cognitive rehabilitation processes (Thaut 2013; Thaut et al. 1999).

Resonance and entrainment are closely related. Resonance is the "reinforcement or intensification of sound due to sympathetic or synchronous vibration of some body or air in a space, when a frequency of oscillation equal to or close to its own frequency is forced upon it" (Thygesen 2008, p. 64). Resonance between people can be defined as an energetic connection between two human bodies, in which each person sends electro-static vibrations, some audible, into the areas surrounding their body. We gain awareness of these vibrations through our senses on several levels. According to Levi (2003), "human beings send, receive, and store information in all parts of the body and that physical intelligence expands the traditional notion of brain-centered activity to include sound-wave imprinting on human cells" (p. 22). Levi (2003) defined collective resonance as "a felt sense of energy, rhythm, or intuitive knowing that occurs in a group of human beings and positively affects the way they interact toward a common purpose" (p. 3).

Embodied Awareness

In addition to the concepts of entrainment and resonance, it is critical for musicians to develop body awareness as an integral aspect of their practice and performance processes. A musical instrument can be considered to be an extension of the body and emotions originate from the body (Damasio 1999; Pert 1997). Therefore, the musician must embody the emotional content of the music before it can be conveyed to an audience.

Woodard (2009) contends that "Because of the intricacies and complexities of performing music, musicians require accurate and specific information about their bodies and their movement" (p. 170). She contends that musicians commonly conceive of the act of performing music as "disembodied" – as an intellectual pursuit in which the body is separate from the mind and soul that creates the music. Woodard suggests that body awareness and movement have become "imperceptible phenomena" based on the cultural practices of musical training provided by music conservatories and other educational institutions (p. 157). Her research provides evidence that "emphasizing movement awareness while teaching music increases musicians' self-awareness as they practice and perform" (p. 170). In a second study of professional musicians, the musicians felt *melodies in their muscles* while they listened to music, as if they were physically engaged in the performance. This concept is known as *kinesthetic listening* (Keil 1995).

Davidson and Correia (2002) asserted that the body is "vital in the generation of expressive ideas about the music." (p. 237). They recommended that music educators use specific techniques to assist students to use their bodies correctly while performing music. The authors specified the following approaches and techniques: The Alexander technique, to demonstrate the musical character of a composition through physical gestures without the use of instruments, assign "action metaphors for each phrase" (p. 247), and conduct the instructor while the instructor performs the music.

The coaches at CIM used numerous techniques to help students become aware of their bodies, movements, and gestures during rehearsals and performances. Later in this chapter, I describe some of these techniques and illustrate how they transform musicians by creating deeper levels of embodied awareness.

Forming a We Presence

Martin Buber (Buber and Kaufmann 1970) wrote about the conscious development of relationship to "You" that becomes a relationship to "Thou" when the borders between "I" and "You" dissolve (p. 55). According to Buber, "The longing for relation is primary" and is seen in the earliest stages of human development (p. 78). The consciousness of an individual evolves through a series of relations to You; self-awareness evolves through each relation.

When a person says "You" with her whole being, she does not possess the other person, and time and space disappear. Buber said, "In every You we address the eternal You." Once we conceive of You in a particular time or place, You "becomes a He or a She, an It, and no longer remains my You." Buber said, "I-You [Thou] can only be spoken with one's whole being" (Buber and Kaufmann 1970, pp. 54–59).

In his essay, "Making Music Together," Schutz (1964) examined the social interactions between contributors in the expression of music. He included the composer, musicians, and audience as members of the social world of music-making. A key concept in Schutz's essay is the "mutual tuning-in relationship," which involves the relationship between "I" and "Thou," to create a *We Presence*. Schutz maintained that the structure of the mutual tuning-in relationship "originates in the possibility of living together simultaneously in specific dimensions of time" (pp. 161–162). He included the concepts of internal time, called *dureé*, and external time (measured as clock time, tempo, and rhythm) in his analysis. I contend that forming a We Presence in a small group or music ensemble requires that time, space, object, and subject boundaries dissolve.

Schutz (1964) argued that the musicians and the audience all enter into the river of the composer's consciousness during a musical performance. Performers and listeners share internal and external temporal experiences, resulting in "simultaneity" through the mutual tuning-in relationship (p. 173). The listener's experience is mostly internal, whereas the performing musician's experience is both internal and external. The musician interprets his own part, senses the other performers' musical nuances, and also anticipates the others' perceptions of his musical expression. In the process of mutual tuning-in, ensemble members enter into each other's stream of consciousness to form a We Presence, which in turn may affect the audience's emotional and visceral experience of the music.

This process of contributing energy to the whole, sharing deep meaning, and entering into a mutual-tuning in relationship helps chamber musicians to form a We Presence in a way that is not possible in larger musical ensembles. In an orchestra, there may be as many as forty violins, a dozen violas, and a dozen cellos. From my research interviews, one student reflected that:

> With string quartet playing, the best part is you have to be so in touch with everyone around you that you almost feel like one person. . . . In an orchestra it definitely doesn't happen. Instead of connecting with everybody around you, you're connecting with the conductor . . . and it is kind of rare that you get these opportunities to be so in touch with other people that you almost feel like you're the same person. (Fred – Note: All names for students quoted in this chapter are pseudonyms)

Lessons from Classical Chamber Musicians

How do musicians develop inner awareness and the capabilities to transform themselves and others during rehearsals and performances? During my research, I identified over 40 techniques and strategies that the Cavani String Quartet (CSQ) used at the Cleveland Institute of Music (CIM) in their chamber music programs. Several techniques are associated with the process of sound production and rhythmic alignment, and some support the process of musical interpretation. In addition, CSQ used a set of techniques with their students to invoke deep listening, embodied awareness, and positive interpersonal dynamics. As students practiced these techniques during their group rehearsals, they entered into a reflexive process in which they were transformed individually and collectively. In this section, I highlight a few of these techniques and strategies, beginning with establishing a positive environment, to illustrate how they result in personal and small group transformation.

A Positive Environment of Love, Relationship, and Inspiration

Members of the CSQ told me that one of their main objectives was to create a positive environment that supports healthy individual and group development. The three aspects of CSQ's focus were *love, inspiration,* and *relationship*. In Fig. 1, the circle represents the environment within CIM's chamber music programs; the interior of the figure encapsulates the teaching philosophy of CSQ as well as the Director of the chamber music department and former member of the Cleveland String Quartet, Peter Salaff. The triangle represents the ultimate goal of the coaches

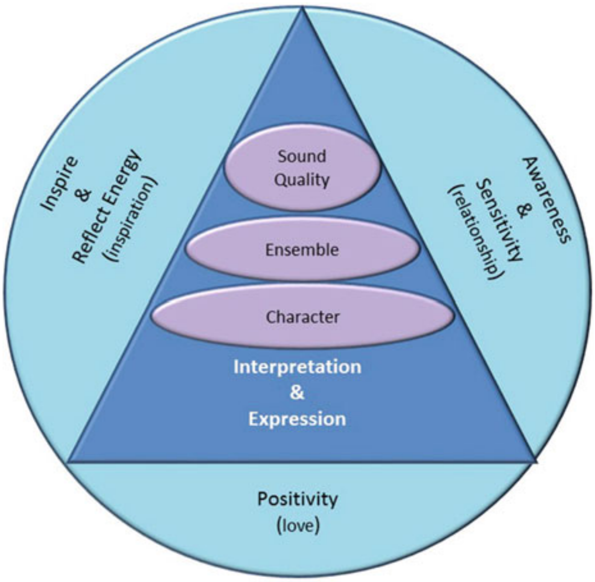


Fig. 1 The coaching environment

and students, which was to interpret and express the music. The primary aspect of music interpretation is the ability to discern the character of the music by understanding the composer's markings in the musical score, along with reading about the composer's life and world events at the time the music was composed. Once the musical character has been defined, the musicians can focus on playing together in rhythm (ensemble) and on producing the sound quality they desire. However, before they can attend to these finer points of interpretation, the musicians must co-create an environment in which learning and discovery can take place.

The chamber music coaches in my research emphasized the importance of creating a positive environment: They wove care and kindness into every conversation and coaching session. They modeled these behaviors with each other in front of the students during master classes. In addition, the coaches highlighted the positive aspects of students' performance with affirming language during the coaching sessions.

For example, they taught students in master classes how to give feedback to each other after each group performed. "First, say what you appreciated and enjoyed about the performance, then you can offer an idea or suggestion for them to consider" (Coach B). In the private coaching sessions, coaches first asked the students what they liked about the way they played a certain passage. Students reported that initially, the normal way to begin a postperformance discussion was to focus on what went wrong. After some practice in making positive observations, they found that it was easier to give and receive constructive feedback and that they enjoyed their rehearsals to a greater extent.

More than 25 years of longitudinal research has shown that the use of a coaching process that brings people to a Positive Emotional Attractor (PEA) state induces improvements in cognitive, social, and emotional intelligence competencies (Goleman et al. 2002). Additional research has shown that the hormonal and neurological systems of individuals are affected in a PEA state so that they are more receptive to new ideas, relationships, and perspectives (Smith et al. 2009). Furthermore, research using fMRI technology showed that coaching and mentoring that induces PEA states activated regions of the brain associated with positive affect, expanded visioning processes, and engagement of the parasympathetic nervous system (PNS) (Jack et al. 2013). When the PNS is activated, the heart rate slows and the endocrine system releases hormones to relax the body. These effects aid individuals to be more receptive, flexible, and creative.

During my study, one student commented on the process of losing confidence and later regaining it as he transitioned into the college conservatory environment. A positive learning environment at the conservatory helped students shift their mental state as they experienced the transition to their new environment:

> There's a huge confidence strike that a lot of kids go through freshman and sophomore year, where you [had] huge confidence and you performed concertos with orchestras in high school. And then you get here and ... you become scared to play two quarter notes, you know? Because if they're not perfect, then some kid down the hall will judge you. ... We definitely are working on trying to figure out what our mental state is when we perform. (Justin)

Another member of the same ensemble told me that they trained themselves to begin with positive observations rather than dwell on the negative aspects of their performances:

> We're changing our way of reviewing our performances. . . . if you start with something negative you're going to associate with all your performances negatively, going into a performance and coming out of it. And we often forget that the point of a performance is to let the audience hear the music and enjoy it. And the music comes first. The performer comes second. So that's what we need to remember. (Grace)

Toward the end of my site visit, CSQ First Violinist Annie Fullard told me, "it all boils down to this: Coaching and learning to play chamber music is all about love and energy." Not only is a loving environment essential to helping students learn and develop as artists, when they incorporate loving behaviors into their interactions with each other, they establish enough trust and safety to take risks as artists. As a result, musicians open the door to deeper connections with each other, which they convey to audiences through the music.

Another foundation for creating an environment for learning and creativity is the concept of co-inspiration, which is the ability to express and reflect energy within a group. Rather than taking on roles as leaders and followers, members of the string quartets in CIM's program are taught to adopt the role of *co-inspirer*. Everyone within the group has the responsibility to inspire other group members in a continuous process of inspiration. The coaches at CIM intentionally used this concept and its associated techniques to *level the playing field* so that every member of an ensemble felt equally empowered to contribute during rehearsals and performances.

To inspire another implies that the inspirer expresses something from deep within her or himself. The inspiration may come from the person's developed, aware self as described above, and may also come from a deeper source within their being. The word *inspire* comes from the Latin root *inspirare* which means to "blow into, breathe upon," and figuratively means to "inspire, excite, inflame." Later on, the Old English word *enspiren*, meant "to fill (the mind, heart, etc., with grace, etc.)" and the Old French word *espirit,* meant "spirit, soul" (Harper 2016). More recently, the word *inspire* has come to mean "To 'breathe in' or infuse (a feeling, thought, principle, etc.) into the mind or soul" (Oxford English Dictionary Online 2016).

Breathing is one of the most important aspects of learning to play chamber music together. Musicians must attune to each other's breath in order to synchronize entrances and exits during a musical passage. By breathing together, musicians embody the shaping of a phrase. They literally entrain their biological and neurological systems to each other. This mutual entrainment process can result in the participants' feeling connected, in addition to emotions of exhilaration and bliss; their mind, heart, and soul filled with grace. Through the use of techniques described in this chapter, the act of breathing together while playing string quartet music infuses and inspires group members in multiple dimensions, resulting in individual and group transformation.

A third objective of the coaches at CIM was to develop healthy relationships through awareness and sensitivity. It is not enough for a musician to be self-aware in order to succeed as a performing artist. The most successful musicians are collaborators.

Collaboration requires social intelligence and *other awareness*. Developing other awareness is a subtle process, more than mere observation of other group members' movements and hearing the sounds coming from their instruments. Other awareness is an empathic activity; it requires that an individual can *feel with* another. She/he must be sensitive to the energies emanating from their colleagues and be able to respond to these energies. This process cannot be taught from a theoretical or intellectual position. Other awareness must be learned through practices and embodiment.

One student explained how she and her colleagues shared a personal gift with each other that exemplifies a deep connection and awareness of each contributor to the whole:

> Music is a very personal endeavor and we all feel it differently ... I think it's so hard to find three other people who are willing to share such a personal thing . . . I'm really lucky to have found these three people to work with. . . . So I think being in a quartet is the greatest musical gift. (Grace)

Another student related it to a journey with one's best friends: "It's nice to have companions on stage to be playing this really great music. It's not all in your own hands. You share the burden of portraying something accurately and expressively together" (Jonathan).

Members of the CSQ developed a set of techniques over a period of 25 years which they use during their own rehearsals and in coaching sessions with their students. The techniques I highlight in the next three sections help group members to ultimately form a *We Presence* through a transformative process. I provide examples of how the chamber music students at CIM learned to become co-inspirers who used breathing and empathic skills to deepen "other awareness," reflect others' energies, and create the mutual tuning-in relationship. As a result, they co-created a We Presence from which transformational music-making emerged.

Mirroring, Inspiring, Reflecting

The most basic interactions among musicians involve the process of giving cues to each other with regard to musical beginnings, endings, phrasing, tempo, and dynamics. A *cue* is a form of communication that can be given via gestures of the arms, head, and body, or more subtly via the eyes and breath. There is a famous video of Leonard Bernstein in which he conducts the Vienna Philharmonic in the last movement of Haydn's 88th Symphony, using only his face to conduct the orchestra (Haydn, Posted on YouTube 2013). It illustrates clearly how one can use facial gestures to communicate musical information to others within a group.

Group members mirror the gestures, breath, and musical communication given by the one who is cuing at the moment. The act of cueing and inspiring others is as important as mirroring and reflecting the energy back towards the person who initiates the cues. The coaches at CIM introduced these concepts to students who were in the early stages of forming an ensemble with a simple, nonverbal exercise derived from theater workshops.

The *Theatre Exercise* is conducted in pairs: participants mirrored each other's movement in order to learn how to cue beginnings and endings of music without the use of instruments. The coach said she wanted "to focus the students on relating to one another's leadership and to trust it" (Coach C). She asked students to take turns initiating movements in a way that would inspire their partner to reflect the energy back to the initiator by mirroring every gesture, including breathing. Coach C emphasized that the students should adopt the roles of *inspirers* and *reflectors* rather than *leaders* and *followers*.

This simple *Theatre Exercise* taught inspirers to be mindful when initiating movements so that reflectors could more easily respond. The exercise expanded awareness on the part of the reflectors. At one point, the coach requested that the pairs co-inspire each other – allowing the movement to emerge spontaneously. During a postcoaching interview, one student said that the exercise was surprisingly relevant and he suspected that it would transform the group's interactions and group dynamics starting with their next rehearsal.

> We never really did that hand thing before and that was really interesting to me. But after that, I could sort of see instead of watching their hands, or watching their face for the queue, I watched their whole body for the queue. And that was a lot different. It felt a lot easier. (Pete)

After the *Theatre Exercise*, Coach C introduced the concept of a "Pre-Cue" – she asked the students to imagine that they were playing the music before actually playing, and then begin to move the body from the base of the spine in the character of the music, again before playing the first note. The students understood Coach C's point that "you're already in the character before you start playing" (Fred) and that the "pre-cue" concept is "the way you set the atmosphere before you play the notes themselves to help with the atmosphere when you play. So obviously you need to be mentally involved as much as you are when you're playing" (Liz).

Possibly the most esoteric and difficult technique is called *Left Hands Alone*. In this advanced mirroring technique, students played the passage without their bows (right hands), using only their left hands on their instruments. Therefore, students watched each other's left fingers as the fingers moved silently on their instruments. They observed each other's bodies to sense the rhythm and character of the music together. Students were asked to sense each other's fingertips without hearing the notes.

This technique helps to develop a tactical kinesthetic awareness between members of the group. One of the students reported that:

> It engages your eyes because you really can't hear anything. It is all based on what you see. When you do this and you don't have your bow to assist you, you start using the rest of your body to show where you are in the music, how you want it to be phrased. (Grace)

When practiced mindfully, *Left Hands Alone* produced some "aha" realizations for the students:

> It shows what the rhythmic problems are, right away . . . when there's no sound, then it's straight from what you feel the music should be doing, and it is like a test of how unified you really are. (Justin)

> I guess we started together, but then after a while it's so easy to just hear it in your head a certain way without really visually seeing what everyone is doing. I just imagined their parts happening, and then weren't together. . . . I guess you really have such a strong image of what it is already, that it's hard to break that. (Renae)

The *Theatre Exercise* and *Left Hands Alone* technique brought these student groups into a state of collective social entrainment (Phillips-Silver et al. 2010) and as well, possibly stimulated the mirror neurons within the brains of group members, resulting in physiological entrainment (Overy and Molnar-Szakacs 2009).

Embodied Rhythm

An important aspect of generating collective entrainment within a music ensemble is the ability to embody the rhythms of a musical composition in order to better express the character of the music. The coaches at CIM used a set of techniques to accomplish this aim. The easiest technique is called *Chamber Music Aerobics.* In this exercise, the musicians swayed from side to side while seated as they played the musical passage with their instruments. They alternated moving from side to side with moving forwards and backwards and finally added a circular motion. This exercise frees up movements of the body and aligns the breath and musical pulse of the group. In a conversation about this technique, one student remarked:

> We started using [*Chamber Music Aerobics*] for this one section of the Shostakovich where we just didn't really have a good swing. . . . It just dried up all the issues, like putting a stop in a leak. And, also for the general flow of the piece, like . . . just coming around the corners of phrases . . . and being able to make those transitions together, it's like driving around the corner on the street without having to stop the car. . . . So this swaying thing is really helpful because for some reason your fingers, they react to the fact that your body is moving at a consistent pace. (Jonathan)

This example of the *Chamber Music Aerobics* technique demonstrates embodied learning in which body movement assists students to express the music with an expanded sense of freedom (Davidson and Correia 2002).

A second technique for embodying rhythm is *Standing and Walking,* in which members of the group stood in the corners of the room and walked toward each other while playing part of a musical passage. The musicians were instructed to "direct the sound, intention, and energy across the room to each other" and to "exaggerate the effort to reach out and connect across the space" (Coach B).

A third technique, performed without instruments, is called *Shakespearean Counting.* In this exercise, group members count out loud the rhythms in their parts, expressing the musical character, volume level, and articulations indicated in the music. The idea is that the students each take on a role in a play, enacting a musical dialog. One coach asked his students to stand and gesture with their arms towards each other as they counted, so that they could embody the concept of having a musical conversation.

Chamber Music Aerobics, Standing and Walking, and *Shakespearean Counting* all awaken body awareness within participants. The musicians add kinesthetic listening to their skill set (Keil 1995). With consistent body awareness, comes the ability to use the body more effectively to express the music and to relate to others within the group. These techniques help musicians to re-embody their disembodied spirits (Woodard 2009).

Mutual Tuning-In

Once musicians master the art of cuing by inspiring and reflecting energy within the group, and of embodying the rhythm of the music, they are ready to practice more advanced techniques to engage in the mutual tuning-in process.

In a commonly used technique, musicians play a passage without vibrato in order to listen deeply to the harmonies in the music. Students from one group told me that the use of the *No Vibrato* technique in their coaching session evoked memories from prior coaching sessions in which they were asked to imagine *rubbing* the musical notes against the notes played by others in the group in order to feel the vibrations of the harmonies. The concept of rubbing the sounds of notes against each other and the experience of feeling the vibrations of the sounds as they produced a single chord helped students to develop their sensory experience of deep listening while performing music. This is a literal example of the mutual tuning-in process.

The technique called *Play to the Center* helps students to send and receive energy within the ensemble as well as direct energy to the audience during performances. In addition to coalescing the energy of the group, it helps musicians to become aware of the energy vibrations of the music as they play. One coach told me that he encouraged his students to become aware of the vibrations of sound as the vibrations passed through their bodies.

For younger students, the coach may place a stuffed animal in the center of the music stands and ask the students to direct their energy toward the mascot. For older students, the coach may remove the music stands and ask students to play from memory while imagining that they are directing their energy into a sphere of light in the center of the group. Next, they are asked to imagine that they lift the energy sphere up from the center of the group and direct it out toward the audience.

Play to the Center results in Levi's (2003) collective resonance within the ensemble. The musicians develop a sensitivity to energy vibrations and the ability to direct the energy so that it is perceived and received by others, a process which is both subtle and transformative. The process requires a new level of consciousness on the part of the musician – a musician who gains this sensitivity and ability has taken a major step in their transformative journey toward artistry. One student described the experience this way:

> We start creating this ball of energy and shooting it out to the audience . . . so there's a ball of sound and we try to shoot it forward and then shoot it to the left and then shoot it up, go back, or this way. We try to take 20 measures of something or even a Bach chorale and try to move the sound different ways around [the room]. (Justin)

Live, Breathe, and Die (*LBAD*) is considered to be the ultimate technique by members of the CSQ. With this technique, each quartet member takes a turn as the inspirer while the group plays a musical passage. Group members mirror every aspect of the inspirer's movements, including body and facial gestures, the breath, and the musical interpretation. *LBAD* follows naturally from the earlier mirroring exercises; each member of the group has an opportunity to be the initiator/inspirer as well as a reflector.

The coaches used techniques such as *LBAD* to help students broaden their frame of reference, to engage with colleagues in a wider field of awareness, develop trust, and create a shared interpretation of the music. During our postcoaching process interviews, students revealed that they experienced a dramatic shift in their awareness and energy level while practicing the *LBAD* technique:

> [We use *LBAD* when] it doesn't feel special enough or it doesn't have enough color, it's just too bland. . . . And, overall it makes us all alive and it makes us wake up and notice everything about what everyone's doing. And that in its own way just completely changes any session because when you're up and alive and connected to everybody like that that's the whole point of chamber music. (Jonathan)

The *LBAD* technique encouraged complete commitment to the *other*. The musicians learned to expand their awareness of each other, commit to each other's ideas, and merge their consciousness into a We Presence. This more advanced technique established Schutz's mutual tuning-in relationship, resulting in both individual and group transformation. The name of the technique implies that group members allow their individual egos to die in service to the collective as they live and breathe as one.

This student reflected on the transformative nature of this exercise when he used the metaphor of clay which is formed into something collective and then baked in a kiln:

> And it's really interesting to see as each person goes, the previous person before them has inspired them in some way. And so the way they feel about the music as we go along, it's changing because everyone's adding in something to the mix. . . . it's not really molded together. It's like unfired clay or something. And as each person plays, the next person is a little influenced by what they just heard, what they liked, what they didn't like, and by their own ideas. And so by the time you get to the first violinist, it's really something that's collective. . . . And then, you play it with everyone co-initiating and that's for me, I think it's like the kiln. (Jonathan)

LBAD enabled students to express ideas without requiring them to discuss their interpretation before playing. One student commented that he experienced an embodied aspect with this technique, "You're doing everything in your power to lead your group into doing the musical ideas that you have. I find that you end up breathing a lot and leaning towards the group members that you're trying to pull in" (Matt).

Reflexivity and Transformation

It is not enough to practice the rehearsal techniques on a regular basis with musical colleagues in order to achieve a state of collective virtuosity. Group members must also engage in a personal reflexive process through which transformation occurs. Figure 2 illustrates a general representation of the process. In reality the process is not as linear as depicted. The techniques are taught and practiced in an environment of love, relation, and inspiration. The techniques all lead to greater awareness, entrainment, resonance, embodiment, and mutual tuning-in, which in turn contribute to the inner reflexive process for each member of the ensemble.

The cloud of reflexivity is formless – it cannot be constrained within a particular container. From a quantum physics perspective, reflexivity occurs in nonlocal time and space – it enables the magic of transformation (Bohm 1981; Bohm and Hiley 1993; Bohm and Nichol 1996). In this representation, transformation is bi-directional – a better depiction might be a tornado-like vortex which blossoms into collective virtuosity at the top of its swirling funnel.

Considerations for Application in Organizational Contexts

Future research is required to demonstrate how useful the framework of a transformation process toward collective virtuosity (as illustrated in Fig. 2) is for organizational teams. A quantity of resources already exists to help people develop their various intelligences and awareness in several dimensions. In addition, perhaps some of the lessons learned from classical chamber musicians can be applied to teams within organizations to assist in developing group entrainment, embodied awareness, and a mutual tuning in process.

I successfully incorporated many of the techniques described in this chapter in my leadership and organizational development work. For example, the *Theatre Exercise* requires no musical ability and is easy to demonstrate and facilitate. Participants quickly come to understand the concepts of inspiring, mirroring, and reflecting energy. Through dialog, they can explore how they unconsciously mirror each other in the workplace and learn how to consciously inspire and reflect energy with colleagues on a regular basis.

Chamber Music Aerobics can be facilitated without instruments. We group people into trios or quartets (either seated or standing) and play a recording of a movement from a Haydn string quartet that has a clear pulse to the music. We then lead the whole group in the basic movements to the recorded music for a minute or two. Next, we ask person “A” to inspire their group to move with them, followed by person “B” as inspirer, and so on. Often, the groups make up their own movements as they move into at state of group resonance. Participants report that they feel like they are in a flow with each other, and feel joyful and free. Although the repeated *Chamber Music Aerobics* exercise within an established work team has not been studied, I hypothesize that there might be long-term benefits to this practice.

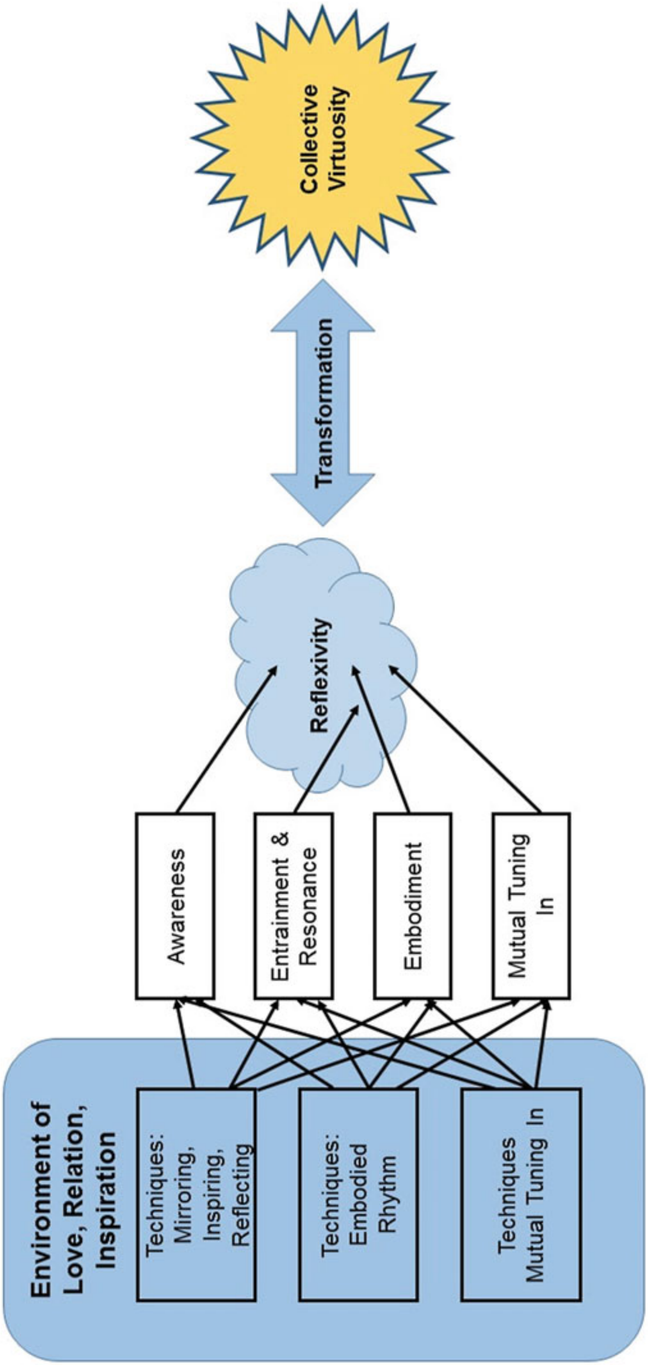


Fig. 2 Transformation process which results in collective virtuosity

Some of the other techniques, such as *Live, Breathe, and Die,* can be adapted for groups of nonmusicians by using a repetitive rhythmic phrase or by singing a common song such as “Happy Birthday.” Participants embody the concepts, and through the embodiment, they can draw connections with how they interact with colleagues in the work environment.

The dialog practices of the U.Lab at the Presencing Institute, based on C. Otto Scharmer’s *Theory U* (2007), help groups to move into progressively deeper levels of listening and to engage more mindfully with group members. Perhaps a combination of these dialog practices and the techniques learned from classical chamber musicians can enhance the ability for groups to form a We Presence as they move into collective virtuosity.

Conclusion

Returning to the question, what influences personal and group transformation for classical chamber musicians? I maintain that classical musicians who use a reflexive process in combination with embodied awareness transform themselves as they move into a state of collective virtuosity. They can use techniques such as the ones described in this chapter to enhance embodied awareness, as well as form a We Presence within the group. When these techniques are practiced within an environment of love, inspiration, and positive relationships, the likelihood of enacting collective virtuosity increases. Furthermore, some of these techniques may be applied to teams in organizational contexts to aid individual and small groups to transform themselves through a reflexive process.

Cross-References

► The Use of Energy Healing to Transform Emotional Obstacles in Leaders and Teams
► Whole System Transformation with Music

References

Ackerman D (1990) A natural history of the senses, 1st edn. Random House, New York
Berliner P (1994) Thinking in jazz: the infinite art of improvisation. University of Chicago Press, Chicago
Bohm D (1981) Wholeness and the implicate order. Routledge & Kegan Paul, London/Boston
Bohm D, Hiley BJ (1993) The undivided universe: an ontological interpretation of quantum theory. Routledge, London/New York
Bohm D, Nichol L (1996) On dialogue. Routledge, London/New York
Buber M, Kaufmann WA (1970) I and thou. Scribner, New York
Burkitt I (2012) Emotional reflexivity: feeling, emotion and imagination in reflexive dialogues. Sociology 46(3):458–472. https://doi.org/10.1177/0038038511422587

Clayton M, Sager R, Will U (2003) In time with the music: the concept of entrainment and its significance for ethnomusicology. Paper – submitted to open peer community for review
Collins R (2004) Interaction ritual chains. Princeton University Press, Princeton
Collins R (2012) Entering and leaving the tunnel of violence: micro-sociological dynamics of emotional entrainment in violent interactions. Curr Sociol 61(2):132–151
Cotter-Lockard D (2012) Chamber music coaching strategies and rehearsal techniques that enable collaboration. 3542521 PhD, Fielding Graduate University, Santa Barbara. Dissertations & Theses @ Fielding Graduate University database
Csikszentmihalyi M (1990) Flow: the psychology of optimal experience, 1st edn. Harper & Row, New York
Csikszentmihalyi M (1996) Creativity: flow and the psychology of discovery and invention, 1st edn. HarperCollins, New York
Csikszentmihalyi M (2003) Good business: leadership, flow, and the making of meaning. Viking, New York
Damasio AR (1999) The feeling of what happens: body and emotion in the making of consciousness, 1st edn. Harcourt Brace, New York
Davidson J, Correia JS (2002) Body movement. In: Parncutt R, McPherson G (eds) The science & psychology of music performance: creative strategies for teaching and learning. Oxford University Press, Oxford, UK, pp 237–250
Davis M (1982) Interaction rhythms: periodicity in communicative behavior. Human Sciences Press, New York
Goleman D (1995) Emotional intelligence. Bantam Books, New York
Goleman D, Boyatzis RE, McKee A (2002) Primal leadership: realizing the power of emotional intelligence. Harvard Business School Press, Boston
Harper D (2016) Online Etymology Dictionary. In Online Etymology Dictionary. Retrieved from http://www.etymonline.com/; http://www.etymonline.com/index.php?allowed_in_frame=0&search=inspire
Haydn J (Posted on YouTube 2013) Symphony No. 88. On Leonard Bernstein conducts the Vienna Philharmonic – live performance
Jack AI, Boyatzis RE, Khawaja MS, Passarelli AM, Leckie RL (2013) Visioning in the brain: an fMRI study of inspirational coaching and mentoring. Soc Neurosci 8(4):369–384. https://doi.org/10.1080/17470919.2013.808259
Keil C (1995) The theory of participatory discrepancies: a progress report. Ethnomusicology 39(1):19
Knapp ML, Hall JA (1997) Nonverbal communication in human interaction, 4th edn. Harcourt Brace, Ft. Worth
Levi RA (2003) Group magic: An inquiry into experiences of collective resonance. Unpublished manuscript, dissertation summary, Saybrook University, San Francisco, CA
Marotto M, Roos J, Victor B (2007) Collective virtuosity in organizations: a study of peak performance in an orchestra. J Manag Stud 44(3):388–413
Overy K, Molnar-Szakacs I (2009) Being together in time: musical experience and the mirror neuron system. Music Percept 26(5):489–504
Oxford English Dictionary Online (2016) In OED Online. Retrieved from http://www.oed.com/; http://www.oed.com/view/Entry/96990?redirectedFrom=inspire#eid
Pert CB (1997) Molecules of emotion: why you feel the way you feel. Scribner, New York
Phillips-Silver J, Aktipis CA, Bryant GA (2010) The ecology of entrainment: foundations of coordinated rhythmic movement. Music Percept 28(1):3–14
Reid FJM, Reed S (2000) Cognitive entrainment in engineering design teams. Small Group Res 31(3):354–382. https://doi.org/10.1177/104649640003100305
Riggio R (2014) What is social intelligence? Why does it matter? Retrieved from https://www.psychologytoday.com/blog/cutting-edge-leadership/201407/what-is-social-intelligence-why-does-it-matter
Rounds D, Lafayette String Quartet (1999) The four and the one: in praise of string quartets, 1st edn. Lost Coast Press, Fort Bragg

Sawyer RK (2003) Group creativity: music, theater, collaboration. Erlbaum, Mahwah
Sawyer RK (2006) Group creativity: musical performance and collaboration. Psychol Music 34(2):148–165. https://doi.org/10.1177/0305735606061850
Sawyer RK (2007) Group genius: the creative power of collaboration. Basic Books, New York
Scharmer CO (2007) Theory U: leading from the emerging future, 1st edn. Society for Organizational Learning, Cambridge, MA
Schutz A (1964) Making music together: a study in social relationship. In: Brodersen A (ed) Collected papers: studies in social theory, vol II. M. Nijhoff, The Hague
Smith M, Van Oosten E, Boyatzis RE (2009) Coaching for Desired Change. In: Woodman R, Pasmore W, Shani R (eds) Research in organization development and change. Emerald Group Publishing Limited Bingley, vol 17. pp 145–174
Standifer R, Bluedorn A (2006) Alliance management teams and entrainment: sharing temporal mental models. Hum Relat 59(7):903–927
Steinhardt A (1998) Indivisible by four: a string quartet in pursuit of harmony, 1st edn. Farrar, Straus, Giroux, New York
Thaut MH (2013) Entrainment and the motor system. Music Ther Perspect 31(1):31–34
Thaut MH, Kenyon GP, Schauer MI, McIntosh GC (1999) The connection between rhythmicity and brain function. IEEE Eng Med Biol 18(2):101–108
Thygesen B (2008) Resonance: no music without resonance- without resonance no group! Group Anal 41(1):63–83. https://doi.org/10.1177/0533316408088414
Wigglesworth CG (2012) SQ21: the twenty-one skills of spiritual intelligence, 1st edn. SelectBooks, New York
Woodard K (2009) Recovering disembodied spirits: teaching movement to musicians. Br J Music Educ 26(2):153–172

The Use of Energy Healing to Transform Emotional Obstacles in Leaders and Teams

Carolyn Dunow

Contents

Abstract

Team development has become a vital part of organizational productivity. Agreement on perceptions of reality and potential project plans can vary based on individual experiences, including unresolved emotional traumas. Any path forward can be met with resistance, when fear, stemming from emotional blocks, are not resolved. As a team facilitator, I encourage collaboration to include calling out emotional challenges, learning transformational energy healing as an emotional

C. Dunow (✉)
Dunow Enterprise LLC, Maple Grove, MN, USA

Concordia University, St. Paul, MN, USA
e-mail: carolyn@dunowenterprise.com; dunow@csp.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_47

regulation tool, and developing strategies to support team members to process emotions as part of the team development process. This new norm adds value to the individual and the team as a whole. In this chapter, I share how energy healing can be introduced to enhance individual leadership and team development.

Keywords
Conflict · Emotional contagion · Emotional intelligence · Emotional labor · Emotional regulation · Emotional trauma · Energy healing · Leadership development · Mindfulness · Team development

Introduction

Perhaps it is common that leaders frequently confront emotional turmoil in teams. Team members reveal a wide variety of personalities, perspectives, and emotional landmines. Emotions can be painful, especially during conflict. Leaders learn to navigate these challenges in a variety of ways. If we understand how to manage them, we may choose more readily to engage in emotionally challenging situations for a more expedient resolution.

Over the past half-century, mindfulness and emotional intelligence have gained recognition as powerful skills in leadership, team development, and productivity. Mindfulness was introduced to the workforce as the art of purposefully noticing surroundings in the present moment without judgment (Langer 1989; Kabat-Zinn 1994). Emotional Intelligence is a concept that can be improved through personal and social awareness and emotional regulation (Goleman 1995). Energy healing takes mindfulness and emotional regulation to the next level, by transforming the internalized sources of emotional disruptions. There are many forms of energy healing. When considering these process at work, it is not practical to lay on a treatment table for each emotional disruption. There are more appropriate healing interventions for the work setting.

Two tools can be used to transform work-related issues among emotionally stressed employees, leaders, and troubled teams. The first tool is a prayer bundle ritual for relational and collective initiatives to help bring energetic balance to group dynamics. The second tool is a self-empowered energy healing technique for individuals and may be introduced as a catalyst tool in team development. Healing brings energetic balance to individuals, which can lead to better balance within a team. Both tools are founded on the principles I discovered through indigenous teachings passed down by shamans who descended from the Incas.

In this chapter, I will provide definitions and intentions for healing at work, share my leadership journey, and how I integrated healing to aid in my personal and professional transformation. Next, I will attempt to provide an understanding of emotional trauma and research that supports energy healing for improved health. I include details of my own research introducing energy healing to service industry leaders. The application of energy healing to enhance team dynamics has not been studied. Considerations for introducing spiritual practices into secular environments are discussed. The two healing tools will be explained and observations shared. I specifically detail the advantages of integrating a self-directed energy healing tool at various stages of team development and share examples to show how it helped to transform troubled teams.

Energy Healing and Perceptions

There are many approaches to energy healing and thus many definitions of what energy healing is. For the purposes of this chapter, I will provide the following as a foundation of understanding energy and energy healing. Many of the definitions stem from the health care realm. I will include a basic cosmology of energy, the medical perspective, and explain the energies of group dynamics and teams.

Energy is the foundation of all that exists. Biologist and parapsychologist Rupert Sheldrake hypothesized that all that exists is shaped by morphic fields, from the basic elements of molecular structures within microcosms to living organisms to self-organizing cultures and societies to the macrocosm of galaxies. He believed morphic fields hold cumulative memories that resonate with living beings. Those memories inform plants, animals, and all species and dictate how they will be expressed in appearance as well as behaviors (McTaggart 2008, p. 47). Sheldrake's ideas were initially questioned by the scientific community. However, more recent observations in quantum physics are affirming his ideas.

Bruce Lipton, a spiritual biologist, challenged the notion that our expression and behaviors are based primarily on genetics. His work and observations indicated how we show up in the world has more to do with our epigenetics, the consciousness that informs and controls the expression of our genetic DNA. Positive thoughts and beliefs create positive outcomes and relations. This can explain the cause of the placebo effect. The nocebo effect from negative beliefs, Lipton explains, is damaging to health and relationship (Lipton 2008). If we understand these forms of energetic communication, we gain more control and can direct and shape how we express our physical, mental, and behavioral traits.

In terms of physical and mental health, energy healing practices are based on the idea that disturbances in the energetic or morphic fields are what create disturbances or disruptions in well-being. Rebalancing the energetic field(s), individually and collectively, can then help to restore health (Feinstein and Eden 2008, p. 44). In a general sense, energy healing practitioners, or those who practice energetic self-care, tap into powerful health promoting energy and use it to manipulate, redirect, or transform imbalances of energy, which then allow the body or collective to experience greater health (Synovitz and Larson 2013, p. 219). Healthy balanced energy can come from a variety of sources depending on the practitioner and/or the recipient, and may include tapping into healing energies from God, Allah, your deity, divine love, your deeper heart, spirit, universal life force, qi or chi, or the earth (Dunow 2013, p. 164; Warber et al. 2015, p. 72). Energy healers including one's self can redirect energies in a variety of ways. Manipulating energy can be accomplished through physical interventions, such as laying on of hands, as well as conscious intent and intuitive redirection of energies. Practitioners can rebalance the major energy centers of the chakras (Judith 2000) or clear blockages from the meridians (Wildish 2000) to improve the flow of energy in and around the body. A self-directed energy balancing technique allows one to focus on physical sensations in the body to redirect energy through somatic processing (Levine and Frederick 1997), which is the process discussed in this chapter. The exact mechanism to explain how energy healing works is yet unknown. This is growing agreement that a complete understanding will require both scientific and spiritual studies (Gerber 2000; Schwartz and Simon 2007; Lipton 2008).

Individual healing is important and can influence collective groups or teams. Indigenous communities are fluent in both individual and collective healing. I primarily gained wisdom of healing through shamanic studies in the Inca tradition, which takes healing beyond interventions to a more holistic and all-encompassing transformation as a way of being. The Inca teachings were largely conveyed as an oral tradition. According to their teachings and other indigenous healing traditions, complete transformation can be achieved by engaging the four perceptual states of healing including the body, mind, soul, and spirit. The body is shifted by literal perceptions through the spoken word or the physical properties of biochemistry. Shifts at the level of the body affect habitual and physical behaviors. The mind engages symbolic perceptions through dreams and images to shift beliefs. The soul relates to the mythic perception through ceremony and storytelling and informs our inner guidance when taking action. The fourth perceptual state is healing at the spirit level. This level is transformed by the pure essence of energy through conscious and sometimes unconscious intent. For instance, unattended fear may manifest as an unconscious intent. Whether consciously or unconsciously, at the spirit level, energy organizes matter to bring intentions to fruition (Villoldo 2000). The path tends to progress as follows: positive intentions promote positive actions, which generate positive beliefs, which then create positive behavioral habits. The same pathway but opposite effect can emerge from fear-based intentions.

Though not an adopted norm in Western culture, the value of shamanic practices to facilitate organizational change has been recognized for decades. In a peer-reviewed article, “The Shamanic Perspective on Organizational Change and Development,” organizational change facilitators Peter J. Frost and Carolyn P. Egri shared similar foundations of indigenous spiritual principles and the importance of taking a holistic approach when transforming teams. Drawing from the traditions of various aboriginal societies, they too encourage seeking balance within a team by stepping beyond the physical reality of the ordinary world into the symbolic, energetic, and holistic realms of realities. They also emphasize the self-healing potential within individuals, organizations, and communities. These authors observed a parallel between shamanic leadership in communities and organizational transformation. Pain and distress are signs there is a lack of holistic balance in the physical, intellectual, social, and spiritual needs within individuals and communities. Shamans are called upon to facilitate transformational practices to achieve such a holistic balance (Frost and Egri 1994, p. 7).

In my work with leaders who were willing to step out of ordinary reality, I too saw the pain and distress experienced by their teams. This pain was often relieved through the two indigenous practices, which I share in this chapter. Both are not too far outside the scope of ordinary perceptions of reality that they can be accepted, yet they are far enough outside the scope of normal reality to catalyze a change.

My Journey with Healing in Leadership

My personal interest in organizational healing began long before I was aware of emotional healing concepts. My experience in leadership began early in my career as a department manager for a respiratory therapy department at a specialty children's hospital. Days were filled with managing multiple life-challenging crises while engaging a highly diverse work team and tenderly holding stewardship for the health of children. In my day, health professionals were trained to set their emotions aside while performing clinical tasks. Operational tasks were a different story.

It seemed no matter how solid my project plans were, how extensively and collaboratively projects were developed and communicated, there were typically one or two people who would get emotionally charged as the change directive was initiated. True to what researchers in emotional intelligence described as emotional contagion (Kelly and Barsade 2001; Goleman et al. 2002), the negative emotional impact on my group as a whole was infectious. In my early days in management, I did not have the tools or understanding to confront emotional upheavals. I backpedaled through one-on-one communication, accommodated adaptations that were necessary to avoid emotional triggers, and learned to pick my battles with change. I was able to manage those challenges, but I felt a higher calling to better understand the causes of these effects. I did not buy into the notion that people are just being human. I felt we could do better as a humanity.

Like a good rationally focused leader, I personally valued innovation and productivity and could manage my own emotions, preventing them from getting in the way of progress. I recognized when I had emotional upheavals and I stuffed them down to get them out of the way. I thought that was what a strong leader would and should do. I later discovered this was not a healthy strategy. At the time though, I will admit I was a little annoyed when other peoples' out-of-control emotions held back the progress of directives, which I worked so hard to bring to fruition. Perhaps other managers can relate to my emotional challenge. In fact, later, as a management consultant, I saw this play out repeatedly. As an outsider, I could be more detached from the emotional impact of others. It was an interesting observation. Clearly, I had some work to do to transform my own emotional obstacles, rather than judge the emotions of others.

A turning point for me came after a major health crisis when I was working as the director of research for a medical manufacturer. I was traveling extensively when I experienced a heart attack and cancer. I did not know at the time that I was reacting to genetically modified foods (GMOs), which began to infiltrate the market the year prior to my health episodes. Unaware of this market shift, I assumed I fell ill due to work-related stress. Soon after, I focused on a better work-life balance and began studying and adopting stress management as a way of life. I resonated most with a variety of energy healing techniques. I eventually learned to transform my emotional triggers. Instead of suppressing negative emotions, I worked through emotional upheavals with a self-directed energy healing technique, which is included in this chapter. Emotional healing provided enough physical balance and stamina for me to endure the exposures to GMOs and the significant complications with eating food for sustenance for almost a decade until I finally discovered the true source of my health problems.

Healing has enabled me to take on challenges that I might otherwise have felt insecure in pursuing. I pioneered efforts to take the next step beyond the integration of mindfulness and emotional regulation at work. I gradually shifted my career to work directly with the emotional disruptions of individuals and eventually of those in work teams by introducing a practical version of energy healing that could be used in the work setting. Personally empowered with an effective emotional transformation tool, I capitalized on the opportunity to be strengthened by difficult situations and proactively uncovered emotional traumas that were lurking in my subconscious. My work in team development is now more of a spiritual mission. Rather than avoiding conflict and turmoil, I look forward to engaging in the challenging situations I must confront, if only to see how resilient I can be. I stay emotionally engaged, without detaching from the situations. If an emotional trigger is discovered, I take a moment to transform it. Not only did this free my mind, and expand the scope of my perceptions, I felt I also became a much stronger, more fully present, and compassionate leader. Now, 20 years after my initial health setbacks, I have developed a mastery of my physical and emotional stamina. I feel better equipped to confront seemingly insurmountable obstacles including addressing the negligence of agriculture and biotechnology industries to recognize the human health consequences of their technologies.

Through my personal transformation, I shifted my drive from achieving production goals to developing personal and spiritual goals. I shifted my definition of productivity away from checking off my task list and started to look at emotional release and personal and relational transformations within the teams I support as markers of success. I noticed I became more relaxed and I accomplished more. Leaders and team members seemed to achieve the same types of emotional transformations as I did. They, too, became much more willing to engage in difficult situations by having the tools needed to make the shift. The production of tasks and widgets now comes secondary to emotional and energetic team development. From a more holistic perspective, I believe the work we are hired to do is simply a medium for personal emotional growth and healing as well as collective relationship development. With simple tools and processes along with a willingness to engage in team vulnerability, troubled teams can transform into strong, resilient, cohesive, and productive groups.

Emotional Trauma

To work effectively through emotions, it is important to understand how various triggers are developed. It is not likely that an emotional disruption is caused by the situation at hand. The anxiety or perception of fear in most cases is often a result of a triggered emotional response from the residual effects from a previous emotional event that created a traumatic memory. The significance of the original trauma can range from simply being upset about a stressful situation to an extreme pathological manifestation encountered by life-threatening events as in Post-Traumatic Stress Disorder (Desmedt et al. 2015). It is rare to encounter a truly life-threatening situation at a typical job. Yet, any emotional trigger can be so powerful it may induce a sense of life-threatening danger, which can result in a hyperreactive emotional response to subsequent stimuli. At work, the stress of undergoing change can trigger a traumatic memory. Until emotional trauma is transformed, it lingers. It may be triggered by an emotional stimulus at any time.

Emotionally traumatic events leave imprints or energetic scars that are stored within the physical body. At the time of the original incident, the amygdala, the fear-processing center in the brain, collects sensory information related to the event. This is not a cognitive interpretation of the event, which is processed by the neocortex. This is a limbic record of what is present at the time, the sights, sounds, smells, physical sensations, and emotional reactions. This record becomes stored in our body as an energetic imprint. When a similar event, emotion, or set of circumstances emerges in the future, the traumatic memory is triggered and we may re-experience the conditioned response that was adopted during the original event (Levine and Frederick 1997). As a collective culture, many types of emotional imprints are manifested in similar ways. This is why we may experience betrayal in our body as a stabbing sensation in the back or various forms of oppression and being "put down" as the physical manifestation of a headache. Our body can be used as a symbolic map of unresolved emotional disruptions and help to reveal what is potentially behind a highly charged energetic event (Hay 1988; Lincoln 2010). We can hold a lifetime or more of emotional wounding including generational trauma (Debiec and Sullivan 2014) and cultural/social trauma (Markowitsch and Staniloiu 2011). All emotional imprints shape, limit, or exaggerate our perceptions of reality.

There may or may not be a cognitive connection to the past trauma. It can often appear as if we are only responding to the current situation. A conscious recollection of an event or subconscious reminder, evidenced by an emotional trigger stored with the original trauma, brings the event back to the surface of perceived reality. Whether we are aware of the original incident or not, it affects our thoughts, emotions, physical senses, and sometimes actions. Unless the emotional imprint is transformed, it can persist and cause ongoing or repeated turmoil and poor judgment.

A cohort of 12 adults with involuntary reactivated memories of trauma were studied. The participants in this particular study started to recall their traumatic events spontaneously, without seeking professional help for their situation. The time between the actual event and the reactivated memories ranged between 3 months and 58 years. The time their traumatic memories remained bothersome ranged between 1 month and 20 years. Some of the triggers which precipitated the reactivated memories included experiencing emotions and interactions with other people that were upsetting. Some reactivated memories emerged without a defined trigger (Hiskey et al. 2008). The high degree of emotional upheavals and upset people exhibit in troubled teams may have less to do with the current circumstances and more to do with unresolved emotional experiences of one's past.

Gentle processes for severe cases of post-traumatic stress ease into mindfully recalling or re-experiencing the situation to access the emotional scar in order to transform it. People experience less intense forms of emotionally traumatic memories in every day conflict, including at work. When these scars emerge, as evidenced by inconsistent, unexpected, or heightened emotional turmoil, one can take advantage of the situation in the moment and directly engage in transformational healing practices.

Energy Healing Research in Health Care

Our culture does not yet promote proper energetic and emotional hygiene. It was only 150 years ago that we began to understand that good hand washing was essential for personal hygiene and the prevention of communicable disease. Even then, the change in practice was a radical idea that was met with some scientific resistance (Davis 2015). Good emotional and energetic hygiene, in a similar way, can help preserve our physical, mental, and cognitive health. History has a tendency to repeat itself. When it comes to emotional healing, science is just catching up to our indigenous wisdom keepers and the pioneering new age healing practitioners. Once proven through research or experience, I expect energy healing will become integrated into everyday routines similar to handwashing.

Gary E. Schwartz, a professor in health sciences and author who wrote extensively in the field of energy healing, described three categories of people and their views of energy healing. He describes adamant disbelievers as those who hold on to the belief that energy healing is impossible. Another category includes the confused about what to believe. The third group knows energy healing is real and has a profound impact on life and how we evolve (Schwartz and Simon 2007). Until proven effective, it may remain a challenge for the disbelievers and the confused groups to adopt the concept of energy healing. Again, it may require a balance between scientific observations and spiritual awareness to consider such interventions.

More research is being conducted to understand the neuropathways that facilitate traumatic memories and their consequences. The scientific community is also striving to develop pharmaceuticals to erase traumatic memories and alleviate their emotional consequences (Maren 2011). It is good to have options. Perhaps the pill form of emotional regulation will provide a solution for those who will prefer a scientific and medicinal approach. Others may prefer a more natural and organic approach. Perhaps the end results will be similar and we can realize more collaborative relationships and greater peace in our world.

The indigenous cultures have been providing healing through the manipulation of subtle energy for many millennia. Energy healing processes reside innate in the nature of human beings. A shift in focus, that took us away from natural forms of healing, has brought us to a point where these practices must be relearned and nurtured. Dogs shake off negative emotions. Cats do yoga stretches to release negativity from their bodies. Humans, however, have learned to repress negative emotions in exchange for social conformity to accepted behavioral norms. If not released, negative energies remain in our physical body and can affect our mental and physical well-being and our response to situations happening around us (Levine and Frederick 1997).

Over time and with the emergence of scientific theory in medicine during the age of rationalization, healing practices waned as a standard practice. Our Western culture valued primarily scientific evidence and academic literature. The practice of manipulating subtle energy fields were regarded as mystical and spiritual and largely excluded from academic study. Healing practices remained in the realm of spirituality. They were largely dismissed from professional venues, until the fields of neurophysiology and psychoneuroimmunology emerged. David Perlmutter, MD, and Alberto Villoldo, PhD, explain neuroplasticity, or adaptability, of the brain. Diet and positive energies can enhance the brain's function. The brain can be reconditioned to be free from conditioning patterns that resulted from emotional trauma (Pearlmutter and Villoldo 2011, p. 69). In terms of psychoneuroimmunology, research indicates the discussion of traumatic events and their consequences lead to better health. Social engagement also enhances the transformation and disclosure of negative emotional experiences (Daruna 2011, pp. 256–257). Emerging research in these fields points to an understanding that our mind and body work in tandem. It is becoming clearer that it takes more than chemistry to balance our being. We are also discovering we have more control over our thoughts and behaviors than previously accepted norms would have us believe. The workplace may be a primary source of negative emotional trauma. Organizations can turn challenging situations into positive social interactions among team members by focusing on transforming negative emotional events rather than perpetuating them.

Alternative forms of healing practices are being sought out once again. A recent survey indicates that approximately one-third of the US population uses some form of complementary and alternative medicine. Though the trends in using energy healing, however, remains consistently lower (Clarke et al. 2015). Healing practices are often compared to medical interventions. The gold standard to support medical practices has been the randomized controlled trial with outcomes that are statistically significant (Sackett et al. 2000). By this standard, until recently, there are few scientific studies to support healing practices. Keep in mind that estimates indicate only 15% of what is practiced and proven to be beneficial in medicine is based on irrefutable scientific research (Garrow 2007). The reality is that healing and most medical practices are more of an art than a science. Since the reemergence of energy healing practices, the limited numbers of randomized controlled studies have shown promising results.

In the 1980s, Healing Touch, which is considered a form of energy healing, emerged within the nursing field. This intervention is provided by a practitioner using their hands, without touching the body, to guide the flow of energy within the recipient's energy field, or biofield, which extends outside of the physical body. The widespread adoption of this practice sparked a movement to study energy healing outcomes as a medical adjunct for challenges such as pain management, cancer treatment, and stress management in patients. Of 332 studies published on healing touch, five met the research criteria to be included in a systematic review. One of the five studies showed a significant decrease in objective physiologic parameters such as respiratory rate, heart rate, and blood pressure. Another showed a significant decrease in hospital length of stay. Four studies showed significant improvements in mood, fatigue, anxiety, emotional and mental health markers, and a decrease in worry. One study did not show statistically significant results with healing touch (Anderson and Taylor 2011).

An earlier systematic review of 66 studies including a broader scope of biofield therapies showed similar results. Healing interventions included therapeutic touch, Qigong, Reiki, spiritual healing, healing touch, Johrei, laying on of hands, Johnson bioenergy and polarity therapy. Study participants included in these studies were patients and healthy participants. Patient populations included those with cancer, cardiovascular disease, mood disorders, substance use, and postoperative patients. Pain, dementia, and anxiety were reduced in some groups with inconclusive results. The lack of conclusive results was attributed to the limited number of high-level research and inconsistencies in reporting quantitative or qualitative data (Jain and Mills 2010).

A recent review provided similar results. A total of 27 out of 158 identified studies met the rigorous criteria for inclusion in this review. The three most common energy healing interventions used in the studies were healing touch, therapeutic touch, and Reiki. These subtle energy interventions were provided by a practitioner in-person and through nonlocal distance healing. The patient population included those with chronic pain, arthritis, hypertension, cancer, diabetes, asthma, and other chronic illnesses. The range in treatment times were between 15 and 90 min. The duration of treatment provision ranged between 5 weeks and 28 months. Thirteen studies showed statistically significant results for outcomes such as pain, anxiety, fatigue, mood, quality of life, coping/control, and physical vitality and function. A few reports included adverse response to the treatment including increased anxiety, worsening sleep, depressed mood, headache, crying, and transient pain or fever prior to improvement in symptoms related to healing (Rao et al. 2016).

Each of these systematic reviews concluded that future well-constructed controlled trials on energy healing are indicated. They suggest there is also a need to understand the mechanisms of action and long-term clinical effects. They all agree that the overall healing results are favorable and show promising outcomes (Anderson and Taylor 2011; Jain and Mills 2010; Rao et al. 2016). As in general medical research, there is lack of well-constructed randomized controlled trials. The lack of being able to control for population variables, especially in complex cases, is challenging. Challenges in objectively measuring subtle energy changes poses an even greater obstacle to scientific study.

To date, energy healing is being primarily studied at the end stages of severe illnesses. The healing research has been focused on improving disease conditions. One unanswered question remains. Can energy healing be used to avert illness by curtailing the earliest development of some disease that may be a result from work-related stress? This would require a long-term study. Current research is being conducted on emotional labor, and the influence of work-related stress on performance and well-being.

The Use of Energy Healing Among Service Industry Leaders: A Pilot Study

Energy healing may eventually become a norm in the business sector as it is becoming so in the medical communities. With a foundation in scientific evidence that is approaching the level of evidence the medical community relies on, it may become an accepted practice to avert stress and promote health and employee well-being. It is also becoming more accepted and even advantageous to bring spiritual practices into the workplace. The timing may be right to consider healing practices in the workplace.

I conducted a pilot study, as part of a master's degree in organizational leadership, to observe the impact of introducing of a self-directed energy healing tool to service industry leaders. This was a primitive four-phase study including an experiment to explore any indications for future research within this application. The main research question was "what are the influences on and results from learning a self-empowered energy healing technique designed to improve leaders' affect, well-being, and performance?" (Dunow 2013, p. 64). This study followed leaders who volunteered to participate in each of the four phases: a pre-intervention survey (58 participants), education and experimentation with a self-empowered energy healing technique (27 participants), a post-intervention survey (17 participants) and appreciative inquiry interviews (4 participants). Each phase was designed to gain a better understanding of how the education and energy healing tool was accepted and used among professional leaders (Dunow 2013, p. 77).

The following is a modified version of the energy healing steps used in the pilot study. This form of healing works with the physical sensations in the body in order to remove their corresponding emotional obstacles. This somatic form of energy healing is used in cases where traumatic release is indicated (Levine and Frederick 1997; Parker et al. 2008). It is understood in the healing realms that effective healing must take place on both, the mental/emotional and physical/somatic levels (Pert 2003; Levine and Frederic 1997). This can be done with awareness of an undesired emotion, the recognition of the related physical sensation, and the intention and knowledge to move the energy of the emotion out of the body. The study participants were instructed to document their experience as they proceeded through the steps. The study participants were also limited to 5 min for each of the three repeated trials offered. Those instructions were removed from the following steps.

Steps of the self-empowered emotional regulation technique using energy healing:

- Assess your current physical and emotional state so that you can identify changes in your physical and emotional status as you proceed with the technique.
- Recall an emotionally unpleasant (nongrief) event or theme that you would like to feel better about. [Grief and loss may be experienced with or without emotional trauma. Grief requires a different process, which I will not address in this chapter.]
- Notice the characteristic and intensity of the negative emotion that is associated with that event or theme.

- Assess your body for a physical sensation that is associated with the event or theme. This is where the imprint of the emotional memory is stored.
- Notice the characteristic and intensity of the physical sensation that is associated with that event or theme that will be used to determine the effectiveness of the technique.
- Focus on the physical sensation and, with your intention and breath, move the energy out of your body and offer it to your higher spiritual source. This is the energy healing process. The higher spiritual source may be God, the earth, nature, or deep within your own heart to name a few.
- As this energy is moving out, bring in the energy of pure/neutral love or another positive energy from your higher spiritual source and continue to process – out with the negative energy and bring in love or positive energy. This is based on a theory that the energy removed should be replaced with a more beneficial energy.
- The process should take only a few minutes. If the transformation takes longer you may want to stop and continue processing it at another time.
- You may reassess the negative emotion and physical sensation that you felt prior to the energy healing intervention and notice any changes in the characteristic or the intensities after the intervention.
- Recall the emotionally unpleasant event or theme you were working with to assess the effectiveness of the energy healing technique.
- While you are recalling the emotionally unpleasant event or theme, notice the characteristic and intensities of the negative emotion and the physical sensation after the energy healing intervention. A comparison of the sensations felt before and after may indicate the effectiveness of the energy healing technique.
- Notice any response you sense about the event or theme you were working through as a result of the intervention. Have your perceptions about the event or theme changed? Does the situation seem more manageable?
- Take some time to relax and/or reflect on the process (Adapted from Dunow 2013, p. 148).

The phase I survey was designed to gather demographics, a self-report of stress and health promoting spiritual activities. A validated emotional labor instrument was also included to assess the stress of meeting emotional demands and behavior patterns at work. Emotional labor scales were included in the survey in an attempt to quantify work-related stress. Participants were asked to rate their level of engagement with five categories, each related to the amount of emotional exertion required to meet job expectations. The five categories included basic surface acting or faking emotions, challenged surface acting, basic deep acting or engaging with others, perspective taking deep acting, and positive refocus deep acting (Dunow 2013, pp. 77–81). Surface acting produces greater stress while positive refocus reduces stress (Blau et al. 2010). Participants in this phase of the study were mostly women (83%). There were no obvious trends in the survey participants' level of self-reported job stress, emotional labor scores, or religious and spiritual practices that might have influenced participation in the survey or willingness to participate in the energy healing experiment (Dunow 2013, p. 82).

The Phase II education and experiment with the energy healing technique revealed immediate emotional, physical, and perceptual changes while participants reflected on an emotionally challenging event or theme. The most common emotional sensations reported were anger and frustration. The average intensity of emotions before the intervention was 6.9 and after was 2.9 on a scale of 0–10. Zero being no emotional sensation, 10 being the worst I ever felt. Four trials achieved zero emotional sensation at the end of the trial, which may indicate a complete transformation (Dunow 2013, pp. 84–85).

The most common physical sensations reported were tightness, ache, and heaviness in the chest, heart, head, and shoulders. The average intensity of the physical sensation before the intervention was 5.7 and 2.3 on the same 0–10 scale. Ten trials achieved a zero physical sensation, which is a greater number than those who reached zero emotional sensation. A strong positive correlation (Pearson Correlation = 0.84) between the physical sensations and the emotional sensations was identified. This evidence might be an indication that emotional stress could potentially be related to physical disruption or disease. Stress reduction at work could play an important role in overall health outcomes (Dunow 2013, pp. 85–95).

Immediate benefits emerged in perceptual changes that were reported after the intervention. Benefits included the situation seemed less consequential and less personal. Some participants reported being able to let go of negative emotions and realized greater compassion for others regarding their event. The time to process each event was reduced with each of the three trials, from 147 s during the first trial, 129 s in the second trial, to 98 s in the third trial (Dunow 2013, pp. 96–97). Considering the emotional labor literature has observed negative emotional events linger after 2 h (Bono et al. 2007); this intervention may have some practical use to reduce work-related stress and its consequences.

The phase III follow-up survey was administered 2 weeks after the experiment. This survey queried participants about their use of the energy healing technique in life, changes in well-being or performance, and revisited the emotional labor scales and self-report of job stress. All but one participant used the energy healing technique at work, at home, or both. They used the technique proactively, retrospectively, and in the moment of negative emotional events. Fourteen participants subjectively felt an improvement in their well-being. Nine of those participants showed a coinciding change with their post intervention surface acting emotional labor score, which correlates to improved well-being. Ten participants felt the use of the technique had an impact on their performance at work. Each showed a coinciding change in their post intervention deep acting emotional labor score, which correlates to better performance. Performance improvement among the study participants was described as being more present, calm, and focused in their interactions (Dunow 2013, pp. 98–107).

Phase IV interviews were conducted with the four participants who showed the greatest improvements in emotional labor scale scores. Each claimed their key to successful integration of the technique was a willingness to try it and previous experience with managing emotions. Common outcomes among these four participants were being able to have better control over their emotions, having a deeper level of engagement at work and at home, and each claimed to have a positive major life change as a result of using energy healing (Dunow 2013, pp. 108–113).

One of the participants interviewed was a newly appointed manager. In our discussion, she shared the changes she experienced after using the self-empowered healing technique. "Abby" stated that she had difficulties leading one particular employee. She explained the impact of learning and using the technique as follows:

> There just haven't been as many issues since I've done this. I stepped back and [thought] OK, what can I change? There are things I cannot change about her. I know this is how she is. I know this is how she works. But how can we meet and how can we make this so that I do not leave here and I am crazy or go bonkers? I think by using this I've calmed the both of us down a little bit better. I think it's just a little bit more of a pleasant work environment. (Dunow 2013, p. 183)

Leaders have a powerful impact on the emotional well-being of their followers, whether in a management position or a position of influence. In this case, after healing, emotional contagion may have allowed the two to come together more cohesively. Instead of feeding the turmoil and negativity, Abby transformed her emotional energies. She was then able to set judgments aside to stay focused on building a collaborative relationship. Her employee responded in kind. The transformation of negative energies transformed their relationship. She gained a stronger leadership capacity and a more committed followership. Abby later commented that her team commented to her "you're a lot easier to work with" (Dunow 2013, p. 184). The ability to transform negative emotions removed obstacles that led to improved relations with her followers.

Weeks after learning the energy healing experiment, some of the participants in this study reported they were better able to overcome emotional obstacles, broadened their scope of accepted perspectives, enhanced resilience, and promoted the willingness to confront challenges through deeper levels of engagement at work proactively, at the time they were needed, and retrospectively (Dunow 2013, pp. 106–107). With the insights gained from this pilot study, future research can be designed to help further understand the application and outcomes from using energy healing at work. As in the case of energy healing research in the health care setting, this study might indicate that the practical application of energy healing at work could also be promising.

Considerations for Introducing Spiritual Practices into Secular Workplaces

In practical applications, when a team is set up to confront emotional obstacles with energy healing tools, even if only some team members adopt the practice to transform undesired emotions, the shift in focus can promote personal growth, ease tensions among the whole group, and foster a sense of collegial love and support among the work team. A large portion of the workday is spent collaborating and sometimes colliding, emotionally, with others at work. In our age of multiple priorities and increasing emotional stressors from our environment, relationships, and day-to-day responsibilities, it may be advantageous to integrate appropriate healing practices into the workplace.

In my early days of introducing energy healing concepts to work teams, it seemed inevitable to meet resistance among the staff. For example, managers would ask how to handle a note from a religious leader, excusing the employee from the workshop. I encouraged participation on a voluntary basis. As a facilitator, I did not want to encourage distractions which might have kept the rest of the team from making progress. I also did not want to deal with a spiritual argument or be viewed as a spiritually coercive leader. I will expound on both of these downsides.

Emotions are contagious (Kelly and Barsade 2001; Goleman et al. 2002). There are negative consequences of emotional contagion. When bad feelings are passed along to one another, it can bring a whole group down. There is also a positive form of contagion that can be developed through resonant leadership (Boyatzis and McKee 2005). Individuals can resonate with the positive emotions shared as subtle forms of communication. This unspoken communication can create powerful and positive change. Teams can improve even if a few people adopt the concepts, anchor a positive energy, and create or develop an environment for greater resilience.

I will share one regret when working with a manager who insisted on making an energy healing workshop mandatory for his staff. I advised against it. However, the team was experiencing deep turmoil. The manager felt a great shift in the energy of the team was necessary. We proceeded with the mandate. It worked out with a little extra warm-up time to ease fears and gained willingness from everyone to engage to their level of comfort. At the end of the day, even the ones resistant were appreciative of the information and tools. The endeavor made a positive difference for their team. However, I now insist on voluntary participation.

Legally, the Equal Employment Opportunity Commission (EEOC) enforces Title VII of the Civil Rights Act of 1964, which prohibits secular employers with over 15 employees from discriminating based on sincerely held religious, ethical, or moral beliefs. It also prohibits forcing an employee to participate or not participate in a religious activity unless it would impose an undue hardship on the business (U.S. Equal Employment Opportunity Commission 2008). It could be argued that energy healing is not a defined religious practice, thought it may run counter to some sects of religious beliefs or moral values. In my case of the mandatory workshop, the turmoil experience could be considered an undue hardship for the business. However, the interpretation of the law is left up to a judge or jury of peers. There is no clear delineation with these types of spiritual practices. The cost of failing to comply with the EEOC includes financial penalties, lost productivity due to the focus on litigation, and lost reputation and morale among the company employees and customers (McHenry Sullivan 2013).

Since my trial and error attempts, there is more academic literature available regarding the introduction of spiritual practices at work. A literature review on approaches to introduce spirituality into the workplace provided a summary of practical insights to capitalize on the benefits and heed caution around the pitfalls.

The concept of bringing spiritual endeavors to work has three key benefits, which can support greater employee engagement (Karakas 2010). First, spirituality at work enhances employee quality of life. Second, spirituality provides a personal sense of purpose and meaning. Third, spirituality at work provides a greater sense of interconnectedness and community. These benefits can turn a preference to avoid an uncomfortable circumstance into a spiritually collaborative and compassionate opportunity for mutual support in working towards a beneficial outcome. Each team member has the opportunity to be authentic, share their ideas, and be a part of a solution to enhance their personal growth as well as benefit the whole of the team.

Four pitfalls encountered while introducing spiritual concepts in a secular workplace are proselytism, compatibility, manipulation, and legitimacy (Karakas 2010). These four concerns are interrelated and the reason practices that are viewed as spiritual should not necessarily be condemned, but be made voluntary while striving to achieve inclusiveness.

While spiritual practices are proving useful at work, proselytism – the influence to attempt to convert an employee to a particular religion or view – crosses proper boundaries. Spiritual practices may not be compatible with some religious or individual beliefs. Grounded in neuroscience and quantum physics, both energy healing tools described in this chapter may be adapted to accommodate a variety of religious or nonreligious beliefs. Still, some choose not to engage in learning these types of tools. The option to participate in spiritual practices should always be honored.

Legitimacy also plays a role in a willingness to participate in spiritual practices. Groups who are more progressive in their willingness to try innovative tactics are ideal candidates for this strategy. As previously mentioned, medical interventions have become an accepted norm and meet little resistance. Energy healing in the workplace is not an accepted norm at this time. Until it becomes a norm, one might expect some skepticism. Chaos and anarchy sometimes facilitate the desire to be more progressive in considering unconventional solutions. The need for absolute legitimacy may be overcome by the need to realize peace within a troubled team.

Perhaps the innate sense of spirituality at work is what makes integrating the healing tools successful. In Karakas' summary, he stated "spirituality is defined as the journey to find a sustainable, authentic, meaningful, holistic and profound understanding of the existential self and its relationship/interconnectedness with the sacred and the transcendent" (Karakas 2010, p. 91). Based on my observations when introducing the energy healing techniques to leaders and teams, the process has led to realizing a greater spirituality at work. The idea of personal emotional transformation has been a motivating factor, especially for teams who recognize they work in a negative environment and wish to change that dynamic. The purpose and meaning of this type of transformative work encompassed personal and collective growth and development. The energy healing initiatives in teams provide an opportunity to be an integrated part of another teammate's personal growth and development, which changes the focus of conflict and facilitates a compassionate resolution of individual emotional obstacles that arise through day-to-day challenges. Team relations seem to become more personal, vulnerable, and cohesive. There is much to discover about the existential self and our relationship with the transcendent. Integrating spiritual practices at work brings us a step closer to experiencing greater wholeness when introduced properly.

Team Transformation Through a Prayer Bundle

To my knowledge, the use of a prayer bundle in organizations has not been studied, but has shown practical benefits in some cases. A prayer bundle might help to catalyze success on the occasions of the opening of a new business, a move to a new location, or when trouble among employees is intense or nearly impossible to confront. The ritual of developing a prayer bundle, or a collection of intentions, can be conducted with a leader or individual employee alone. It can also be a collaborative process with team members willing to participate in order to jumpstart a transformation process.

Prayer bundles are spiritual and energetic healing ceremonies produced through a beautiful and collaborative reflective and meditative healing process (Fig. 1). Depending on the openness of the leader and the team, prayer bundles may be built collaboratively with smaller secular groups (up to 15 people) among more cohesive teams. This ritual is a way to engage employees in a team building exercise with an experience that is out of the ordinary. The break from ordinary routines provides an opportunity for a change in habitual team dynamics. Prayer bundles may be a more pleasant catalyst for change rather than enduring crises as a prompt to transform team dynamics.

Fig. 1 Setting up the prayer bundle

The bundle starts with a foundation of beautiful colored tissue paper to hold all the elements. The base is formed with the most important representations of the transformation and other elements are added on top. The intention statement is added first. The basic bundle includes biodegradable and nonallergenic flowers to promote beauty, candies to add sweetness, dried fruit, such as raisins, to represent healthy sustenance, chocolate because most everyone loves chocolate, birthday candles to add light or enlightenment, etc. Dried leaves, such as bay leaves, are passed around to each team member. Each team member infuses three leaves with their energy, intention, and the essence of each wish or prayer. The three leaves represent past, present, and future, also what is known, unknown, or desired to know more about, and the integrations of the mind, body, and spirit. Bundles of leaves are passed along until all wishes are included in the prayer bundle. When intentions are shared aloud, it encourages others to support the ideas or potentially spark additional ideas as the process continues.

Participants are asked in advance to bring symbolic representations of what they desire in the transformation process. They may bring images cut from magazines that depict their vision of the future. They may also bring objects that represent the essence of what they would like their environment to feel like. For example, cotton balls might be used to bring a sense of levity to ease tensions. A heavier object might be incorporated to anchor or solidify an idea or directive. Another example might be if there is a metaphoric "stick in the mud." An actual twig may be used to represent the desire for forward movement to change that dynamic. Each intention may or may not be shared with the group. If shared voluntarily, it can generate a meaningful dialogue about the desired direction for the team dynamics. This is a creative process and each participant is encouraged to contribute in a way that is meaningful to her or him.

The basic elements of the prayer bundle (Fig. 1) are prepared and include a written collective intention statement and contributing statements from each team member on a piece of paper that is folded and placed at the center and bottom as the foundation for the ritual. Basic elements included, from top left going clockwise, are the ribbon to tie the bundle at the end. Sugar metaphorically adds sweetness to process and outcome. Color coated chocolate dots represent adding vitality to the situation. Chocolate enhances most everyone's spirit. Flowers add beauty. Glitzy sequins and gold and silver balls give the intention sparkle. Confetti represents celebration. Birthday candles represent adding light (enlightenment and levity). A shell is placed to collect positive energies. Incense sticks infuse the essence of the intention into the team, community, or world. Bay leaves are used to convey individual intentions among the team. Rainbow colored string represents diversity and a connection between the physical and spiritual worlds. Money draws prosperity. Alphabets encourage the appropriate use of words and clarity of spoken and documented words. Seeds foster the sprouting of the intention(s). Rice and raisins provide sustenance and endurance while the intention is brought into fruition.

The prayer bundle is started with a layer of leaves infused with intentions by the team and placed over the mission statement. Sugar and flowers are placed on top of this layer. Additional bay leaves are passed around to the team members so they can continue to place their intentions into the bundle. The basic elements along with flowers and sprinkles of glitz are added to further beautify the bundle. The items from the team are added along with the intentions they represent. A singing bowl or other music is played before the bundle is wrapped to encourage harmony in the process of integrating all intentions. The ribbon, one set of three leaves, and a few flowers remain for the closing of the bundle (Fig. 2).

The bundle is then folded up with the tissue paper and tied with ribbons to wrap up the process (Fig. 3). It is first folded from the bottom up with the intention to bring the unknown into the known consciousness. Then it is folded from the top down to

Fig. 2 Adding elements to the prayer bundle

Fig. 3 Wrapping up the prayer bundle

integrate and balance what is collectively known or believed about the intention. The next fold is from the left to the center to reconcile any past conditions, which may be influencing the intention. Finally, it is folded from the right to center to begin bringing the future change into the present time. The ribbon is tied to bind the bundle. Flowers and three additional leaves, which represent any intentions that may have been forgotten, are used to decorate the outside of the bundle. The bundle is taken outdoors and either burned or buried to begin the intended transformation. This final step is a representation of letting go – letting go of past habits and patterns and letting go of any expected outcome. This final step may be done as a group or by a leader on behalf of the group, depending on access to the outdoors.

When conducted collectively, prayer bundles allow each person to form deeper bonds with each other through a mindful and concerted process. The prayer bundle is built with symbolic representations of the desired change using elements of nature and objects that decompose. In the end, the bundle will be buried in the earth, when the intention calls for a slow and gentle transformation. The bundle might also be burned in an outdoor setting, when a more rapid transformation is desired. It is best to use eco-friendly elements that will decompose.

What happens next depends on the intentions and dynamics of the individual or team. When attention is placed on the intentions, the shift tends to happen seemingly automatic or situations occur to facilitate the shift. It may seem like magic, but it is actually a process through intention to reorganize fields of energy (McTaggart 2008) within individuals (McCraty et al. 2006) and each other (Radin 2006). The specific process by which this happens is still being determined. Carl Jung began the academic conversation around synchronicity. Many others have contributed since. The meaningful coincidences that occur after this type of creative process might have more to do with sharing collective narratives and intentions and then paying attention to potential manifestations of the collective creative and symbolic process. Paying attention to balancing all perspectives rather than having a single vision or expectation of a specific goal or outcome may support greater synergy and sustainable outcomes (Durant 2002).

This ritual includes all four perceptual states for a complete transformation. It includes the literal intentions shared within the ceremony, which engages the physical perception. The symbolic representations of the elements used to create the bundle engage the mind perception. The ritual itself is a ceremony to transform the soul. Finally, if one can sense the positive energy and witness the transformation that emerges, this connects with the spirit perceptual state of healing (Villoldo 2000). The tangible outcomes of these practices have included greater trust among team members and a willingness to be more vulnerable, improved communication among team members, and a release of negativity allowing more positive attitudes and behaviors to flourish. In several cases, employees that were deemed troublemakers quit their job within weeks of completing the ceremony. In other cases, teammates found ways to overcome obstacles and developed better working relations. The results are often a more peaceful and cohesive work team. These outcomes tend to materialize whether the ceremony is performed with the whole team or with the leader alone. Moving as much negativity as possible through an unordinary and beautiful process prior to engaging in more direct team development may be helpful for some challenged teams. The use of prayer bundles has resulted in changes that managers could not have imagined happening without some major emotionally uncomfortable intervention. I am always amazed by the miracles produced by managing energies alone.

Integrating Energy Healing at Various Stages of Team Development

There is an increasing focus on employee engagement, especially with the increase in team structures as a means to accomplish organizational goals. A recent theoretical model proposes a holistic idea of employee engagement that involves the organizational investment to develop employees' mental, emotional, and physical energies that result in mutual benefit (Eldor 2016, p. 322). One study showed that employee involvement in unaddressed conflicts was a predictor of mental health consequences. Furthermore, well-being of an organization was also at risk of being compromised (Enehaug et al. 2016, p. 102). There is no doubt that we need effective tools to empower employees to address emotional conflict. The introduction of energy healing in teams can keep employees engaged and empowered to resolve conflicts with a positive approach which benefits their work and personal lives.

In troubled teams, a direct and engaging team approach is needed, along with strategic planning and a variety of team development tools, of which I include the self-directed energy healing technique. Indications of a troubled team might include chaos in accomplishing routine tasks, a lack of accountability, a suppressed team spirit, excessive and detrimental gossip or blaming, silence or superficial discussions, or an overall unpleasant work environment. Signs and symptoms observed among staff may range from employees silently walking on eggshells to avoid emotional outbursts, overt rebellion, or even anarchy. Team development tools include uncovering various personality traits and tendencies, understanding emotional trauma, transforming emotional disruptions through energy healing, and finally the development of a charter to set up guidelines for proper emotional engagement and boundaries within the team.

I found that if the energy healing technique is presented to a team as a stand-alone endeavor, it may not be as effective as incorporating it into a change process or project. When incorporated into another endeavor, team members can practice developing a habit of applying the tool and gain comfort and work to support each other emotionally through the project. Energy healing is an intangible process. Energy healing is a reflective emotional process. It is not something we can see, touch, or utilize like a spreadsheet or a computer program. It requires a practice of self-awareness and social awareness to develop effective habits. Once a healing habit is developed, it can be applied to any emotional situation or exchange.

Integrating this tool as part of a team project enables team members to support and remind each other to use the energy healing tool. Feedback from teams indicated the prompting from another team member encouraged the use of the energy healing technique. It might have become an overlooked tool otherwise. To make such a peer suggestion with respect and dignity, the team agrees to proper boundaries and guidelines, which are either reviewed or developed collaboratively prior to instituting the practice.

I found there is no point discussing the specific team issues until each person understands various personal traits and tendencies and has tools to transform emotional obstacles to stay focused on resolving the issue with less emotional charge. This has led to greater success. Education on the various personality types, emotional intelligence, and the energetics of traumatic cognition is a means to explore personal traits as well as considering the traits of others. It facilitates greater compassion and vulnerability. Open discussions on individual traits develops an environment to discuss personal tendencies and the dynamics of emotional trauma. People begin to realize others can see in them what they may have tried to hide, whether the trait is viewed as positive or negative. The work of the team is to see how the various traits can be used to the team's advantage. When there is no perceived value or if a trait or tendency is holding the team back, the healing practice is a means to transform it. The facilitation of open, compassionate, and loving discussions to support another team member models the process for individuals to follow.

Initial consultations begin with the team's leader to understand the stage of team development, the current and historic challenging circumstances, emotional landmines, as well as accepted norms and boundaries that exist among the group. Diagnosing the team stage emerges from the frameworks of the Stages of Group Development from Bruce Tuckman's model which include forming, storming, norming, and performing (Bonebright 2010). Similarly, the first four insights on creating teams from the Drexler/Sibbet Team Performance Model include orientation, trust building, clarification, and commitment (Sibbet 2011). These models provide assessment tools for team's growth and guides what team development tools might be needed to resolve the team dilemma. Each team development stage has its unique characteristics and corresponding strategies to help the team thrive together (Table 1).

Energy healing may not be a complete solution. It can be a good place to start. The current workforce, and society-at-large, has not normalized tools to transform emotions. We are often left with unresolved personal influences that lead to professional strains. Without effective emotional regulation strategies, difficult conversations are often averted due to the discomfort of confronting emotional tensions and compliance to social norms. It is socially unacceptable to converse with volatile emotions. Yet all voices need to be heard. Greater emotional balance leads to more effective communication and ultimately more physical stamina, which will support the teams' ability to meet goals and objectives. The energy healing tool can be effective for teams at any of the four stages of team development. Utilizing typical team tools at the various stages gives the team a project or platform to engage in productive conflict and practice the healing technique.

Stage one. The first stage of team development, *Forming or Orientation*, is encountered with new teams or teams that have undergone significant change, such as high staff turnover, mergers, or changes in management and organizational

Table 1 Approaches to incorporating energy healing techniques at various stages of team development

Stage of team development	Signs and symptoms	Desired outcomes	Typical team transformation tools
Forming or orientation	Chaos Fear	Acceptance	Ground rules or mission vision values statement
Storming or trust building	Facades Hiding skill/ talents	Mutual respect	Personality traits and skills assessments
Norming or goal clarification	Apathy Competition	Shared vision	Charge and charter or agreement and certainty matrix
Performing or commitment	Co-dependence Resistance to change	Interdependence	Polarity management

(Bonebright 2010; Sibbet 2011)

directives. The loss of a sense of security fosters gossip, which when driven by fear is often not in a positive light. Gossip creates uncertainty and fosters more fear, which can trigger many emotional wounds. When introducing energy healing into a team, especially a new and troubled team, trust building and communication strategies must be incorporated into the plan. The development of ground rules is an effective way to open dialogue and set proper boundaries for emotional conversations especially in the first stage of team development. The development of a Mission, Visions, and Values statement, whether for the organization or specifically for one team, can also spark a conversation around personal beliefs and boundaries. Both processes can be used to alleviate fear and chaos. They can foster greater inclusion and support around a new directive.

If, however, the team members are overcome by unresolved emotional trauma, any communication may fall on deaf ears. There may also be resistance to the development of collaborative documents. The development of a scope of accepted norms under these conditions can result in an ineffective or unusable guidance tool. Energy healing removes the emotional obstacles and allows the healed team member(s) to participate with more room to accommodate diverse perspectives. Discussions are then less about defending emotional wounds and more about developing sustainable platforms from a more authentic source of self.

Stage two. The second stage of team development, *Storming or Trust Building*, is fostered when team members know one another on a personal and professional level. Every strong team is founded in trust. Developing communication, mutual understanding, and respect are keys to building trust. Mistrust can easily arise between team members due to a lack of mutual understanding. Mistrust can also emerge from within the self. If one is unsure of their own skills and abilities, they will likely mistrust others around them. Some may fake their emotional security by showing overconfidence. Others may tend to be withdrawn from the team. Energy healing can be used to help overcome the root cause of many emotional insecurities. Feeling more secure, team members may be inclined to take more personal and emotional risks, allowing one to be vulnerable with other team members.

Vulnerability and Trust go hand in hand. There is nothing more vulnerable than confronting the fact that a fellow coworker can recognize your emotional struggles and habits, sometimes more readily then ones' self, and furthermore they are empowered to support you in overcoming them for your benefit and for the good of the team. When properly fostered, team members can be empowered to confront and suggest the need to transform emotional obstacles. That level of vulnerability, when handled appropriately, will lead to trust. Trust will then eventually lead to healthy interdependent and highly functional teams (Lencioni 2002).

At this stage of team development, open discussions about personality traits, skills, and abilities help to develop self-trust which will lead to greater team trust. It is known that faking socially unacceptable emotions is ineffective as observers can readily identify fake emotions (Hülsheger and Schewe 2011). Energy healing can transform negative emotions to allow the display of authentic behaviors that meet job expectations. Persons hiding or not acknowledging desired skills is also ineffective. Others often see what one cannot see or acknowledge in themselves. Facilitating discussions about the needs of the team and who best fills those needs is a positive step towards opening up on a personal level in a professional environment. I am always amazed at the wonderful things people have to say about each other when given the chance.

Team development tools might include identifying personality traits and skills through the Meyers-Briggs Personality Type (Keirsey 1998), Thomas-Killman Conflict Mode Tool (Thomas and Kilmann 2007), the Enneagram (Riso and Hudson 1996), generational differences (Branham and Hirschfeld 2010), stages of power (Hagberg 2003), or the Holms' Spirituality Typology (Ware 1995) to identify the various ways we learn and perceive information. Any of these tools can provide extraordinarily personal insight, which are often validated by testimonials from peers. Regardless of what end of the spectrum one may prefer in these various personality markers, they are of value to a team in unique circumstances. Energy healing not only assists a person to embrace their innate talents and traits, it also facilitates acceptance of what might be seen as an undesirable trait in others. For example, aggressiveness might be seen as a negative trait. Yet, when the team has to "fight" for needs or resources, the person who is comfortable being aggressive in conflict is the person who should be sent to that discussion. Those who prefer to accommodate in conflict will likely be very grateful! The healing practice can assist in the transformation of past emotional reactions to aggression and allow one to value the appropriate use of aggression more readily. Coupled with the transformation of emotional obstacles, these types of discussions empower team members to thrive in a new direction with the skills and abilities they already have, in an environment that will openly support the utility of their traits for the good of the team.

Stage three. The third stage of team development, *Norming or Goal Clarification*, is often met with emotional upheavals or the opposite, apathy. At this stage, a line is drawn about who does what and how the team works together to accomplish the mission. This can be met with emotional power struggles, oppression, rejection, or a sense of being overloaded with responsibilities. It may be surprising that apathy or sloth can present when one feels overwhelmed with a vision of an ideal model that may seem unrealistic to achieve (Lyman 1989). A lack of engagement may result in exclusion or the opposite, being overburdened. Neither is ideal for the individual employees or the team. This stage provides an opportunity to develop emotional intelligence as a collective compassionate team.

If existing ground rules are not well established, it will be made known in this phase. In addition to revising ground rules, the development of a Charge and Charter is an effective process to facilitate the clarification of team purpose, goals, roles, and procedures. Ground rules set the boundaries for expected behavior and norms for interaction. The Charge and Charter sets out to clearly define the purpose and expected outcomes produced by the team. The Charge identifies the purpose of the team and identifies tangible markers of success. A Charge may be given as a directive to a team or specific projects or job duties may be clarified from within the team. The Charter process is a collaborative team effort to define how the Charge is to be completed. The team may discuss and develop their own purpose statement to guide the process if the purpose of the Charge was provided for them. This allows the group to take ownership of their collective tasks. The team then discusses and defines specific and measurable goals or milestones, roles and responsibilities for members of the team, and details procedures needed to accomplish the purpose (Weaver and Farrell 1999).

It is not likely that everyone will immediately agree on the terms of these elements. Conflict is inevitable. Because the outcome of the work in this stage will affect everyone on a personal level, and likely every day, it is important to get it right. To get it right, everyone must contribute to the development. This work gets emotional. The transformation of emotional obstacles is helpful to avert as many upheavals as possible and remain focused on the task, which will contribute to a team's sustainability. It is not likely to remedy all emotional conflict. Sharing the energy healing tool will definitely help.

To work through conflicting perceptions and ideas, it is helpful to dissect each conflict in terms of the team's agreement and certainty about the issue. This is based on the matrix developed by Ralph Stacey (Zimmerman et al. 2008). When a team is in agreement about the situation and they are collectively certain about the cause and effect of the conflict, the solution is simple. An open discussion to find a solution to resolve the matter is effective. The further the team is from agreement and certainty, the more complex the conflict. Extreme disagreement and uncertainty can lead to chaos, anarchy and the breakup of a team. At this extreme level, the energy healing tool can be used to unload the emotional baggage that team members carry. Unloading the emotions can open individual perceptions to allow team members to see the situation from another's perspective. Conversations move from defensive positioning to meaningful discussion and problem solving. Emotional clearing can lead to greater agreement and even certainty about the team's norms.

In this stage, team members are encouraged to take their time in developing the Charge and Charter, to allow emotional transformation to take place and to hold compassion for all engaged in the process. We may never know what caused another's emotional trauma.What we do know is that we all have trauma and it can take time to process. Patience will result in the development of a meaningful and more sustainable organizational roadmap to success. By addressing emotional challenges, there is less risk of developing operational constructs that ineffectively accommodate the emotional wounds hidden among the team. Instead, it can foster personal growth and self-actualization as the team works towards a shared vision.

Stage four. The final stage in creating a team is *Performing or Commitment*. At this stage, there is an established level of acceptance, trust and mutual respect, and an understanding of how to work together towards the common goals. What remains to resolve are the ongoing dilemmas that are not easy to solve through simple decision-making. Dilemmas are ongoing problems that require a dance between two opposing solutions. An example would be adopting a fiscally conservative or fiscally liberal culture. If an organization remains too extreme on either side, it will suffer the consequences of that extreme. Organizations must learn to dance between the opposites. They must recognize when approaching the downside of one extreme that a shift in approach to the opposite is necessary for smooth operations. This is the work of polarity management (Johnson 1996).

Change is never easy and it is riddled with emotional challenges. Moving from a fiscally liberal culture towards a conservative approach, for example, may feel like affordances are being taken away. For those who are emotionally wounded by traumas around scarcity, this can feel devastating. In the opposite movement, being fiscally liberal in one aspect of the organization may appear to be favoritism to someone who holds an emotional scar of being neglected or outcast. If the emotional wounds are not attended to, no one wins when we truly have an opportunity for everyone to win.

We are in an era where we need to deal with dilemmas more frequently and intensely, beyond simply solving problems. Polarity management is a tool to map out valid yet opposing solutions. The validity is in the eye of the beholder. The mapping process requires the opposites to discuss their viewpoints openly in order to more completely identify of the benefits and pitfalls of the opposing solutions. This can be emotionally challenging. The results, however, are vitally important to success. The map can also be used to identify when a shift towards one side has become too extreme or prolonged. When this occurs, a shift towards embracing the benefits of the opposing solution is indicated. Steps can be taken to benefit all by engaging in the benefits of each opposing solution and finding a balance before experiencing the pitfalls of either solution (Johnson 1996).

Take, for example, the polarity of approaching financial spending (Table 2). Few topics are as universally emotional as financial security. The balance between taking care of organizational needs, saving for the future, and investing in advancement is met with various opinions. Taking care of the basic needs is perhaps a given on both sides of the polarity, as is ensuring a security buffer with savings. What constitutes additional needs and the size of a saved nest egg can vary based on individual perspectives. Those who live with an emotional fear of losing security may tend to save more. Those who feel emotionally stagnant or stifled may want extra funds to be invested in employee growth opportunities. The decision to save or spend in excess of need is an emotional one. A sustainable balance can be found only among all the players on the team. It helps to alleviate the emotional ties to one decision or another when working through the polarity.

Table 2 Example of a polarity map regarding financial spending

Fiscally liberal benefits: Spend to support innovation and growth, which can in turn bring in more profits	Fiscally conservative benefits: Save for a crisis, which can save the company in lean times
Fiscally liberal pitfalls: Excess innovation may drain resources and make the company vulnerable to loss	Fiscally conservative pitfalls: Lack of innovation and growth can create a loss of market share due to outdated products

The example in Table 2 shows one polarity in investing versus saving. When a team comes together to map out the issues of any dilemma, many polarities may be identified. In the polarity illustrated, the benefit of spending on innovations is that it could potentially bring in more profits. The downside of investing too much is that it requires more resources to ensure success. The benefit of saving is the security to continue operations in lean times. The pitfall of saving alone is the potential of losing one's competitive edge with outdated products. If team members are emotionally tied to one solution or the other, they may fail to recognize the benefits of the opposing option or the pitfalls of their desired option. Contests to win one or the other option inevitably end up in the pitfall of the winner's side. Working through emotional obstacles at this level enables each stakeholder to view the whole picture.

Greater emotional freedom tends to foster greater adaptability and enables those with opposing views to work together towards success. The ideal solution in this example is to find a balance between saving and spending. When all can identify the pitfalls and when they are expressed in reality, then the solution should swing towards the upside of the opposing option. For example, when the company senses they may experience a loss in market share, it is best to invest in innovative products. If the nest egg becomes threatened, it is time to save again. This is the adaptation that is needed. Transcending emotional ties to one solution or the other will allow the shift to occur naturally and fluently.

The work of polarity management requires many diverse voices to come together to contribute to the development of a whole dynamic solution. How many necessary endeavors are stifled or postponed due to emotional resistance? How many ideas to resolve problems are not shared because someone feels inadequate? How many initiatives accommodate perceptions of problems due to emotional traumas, which are not actual universal issues? How many employees do not feel emotionally empowered enough to challenge ineffective directives of their managers and CEOs? If emotional wounds are not resolved, the ability to perceive and accept the reality of opposing views is limited at best. The transformation of individual emotional traumas is becoming necessary in order to develop and adopt ideas that will support organizational needs and carry teams successfully into the future.

Two Examples of Teams Using Self-Directed Energy Healing

One team adopted energy healing as a cohesive collective group. This was a well-established team that had experienced some power struggles in the third, norming stage of development. We worked with the whole team to develop a general Charge and Charter to define acceptable parameters of behavior, define goals and roles, and developed an agreed upon process to engage in conflict resolution. There were high emotional demands associated with their jobs in the service industry. They also contended with highly emotional outbursts within the group. This distracted the employees from focusing on their daily tasks as well as our development work of the Charge and Charter. The energy healing technique was introduced and well received by all team members. It empowered the employees to control their own emotions without being swayed by the negative forces that emerged within the group. Conversations then turned towards staying focused on completing the objectives, with much less emotional diversion. The team was actively engaged throughout the rest of the development process.

In subsequent visits to accomplish the project, it was reported that the turmoil had significantly subsided and the team was able to resolve day-to-day conflict more effectively. Individual agendas were significantly abated. The team was more focused on achieving the corporate goals and collaborated with each other to relieve the innate job stress. Several team members also shared that they were grateful to have used the energy healing tool for personal conflicts outside of work with success too. It was discovered that the source of the power struggle was due to challenges an employee was experiencing outside of work. The healing tool lessened the dramas that were brought into the workplace. The resolution of personal problems facilitated a more pleasant work experience for the whole of the team. Subsequent challenges among the team were successfully worked through with greater success and less strife.

The energy healing tool was introduced to another troubled team. This team was less established as it had recently experienced significant turn over in the staff. The emotional chaos was palpable. The energy healing tool was introduced at the onset of developing ground rules and guidelines to establish the team norms. Once empowered with emotional awareness and regulation, the team was able to recognize the emotional chaos that was intentionally introduced by two team members. Ground rules were established so that the negative behaviors could be called out and corrected properly. Individual discussions were held with the instigators of the emotional chaos. The two chose not to comply with the new ground rules and quit within weeks of the implementation of the new ground rules.

Unfortunately, there are people who stir up emotional trouble to feed off the negativity. When emotions are confronted and discussed, and employees are empowered to handle the situation, those who manipulated negativity have lost their power of source. They are faced with a choice to transform along with the rest of the team or to find another place of employment where they are likely to attempt to bask in negativity. One can only hope they will run out of options and confront their emotional shadows. Teams that are afflicted with such behaviors can realize they do not have to endure the consequences of inflicted emotional turmoil.

Conclusion

Leaders strive to create positive work environments. Transformational leaders focus on the growth and development of both the individual employees and the organization as a whole. They consider the needs and desires of each and find ways to bring balance to assist all in order to thrive together (Riggio and Bass 2006, p. 3). Many leaders are now exploring the inclusion of a variety of spiritual practices to enhance leadership development. The energy healing tool can be effective in supporting the development of transformational leaders by staying focused on authentic objectives and goals rather than appeasing unresolved emotional traumas. Energy healing can be an appropriate tool to integrate in secular workplaces with success.

Every team struggles at various points in development. Emotions are sure to be involved, if not the cause of the situation. It is ideal to have a foundation in managing and transforming emotional obstacles in order to better manage and transform the various situations that arise. My vision is to empower people with tools to transform so no matter where one is, at home, work, or in social circles, greater peace in resolving conflict and deeper relationships can be developed with greater ease.

Cross-References

- ▶ An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
- ▶ Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians
- ▶ Identity and Meaning in Transformation
- ▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ▶ Self-Awareness in Personal Transformation
- ▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment
- ▶ The Neurobiology of Personal Transformation
- ▶ The Transformation to Open-Heart Skills and Mindfulness in Healthcare Using the INTOUCH Model
- ▶ Transformative Leadership

References

Anderson JG, Taylor AG (2011) Effects of healing touch in clinical practice: a systematic review of randomized clinical trials. J Holist Nurs 29(3):221–228

Blau G, Fertig J, Tatum DS, Connaughton S, Park DS, Marshall C (2010) Further scale refinement for emotional labor: exploring distinctions between types of surface versus deep acting using a difficult client referent. Career Dev Int 15(2):188–216. https://doi.org/10.1108/13620431011040969

Bonebright DA (2010) 40 years of storming: a historical review of Tuckman's model of small group development. Hum Resour Dev Int 13:111–120

Bono JE, Foldes HJ, Vinson G, Muros JP (2007) Workplace emotions: the role of supervision and leadership. J Appl Psychol 92(5):1357–1367

Boyatzis R, McKee A (2005) Resonant leadership: renewing yourself and connecting with others through mindfulness, hope, and compassion. Harvard Business School Press, Boston

Branham L, Hirschfeld M (2010) Re-engage: how America's best places to work inspire extra effort in extraordinary times. McGraw Hill, New York

Clarke TC, Black LI, Stussman BJ, Barnes PM, Nahin RL (February 10, 2015) *National health statistics report: The use of complementary health in adults: United States, 2002–2012*. National Health Statistics Report No. 79. National Center for Health Statistics, Hyattsville, MD, Retrieved from https://www.cdc.gov/nchs/data/nhsr/nhsr079.pdf

Daruna JH (2011) Introduction to psychoneuroimmunology, 2nd edn. Elsevier, Waltham

Davis R (January 12, 2015) The doctor who championed hand-washing and briefly saved lives. National Public Radio, Morning Edition. Retrieved from: http://www.npr.org/sections/health-shots/2015/01/12/375663920/the-doctor-who-championed-hand-washing-and-saved-women-s-lives

Debiec J, Sullivan RM (August 19, 2014) Intergenerational transmission of emotional trauma through amygdala-dependent mother-to-infant transfer of specific fear. Proc Natl Acad Sci USA, 111(33), 12222–12227. Retrieved from http://www.PNAS.org

Desmedt A, Marighetto A, Piazza P-V (2015) Abnormal fear memory as a model for posttraumatic stress disorder. Biol Psychol 78(5):290–297

Dunow C (2013) A pilot study to explore the results from learning a self-empowered energy healing technique as an emotional regulation tool intended to improve service industry leaders' affect well-being and performance. Master of Arts in Organizational Leadership Theses. Paper 16. Retrieved from http://sophia.stkate.edu/maol_theses/16

Durant R (2002) Synchronicity: A post structuralist guide to creativity and change. J Organ Change Manag 15(5):490–501

Eldor L (2016) Work engagement: toward a general theoretical enriching model. Hum Resour Dev Rev 15(3):317–339

Enehaug H, Helmerson M, Mamelund S-E (2016) Individual and organizational well-being when workplace conflicts are on the agenda: a mixed-methods study. Nordic J Work Life Stud 6:83–104

Feinstein D, Eden D (2008) Six pillars of energy medicine: clinical strengths of a complementary paradigm. Altern Ther 14:44–54

Frost PJ, Egri CP (1994) The shamanic perspective on organizational change and development. J Organ Change Manag 7(1):7–23

Garrow JS (November 10, 2007) How much of orthodox medicine in evidence based? Br Med J 335(7627):951

Gerber R (2000) Vibrational medicine for the 21st century: the complete guide to energy healing and spiritual transformation. HarperCollins Publishers, New York

Goleman D (1995) Emotional intelligence: why it can matter more than IQ. Bantam Books, New York

Goleman D, Boyatzis R, McKee A (2002) Primal leadership: realizing the power of emotional intelligence. Harvard Business School Publishing, Boston

Hagberg JO (2003) Real power: stages of personal power in organizations, 3rd edn. Sheffield Publishing Company, Salem, WI

Hay L (1988) Heal your body: the mental causes for physical illness and the metaphysical way to overcome them, 3rd edn. Hay House, Carlsbad, CA

Hiskey S, Luckie M, Davies S, Brewin CR (2008) The phenomenology of reactivated trauma memories in older adults: a preliminary study. Aging Ment Health 12(4):494–498
Hülsheger UR, Schewe AF (2011) On the costs and benefits of emotional labor: a meta analysis of three decades of research. J Occup Health Psychol 16(3):361–389. https://doi.org/10.1037/a0022876
Jain S, Mills PJ (2010) Biofield therapies: helpful or full of hype? A best evidence synthesis. Int J Behav Med 17:1–16
Johnson B (1996) Polarity management: identifying and managing unsolvable problems, 2nd edn. HRD Press, Amherst, MA
Judith A (2000) Wheels of life: a user's guide to the chakra system. Llewellyn Publications, St. Paul, MN
Kabat-Zinn J (1994) Wherever you go there you are: mindfulness meditation in everyday life. Hyperion, New York
Karakas F (2010) Spirituality and performance in organizations: a literature review. J Bus Ethics 94(1):89–106. https://doi.org/10.1007/s10551-009-0251-5
Keirsey D (1998) Please understand me II: temperament, character, intelligence, 2nd edn. Prometheus Nemesis Book Company, Del Mar
Kelly JR, Barsade SG (2001) Mood and emotions in small groups and work teams. Organ Behav Hum Decis Process 86(1):99–130
Langer E (1989) Mindfulness. Kindle Edition. Retrieved from http://www.amazon.com
Lencioni P (2002) The five dysfunctions of a team: a leadership fable. Jossey-Bass, San Francisco
Levine PA, Frederick A (1997). Waking the tiger: healing trauma. North Atlantic Books. Kindle Edition. Retrieved from http://www.amazon.com
Lincoln MJ (2010) Messages from the body: their psychological meaning, 12th edn. Talking Hearts, Cool, CA
Lipton B (2008) The biology of belief: unleashing the power of consciousness, matter & miracles. Hay House, Carlsbad, CA
Lyman SM (1989) The seven deadly sins: society and evil. General Hall, Lanham, MD
Maren S (2011) Seeking a spotless mind: extinction, deconsolidation, and erasure of fear memory. Neuron 70:830–845. https://doi.org/10.1016/j.neuron.2011.04.023
Markowitsch HJ, Staniloiu A (2011) Amygdala in action: relaying biological and social significance to autobiographical memory. Neuropsychologia 49:718–733
McCraty R, Atkinson M, Tomasino D, Bradley RT (2006) The coherent heart: Heart-brain interactions, psychophysiological coherence, and the emergence of system-wide order. Boulder Creek, CA: Institute of HeartMath. Retrieved from www.heartmath.com
McHenry Sullivan P (2013) Chapter 2: EEOC best practices support best practices for spirit and religion at work. In: Neal J (ed) Handbook of faith and spirituality in the workplace: emerging research and practice. Springer, New York
McTaggart L (2008) The field: the quest for the secret force of the universe, 2nd edn. Harper, New York
Parker C, Doctor RM, Selvam R (2008) Somatic therapy treatment effects with tsunami survivors. Traumatology 14(3):103–109
Pearlmutter D, Villoldo A (2011) Power up your brain: the neuroscience of enlightenment. Hay House, Carlsbad
Pert CB (2003) Molecules of emotion: the science behind mind-body medicine. Scribner, New York
Radin D (2006) Entangled minds: extrasensory experiences in a quantum reality. Simon Schuster, New York
Rao A, Hickman LD, Sibbritt D, Newton PJ, Phillips JL (2016) Is energy healing an effective non-pharmacological therapy for improving system management of chronic illness? A systematic review. Complement Ther Clin Pract 25:26–41
Riggio RE, Bass BM (2006) Transformational leadership, 2nd edn [Kindle version]. Retrieved from http://www.amazon.com
Riso DR, Hudson R (1996) Personality types: using the enneagram for self-discovery. Houghton Mifflin Company, Boston

Sackett DL, Straus SE, Richardson WS, Rosenberg W, Haynes RB (2000) Evidence-based medicine: how to practice and teach EBM, 2nd edn. Churchill Livingstone, Edinburg
Schwartz GE, Simon WL (2007) The energy healing experiments: science reveals our natural power to heal. Atria Books, New York
Sibbet D (2011) Visual teams: graphic tools for commitment, innovation, and high performance. Wiley, Hoboken
Synovitz LB, Larson KL (2013) Complementary and alternative medicine for health professionals: a holistic approach to consumer health. Jones & Bartlett Learning, Burlington, MA
Thomas KW, Kilmann RH (2007) Thomas-Kilmann conflict mode instrument, 3rd edn. CPP, Mountain View, CA
U.S. Equal Employment Opportunity Commission (2008) EEOC compliance manual, No. 915.003. Retrieved from: https://www.eeoc.gov/policy/docs/religion.pdf
Villoldo A (2000) Shaman, healer, sage: how to heal yourself and others with the energy medicine of the Americas. Harmony, New York
Warber SL, Bruyere RL, Weintrub K, Dieppe P (2015) A consideration of the perspectives of healing practitioners research into energy healing. Global Advances in Health and Medicine 4(Suppl):72–78
Ware C (1995) Discover your spiritual type: a guide to individual and congregational growth. The Alban Institute, Herndon, VA
Weaver R, Farrell J (1999) Managers as facilitators: a practical guide to getting work done in a changing workplace. Berrett-Koehler, San Francisco
Wildish P (2000) Book of chi. Tuttle Publishing, North Clarendon, VT
Zimmerman B, Lindberg C, Plsek P (2008) Edgeware: lessons from complexity science for health care leaders. Plexus Institute, Washington, DC

Finding US in Music™: A Method for Deeper Group Engagement That Integrates MUSIC with Ubuntu, Contemplation, and Reflection

Barbara Nussbaum

Contents

B. Nussbaum (✉)
Independent Consultant to the Centre for Student Communities, Stellenbosch University, Stellenbosch, South Africa
e-mail: barbara.nussbaum@gmail.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_56

Abstract

Increasingly both in the theory and practice of organizational development, themes of connecting with the other, participation and co-creation, leveraging "We Spaces" are becoming more common. How then can music bring a positive contribution to transformation within organizations? This chapter discusses the potential role that contemplating self and other through the frame of music can give to the transformation of consciousness. A pioneering approach to personal transformation is introduced in which music amplifies personal narratives in small groups and is the primary lens for self- awareness and mutual discovery. Theorists and practitioners from diverse disciplines inform a theoretical backdrop: from John Dewey (The later works of John Dewey (Volume 10, 1925 – 1953): 1934, Art as experience. Southern Illinois University Press, Carbondale, 1989) and Maxine Greene (Active learning and aesthetic encounters, 1st edn. NCREST, New York, 1995) in aesthetic education; David Cooperrider and Diana Whitney (Collaborating for change: appreciative inquiry. Berrett-Koehler Publishers, Oakland, 1999) – appreciative inquiry; integral organizational development; integral philosophy of Steven McIntosh (Integral consciousness and the future of evolution: how the integral worldview is transforming politics, culture and spirituality. Paragon House, St Paul, 2007) and Ken Wilber (A brief theory of everything. Shambala Press, Boston, 2000), and the African philosophy of Ubuntu Dion Forster (HTS Theol Stud 66(1):1–12, 2010). The integration of diverse perspectives paints a picture of how and why such music-centric approaches hold relevance for personal and group transformation in twenty-first-century organizations. This chapter is intended to make a small contribution to sparking inquiry and inspiring innovative practices, locally and globally in the evolving field of organizational development. We live during a time when finding viable and engaging approaches to heal and transform the many divides within organizations and societies globally are sorely needed.

Keywords

Appreciative inquiry · We space · Ubuntu · Intersubjective space · Personal transformation · Group transformation · Organizational transformation through group engagement · Contemplation through music · Music and Ubuntu · Music in Organizational Development · Group as an art form: integral philosophy · Individual transformation · Contemplative approaches in organizations, organizational aesthetics · Finding Us in Music · Peter Gabel · Thomas Hübl · Chene Swart

Introduction

Collectively connecting, supporting, and co-creating with others – becoming "we" and "us" – is an increasingly important aspect in organizational development theory and practice. This chapter explores a group change methodology in which music enables participants to express and contemplate self and see the other as the group journeys to become "us." It describes how the group's consciousness transforms using this process.

This chapter introduces *Finding US in Music,* a pioneering approach to personal and group transformation in which

- Music amplifies the personal narratives exchanged within small groups.
- Music is the primary lens for participants' self-awareness.
- Music is a pathway to and reflection of the group's discovery of their connectedness.

This chapter describes a holistic approach for transforming group dynamics and building cohesion by combining music with reflective and appreciative group inquiry and infusing the group's culture with the emotional and spiritual intelligence of the African philosophy Ubuntu.

The integrated use of music, Appreciative Inquiry (AI) and the shared humanity called forth by Ubuntu, intensifies the intersubjective space in a small group setting so that the resultant process is potentially generative and transformative. Music amplifies the energy and meaning within the space. Music embodies and enlivens how participants discover true mutuality in their relationships within a group.

This methodology, although refined over a decade, is still an in-progress unfolding work. It draws from various theorists and practitioners from diverse disciplines whose work informs and creates a backdrop for this new approach to personal and group transformation. *Finding US in Music* builds upon the works of: John Dewey (1989) and Maxine Greene (1995) in aesthetic education; David Cooperrider and Diana Whitney (1999) in appreciative inquiry; and Steven McIntosh (2007) and Ken Wilber (2000) in integral philosophy, and others.

In weaving together these diverse perspectives, a picture emerges of why music becomes so relevant and integral to personal and group transformation. We learn how to use music for this new purpose. The integration of diverse perspectives paints a picture of how and why such music approaches hold relevance for personal and group transformation in twenty-first-century organizations.

The *Finding US in Music* approach has potential to contribute to broad scale organizational transformation. However, the scope of this chapter is confined primarily to the small group as the locus for change.

Pioneered in the USA, this approach has taken root in South Africa in a university that is committed to transformation. Applied in this setting, this method helps participants transcend and reshape many of the intractable constraints – structural inequality, colonialism, and *apartheid* – which continue to characterize South African societies and institutions. This chapter is intended to make a small contribution to sparking inquiry, inspiring innovative practices, locally and globally in the evolving field of organizational development. We live at a time when finding viable and engaging approaches to heal and transform the many divides within organizations and societies globally are sorely needed.

Why Music Is an Important Aspect of Organizational Transformation Through Group Engagement

For Meade (2016), a consequence of the reckless rushing around in modernity is that both individually and collectively we need to reclaim the authentic interior of ourselves – the part of ourselves that nurtures the sense that we can own important emotions, inherent purpose and that our existence must include the claiming and unfolding of our unique story that lives in every soul.

The contemplative use of music is one method to accompany such unfolding of each person's unique story and could easily become a means to explore both spiritual and secular aspects of life within the work context. Used in the new way described here, music also has the potential to be a humanizing and transformative force for teams, groups, and even large organizations.

All too often the strictures, structures and silos within organizations freeze creative energy and obscure the beauty, depth, and power of each person's potential. Patricia Aburdene (2005) points out an interesting trend: that along with a rapidly changing world, the flow of spirituality from the personal to the institutional domains of life will become more prominent. She concludes that today's employees want more spirituality. Others also find that workers want more meaning and connection (Carter and Nussbaum 2010; Briskin et al. 2009; Neal et al. 1998).

Music offers a refreshing language of renewal and transformation that can enable employees to find greater meaning in and connection with their colleagues and their work's purpose. It could become one of the easiest ways to build community, humanity, and connectedness into organizations because of its broad appeal, particularly among millennials, but for all age groups. While all art forms move and quicken the spirit, music is, perhaps, one of the more transcendental art forms in a work setting. For Bono of the U2, it is the language of the spirit and therefore is one of the most effective ways to build lasting connection between people working together.

> It's such an extraordinary thing, music. It is how we speak to God finally – or how we don't. Even if we're ignoring God. It's the language of the spirit. If you believe that we contain within our skin and bones a spirit that might last longer than your time breathing in and out – if there is a spirit, music is the thing that wakes it up…. And it seems to be how we communicate on another level. (Bono in Wenner 2005)

The *Finding US in Music* methodology involves participants listening receptively to recorded music – the playing and sharing of tracks of music known and loved by team members. This experience is distinct from a group playing musical instruments;

it is not about individuals performing. It is about what Michael Jones (2016) calls collective "artful presence" or what Otto Scharmer (2007) refers to as "co-sensing."

As each participant chooses a song track to express the meaning and purpose of one's life and interprets for the group what this song means in an intentional and conscious way, the invisible inner world of that person begins to be visible to others.

By helping people within a group setting share and reflect on their personal narratives, music provides a way to unfreeze and unfold each person's unique story. It helps surface what Maxine Greene (1995, p. 123) describes as "unheard frequencies," unnamed talents, passions, and purposes. Interpersonally, the multidimensional language of music helps us express the potency and complex layers of the inspirational sparks within us when words alone are not enough.

Music not only offers an entry point into the subjective interior world of each person, it provides a larger vocabulary and richer language for expressing and experiencing connection between people. When the group is receptive and willing to explore this process, music enables the release of creativity and energy not only within the individual's interior world but also the energy present in the spaces between the people in the group.

Contemplation through music gives the individual and the group access to dimensions of each person's unique narrative and experience. It stirs our imaginations and opens our hearts. Music helps us claim the truth of our own unique story and empowers each of us to express the paradoxes of our fulfilled and unfilled yearnings. We become livelier, more self-aware, more open, and more real.

Music guides members of a group to remember and apply the healthy and soulful aspects of our nature. It enlivens our imagination and helps identify the individual and collective aspects of the group that have been marginalized, suppressed, and silenced in alienating organizational environments. It builds emotionally healthier teams and humanizes work environments.

This music-centric method offers practical benefits of enabling greater organizational creativity, adaptability, and innovation. Music releases our imagination and enables us to become more productive as a "creative whole" – moving us beyond our gifts as individuals into a more cohesive and better-performing team.

Deeper engagement through music and other art forms gives voice not only to greater wholeness within employees but also generates tangible experiences for making meaning of the spaces that exist between people. These in-between spaces are increasingly recognized by thought leaders (Allee 2003; Scharmer and Kaufer 2013) as the new collaborative advantage for generating intellectual and social capital (Cook 2014).

The chaotic world of organizations requires collective creativity and wisdom to address exponentially difficult challenges. Richard Barrett (1998) says it this way, "organisations don't change, People do."

While meditation and mindfulness are becoming increasingly acceptable in organizations, they are not yet mainstream. And although the use of the arts is gaining recognition as a tool in organizational development (David Whyte using poetry www.davidwhyte.com/, Barbara McAffee www.barbaramcafee.com with singing and Michael Jones http://www.pianoscapes.com/ with piano music), arts are still not regarded widely as central and substantive forces for organizational change.

However, combining music (or other art forms) with contemplative group engagement could become a viable approach for raising consciousness and transforming relationships in a profound and sustained way. Perhaps music will be considered just as or even more acceptable to organizations than meditation.

Fresh insights and the images evoked by the co-interpretation of music in real time, in the relational in-between space existing among members of a group, can be profoundly transformative and productive for the business as well as the participants engaging in change activities. Both essences, of music and Ubuntu, not only intensify and deepen conversation but accelerate the rate of change within a group because of the profound levels of intimacy and sharing they arouse.

One Stellenbosch student team leader wrote. *"Music evokes an unforced, natural vulnerability, like nothing else can in me. You cannot help but be vulnerable and true when evoked by music. In four hours, I learned so much about my team. I learned their souls' truths to an extent deeper than I know my own friends."*

What then is the essence of Ubuntu?

Ubuntu Is a Pillar of This Approach and of the World's Connected Future

Ubuntu is a quintessentially African concept. In Africa, the original cradle of humankind, humans first evolved our need for belonging and learned how to develop a sense of community (Nussbaum et al. 2010).

Ubuntu is the art and quality of being human together and the responsibility that flows from living in community. *Umuntu ngumuntu Ngabantu* is the Nguni term, from South Africa, meaning that people become people through people and more of who they are through dynamic relationships with other people. Ubuntu is not only about becoming more human in a social context, through basic compassion and respect for others. It also entails a lived spiritual commitment to the growth of all individuals within the group.

Ubuntu has recently been called integrative humanism (Lessem 2017). It is a philosophy, a world view, and way of being that is part of the DNA of culture and spirituality in many African countries. There is a word for Ubuntu in at least 13 countries (Nussbaum et al. 2010). The "best way of being a person according to African understanding of the human person is to have ubuntu" and that "[u]buntu is the ideal stage of being a human person" (Mcunu 2004, p. 25; Forster 2010). Ubuntu requires artful and embodied attention, words and action in the present but is mindful of the past and invites in the possibility for co-evolving a positive future for the whole group, community, and society.

Mkhize (1998), a South African psychologist, explains an aspect of Ubuntu which distinguishes its essence from traditional western notions of humanism – it is that "self" is rooted in community and is a communally experienced ontology of traditional African culture. A person cannot simply be described solely in terms of personal individual properties, but it is always in relation to the community that a person is defined. Ubuntu calls forth engagement of dignity and truth: and cultivates a shared capacity for promoting and maintaining dignity of all human beings. This applies at every level in the social context, dyad, group, and community. For Desmond Tutu, "my humanity is caught up and bound up in yours. When I dehumanise you, I inexorably dehumanise myself? There is very little separation between you and me, I am because we are and since we are, therefore I am" (Nussbaum 2003a). Africans have understood this for centuries and thought leaders in the postmodern west are finally reclaiming this human interconnectedness, re-correcting a learned tendency towards individualism and separateness and now re-discovering a new language for what has always been alive in Africa. Dr Daniel Siegel, a psychologist, recently called this interconnection MWe (Siegel 2016).

Through Ubuntu, individual consciousness matures and evolves in a way that the self is enriched by and facilitated through connection to the broader community. In Africa, everything is spiritual (Vilakati et al. 2013). And given the African world view, Ubuntu can be described as integral humanism starting with God and ending in creation, including the wholeness and harmony of all reality: created and uncreated, seen and unseen, and tangible and intangible (Forster 2010). So, Ubuntu brings in the presence of the spiritual while also evolving and refining interpersonal skill and simultaneously strengthening interconnectedness and interdependence with others. Another fundamental aspect of Ubuntu is that the African world view places a significant emphasis on the "wholeness of all being" (Setiloane 1998, p. 75; Forster 2010).

Today, we still need belonging and community, and increasingly there are strong voices writing about the yearning for connection and the desire for mutual recognition. Peter Gabel (2018) names this desire as "social force that radiates throughout and across the social fabric of the world, as a vector emerging (as a force and a longing) out from the centre of each person as a pole of social being toward each other person." At the same time, Ubuntu is acknowledged as one of the essential components for global citizenship in the twenty-first century because it is the ultimate recognition of humanity, the common humanity that transcends all differences (Gerzon 2010). Recognized as an evolutionary leader, Gerzon joins the voices of an increasing number of thinkers who recognize the urgent need to evolve our individual and collective consciousness to meet the tough global, integrated challenges of today.

What then do music and Ubuntu have in common? Just as the impulse to express Ubuntu arises from our common humanity, the impulse to create and experience art arises from this same shared source. Dewey's work is instructive here. He claimed that "all art comes from living, breathing, human experience and the artist's own engagement with life" (Dewey 1989). Neither Ubuntu nor music is easily distilled into concise scientific concepts. Both can be ephemeral and intangible yet when you experience the impact of a beautiful piece of music, or the affirming energy of another person's presence through Ubuntu, you feel it. Both Ubuntu and music involve artful presence, artful being, and artful communication. Both Ubuntu and music can be infused with spiritual intelligence through conscious intention. Like beauty, how we listen to music lies in the imagination and within the ears of the beholder. Just as we can choose to hold other human beings in a reverent way, so can we choose to listen to a piece of music with sacred intention. Music can also be used to distract ourselves from ourselves and separate ourselves from others. However, the framing of music in the *Finding US in Music* approach invites reverence for the other and enables music to become a lens for seeing the other clearly, connecting with self and connecting with others.

When something truly universal has been accessed in the artist's own experience, when truly good music is composed and matched by powerful lyrics, it is likely to have wide and even universal resonance in societies and across time and geographies.

Witnessed in more practical form, the call for Ubuntu consciousness permeates an ever increasing plethora of global movements and networks: Humanity's Team http://www.humanitysteam.org/; Alliance for New Humanity http://anhglobal.org/en/; Worldshift 2012 http://worldshift2012.org/; and Kosmos Journal http://www.kosmosjournal.org/ to name a few.

The Group as an Art Form

While there is an alarming rate of increasing conflict and polarization in our world, these live alongside more hopeful trends that have been emerging in the global landscape for the past 20 years: the shift from separateness to oneness (Secretan 2006); the emergence of a movement re-igniting the value of collective wisdom (Briskin et al. 2009); the increasing appeal of the "group as an art form" (Johnson-Lenz and Johnson-Lenz 1995; Erickson and Briskin 2001) embodying the shift from the power of the individual to the importance of the group; and the re-claiming of spirituality in the business social and economic context as important complementary imperatives (Neal et al. 1998).

The inevitability of complexity and change has also brought about concomitant calls for greater levels of shared awareness and in more progressive circles, the desire for a "we" culture (Wheatley 2006; Por 2015; Hübl 2014). More and more thought leaders cite the conditions which make it possible for an individual to participate in the co-creation of a larger communal intelligence.

In this regard, Otto Scharmer's (2007) seminal work on Theory U specifically acknowledges the group as holding the shared consciousness from which organizational transformation emanates. Scharmer's later work, from Ego to Eco (Scharmer and Kaufer 2013), reflects an approach to transformation that addresses three divides in society: the disconnect between self and nature – the ecological divide; the disconnect between self and other – the social divide; and the disconnect between self and self – the personal divide.

In *Finding US in Music*, music offers just one kind of salve among many in the market place to heal some of these divides and so becomes Ubuntu's comrade in the arts of the heart and for creating connectedness in small and large group settings. Another modality is Appreciative Inquiry.

Appreciative Inquiry Is a Fundamental Technique for Every Participant and Every Session

Appreciative inquiry is integral to the *Finding US in Music* method. The introduction of (AI) begins before the first session convenes and guidance for how to use this technique continues in every group conversation. Understanding and practicing appreciative inquiry is key to experiencing the benefits of this approach.

The underlying assumption of (AI) is that organizations can embrace new possibilities by asking organizational members to focus on

- The best of what is
- Appreciating life-giving aspects of organizational life
- Providing challenges to problem-based approaches
- Offering alternative languages to problem-oriented approaches

Because the AI perspective involves the asking unconditional positive questions, the resulting narratives from the group describe and envision social and organizational reality in creative and constructive ways. Appreciative inquiry liberates the socially constructive potential of organizations and the wholeness within human communities.

With appreciative inquiry, spaces for new voices and languages emerge and circles of dialogue expand to build a supportive relational context (Ludema et al. 2012). (AI) catalyzes an "epistemic stance of liberation" freedom, group solidarity, and a deep appreciation for "the miracle and mystery of life" in organizations, and specifically, AI helps discover the strengths in the hidden reservoir that lies at the "positive core." AI also shares with the field of positive psychology an understanding of the role that positive emotions can play in the area of change; "*building and sustaining the moment for change requires large amounts of positive affect and social bonding – hope, excitement, inspiration, caring, camaraderie, sense of urgent purpose*" (Lewis et al. 2008).

(AI) is both a generative and a transformative methodology for producing positive organizational change and shifts in individual mind-sets. AI is an expansive way of being that results in generative perceptions and understandings of the world around us. It inspires and catalyzes fresh possibilities. Posing the unconditional positive question allows groups and whole systems to "discover, amplify, and multiply the alignment of strengths in such a way that weaknesses and deficiencies become increasingly irrelevant" (Ludema et al. 2012). In the *Finding US in Music* approach, appreciative inquiry leverages the relational and conversational potential that exists in the spaces between people within the group or the larger organization.

In addition to this method, many other powerful tools and processes are now available and offer exciting containers for collective change: David Isaacs and Juanita Brown's World Café (www.theworldcafe.com/), Otto Scharmer's U Process (http://www.ottoscharmer.com), and David Whyte's use of poetry (http://www.davidwhyte.com/). Verna Allee (2003) expressed the idea that we are moving to a time when we will use collective containers not only for healing but for integration and co-creation. Dr Jacob Needleman in *The American Soul* named the importance of the group for our future. He suggests not only that the art form of the future is the group but that the kind of intelligence and benevolence we require can only come from the group. For Needleman, creating this intelligence emerges out of relationships between people who are willing to struggle against the human tendency towards illusion, egoism, and fear. He added that assuming the group is an art form of the future, then we must regard the art of convening groups as an artistry we must cultivate to bring about the full potential of the future (Needleman 2003).

Since then, vehicles for harvesting a more promising future come in the form of practical tools and theoretical frameworks now characteristic of an emerging integral age.

The Emergence of WE in the Integral Age

> Our zeitgeist is a new (and ancient) awareness that we participate in a world of exquisite interconnectedness. We are learning to see systems rather than isolated parts and players. (Wheatley 2006, p. 158)

The principles of Ubuntu and the technique of appreciative inquiry enable participants of *Finding US in Music* sessions to connect more deeply as a group. This experience accesses and reflects the "we" – a topic of growing interest to organizational development professionals. Although the concept of "we" – how people act as individuals and as members of a greater society – has been in discussion since the late 1990s, today this concept enjoys a greater understanding and practice among professionals now.

Living Systems

Over the past 20 years, organizational development theorists and practitioners have been increasingly open to embracing a living system view of organizations. They see that organizations need to become more flexible and hence more compatible with the reality of rapid and chaotic changes in the future business environment. Understanding interconnectedness between people as they engage as parts of an organization has become more central to seeing the organization itself as a living whole entity.

The shifting concept of the organization from that of a machine to that of a living system has opened the way for different images of what organizations are becoming in the twenty-first century. New methods are moving away from instrumental approaches and towards the need for more impactful and transformative team and group processes that occur in an evolving organizational context.

Given the current challenges of growing polarization in so many societies, the capacity to build, sustain, and transform relationships increasingly becomes an organizational necessity. Ellinor and Girard (1998), Secretan (2006), Scharmer (2007), Senge et al. (2004), and Wheatley (2006) are among a growing number of organizational theorists and practitioners who articulate the awareness that we are not separate and that we no longer live in a world of discrete people, organizations, lands, nations, things, or feelings (Carter and Nussbaum 2010).

The recognition of this interconnectedness within and between people and systems paves the way for different organizational development perspectives and practices. Discerning the need for greater openness and fluidity within organizations, Ellinor and Girard (1998) noted the increasing interdependence within and between systems and underscored the idea that strong relationships and dialogue are crucial to manufacturing the relational glue essential for robust organizations.

In more recent years from the discipline of psychology (Siegel 2016), to organizational development (Senge et al. 2004; Scharmer 2007) from emerging fields of new sciences (Wheatley 2006), integral philosophy (Wilber 2000; McIntosh 2007), collective intelligence (Por 2015) and collective wisdom (Briskin et al. 2009), and integral education thinkers and practitioners (Palmer 1998) are identifying the trends, creating language, and identifying competencies both to understand the changing context and to evolve practitioners to work in the emerging WE space.

Insufficiency of Rational Approaches

Related to the need to develop living systems is the understanding that rational processes are insufficient to create substantive change. Neal et al. (1998) recognized that rational theories of transformation may have reached their limit and that what sparks ***transformation is neither reachable through logic, nor tied to rationality***.

Their work gave voice to the importance of intangible spiritual realities affecting organizational transformation, likely to be characterized by "grace, magic and miracles," factors as equally important as economic considerations. Their work also paves the way for methodologies which can explicitly include spiritual realities in organizational transformation.

Increasingly, psychologists, integral philosophers, and practitioners recognize that the mind is more than the product of the brain; and that the mind arises both from subjective experiences and through bonds with others. This realization speaks to the need to create more personal, interpersonal, spiritual, and global well-being in our collective lives. This concept carries significant implications for the field of organizational development.

Siegel tells us that the brain is not just the mind, and describes an emerging view that mind acknowledges the power of relationship. He states the importance of greater interconnectedness with both our own and others' inner being. When we honor our distinct subjective lives and then connect them with attuned, empathic communication, we create the potential for more interconnections (Siegel 2016). For Siegel, an integrated identity would involve combining this "me" with "we" as a "MWe."

George Por voices a related idea that both collective intelligence and "shared mindfulness" start within (following the pattern of the "we" space that starts with "we-in-the-I" (Por 2015). Perspectives from an emerging group of integral thinkers and spiritual practitioners all over the world focus on the competencies that are needed to develop the kind of presence and the personal and empathic relationality that the "we" spaces demand (Brabant 2014; DiPerna 2014; Wombacher 2014). There are calls for "an awake and self-reflexive intersubjective consciousness" (Venezia 2014) and for approaches to "show up" in the "we" spaces. All point to how practitioners themselves can step up differently as agents of transformation and "hold space" in new ways.

Thomas Hübl, an Austrian spiritual teacher, is pioneering what he calls the "inner science of transparent communication" emphasizing the required subtle competencies to listen to others in a more conscious, attuned way, to create a culture of the "shared we." Hübl suggests that we can potentially *perceive everything in everyone else, understand others in their depth, and allow the spiritual aspects of life to reveal themselves in our everyday experience* (Hübl 2014).

He has articulated the increased need for growing our sensitivity to the possibility of a field of shared awareness through which a larger spiritual intelligence can show up. This kind of awareness speaks to an intelligence that takes account of the practice of living with awareness of the spaces within me, between you and me/I, and the space between US (Por 2015).

The Integral Age and Integral Education

More recently, there has been the emergence of the Integral Age. While the writings of Ken Wilber (2000) and Beck and Cowan (2014) are particularly prominent in the literature, many thinkers and practitioners are shaping the "integral field" (McIntosh 2007; Schieffer 2016). Most integral frameworks seek to reconnect and re-integrate the fragmented perspectives about many dimensions of life. They aim to give voice to the impetus of the human species to evolve towards higher levels of shared humanity, wholeness, and transformation.

Integral Education is relevant to this area of exploration because its primary focus is on the ontological aspects of intelligence, i.e., the being of the human being. An additional assumption is that wholeness in a human being in turn creates a "*transformative context where learning becomes more real because people acknowledge more of who they are. People become more real by acknowledging the whole of who I am*" (Palmer 1998, p. 13).

Integral Education emphasizes wholeness and relationship: connection to oneself, others, and all of nature as an embodied phenomenon. Integral Education is a catalyst for transformation that *it moves our emphasis in education from gathering knowledge to growing consciousness.* By focusing on expanding awareness, we open a paradigm shift from epistemology to ontology. This fundamentally alters where our attention is placed. *We move from having and doing – to being.* This provides an opening to directly experience ourselves as the shapers and creators of our reality (Adams 2011). For Adams, an integral perspective is committed to weaving together the isolated, fragmented, and disconnected phenomena that take place in our world, "in a manner that allows for seeing with new eyes. When people experience and understand how different occurrences connect together to create a full picture, it changes the way they think, act, speak, and listen, and the way they view the world—a larger picture becomes apparent and their relationship to that image is made clearer (Adams 2011)."

A common theme among integral theorists focuses on the idea that we are progressing from separation to integration.

Our Progression from Separation to Integration

Separation and fragmentation can be traced to early Greek theorists who used rational argument to reveal the true nature of the world.

In the seventeenth century, Rene Descartes' insight "I think therefore I am" heralded the arrival of the rational, autonomous modern self and gave human beings the capacity to see the world as they had never seen it before – *objectively.*

Descartes' work inspired the thinking of modern scientists for 400 years, gave rise to the scientific revolution, and ushered in the beginnings of a paradigm based on objective analysis and logic. Through the dominance of this world view, the understanding of the human experience became divided into the inner perspective and the outer perspective. Descartes' focus on rationality produced negative consequences and fragmentation for society and, consequently, for how organizations are run.

Over time, the west has been facing the erosion and loss of the magic and mystery and beauty, the myth, and the sense of oneness that all of us once knew (Secretan 2006) and which the west has been struggling to correct. Gebser (1986) predicted that the crucial next step for humanity is to transition into the integral state (Schieffer 2016). In 1923, we saw Martin Buber and then other philosophers begin to reclaim the depths of connection through relationship, through intersubjectivity.

In the 1990s Integral Philosophy was born through the work of Ken Wilber and others. Wilber, a philosopher, scientist, and theologian offered a ground-breaking approach – reintegrating spirituality with science, people with nature, historical eras – past and present, giving us a language to describe and distinguish what occurs in the internal universe of individuals and societies. One of his great contributions was in discerning the analytical distinctions between the subjective individual interior, the collective interior (relationships), and the individual exterior (behavior) and objective collective exterior (systems).

This focus on integration offers humanity a crucial corrective re-balancing perspective which attempts to reverse the galloping trend towards fragmentation, separation, and specialization. The integral movement is transforming our worldviews, offering integrated, inclusive frameworks that help us evolve a new consciousness and culture by reclaiming the power of the internal universe and intersubjectivity. (This is about the "we" spaces.) For Phipps (2007), "Wilber's 21st century integral synthesis . . . does for the *internal* universe what Descartes' philosophy did for the *external* universe."

Because of its mastery of We spaces and its socially generative qualities, Ubuntu offers a complementary framework and, perhaps more importantly, a different way of **being** to enliven and embody the WE space. Ubuntu has the potential to plant the seeds for regenerative, transformative, communally expressive, and embodied humanity so urgently needed in our world and so desperately needed in our organizations. *I am because we are, and because we are I am* being a way of being core to Ubuntu. It may just give the internal universe a new vocabulary of being and a direct pathway to connection with the other. It offers a transformative impulse and evolutionary direction in integral approaches.

What then are the subtle transformative shifts that occur in living the experience of we space?

Transformation Comes from the In-Between Spaces

For McIntosh (2007), Wheatley (2006), and Allee (2003) (among others), it is in the spaces in between ourselves and others that we find the golden threads which give vibrancy to the connections between the "I" and the "we." It is in this space where change can be woven and transformation can happen. The spaces within which the dynamic and evolving living systems of human culture are interacting are where opportunities for transformation lie.

McIntosh underscores the idea that regarding the evolution of culture and consciousness, whether in organizations or societies, we are talking about development that is for the most part invisible. Outward manifestations of consciousness can be visible in behavior or artifacts or buildings, but what integral philosophy helps us see is that "a big part of that which is actually evolving is internal."

The experience of an inner life defines what it means to be human. "What is transforming and evolving in human culture is the quality and quantity of connections between people, the shared meanings we co-create, the relationships and mutual understandings that we build—these constitute what we might call the organisms of cultural evolution." (McIntosh 2007, p. 5).

Erickson and Briskin (2001) produced a pioneering booklet, giving depth and texture to the subtle movements that occur in the in between spaces of a group, identifying the significance of gathering in a group. Several principles outlining the significance of gathering in groups are mentioned, describing and enlivening the transformative processes and moments in groups:

- **Witnessing**: An "aspect of witnessing lies in being a mirror for each other's learning. People release a kind of collective sigh as they relax into knowing that they have revealed themselves, and have been validated; even as they stand in validation of others. This aspect of witnessing takes on critical importance in the collective healing of humankind (Erickson and Briskin 2001, p. 51)."
- **Quickening**: "People speak of a moment when the 'magic' happens, a moment of awakening, deepening, quickening, when they seem to transcend their egos or their personalities. They sense a world unseen, unheard, yet truly more there than anything they've experienced before. Erickson and Briskin (2001, p. 11)." (This same tendency was cited in Neal et al. 1998).
- **Connectedness**: "In the group, people experience the power of being seen, being heard and understood at a very deep level; a sense of coming home, of belonging (Erickson and Briskin 2001, p. 21)."

- **Re-membering**: "People are drawn together in groups to remember who they really are. To re-member, meaning to join, to become whole, to fill the place where a part was missing. There is a part in each person that has not forgotten that we are one, and so there is a natural desire in each of us to return, and to experience again the joy of being a part of the whole (Erickson and Briskin 2001, p. 29)."

In naming the intangible processes, Briskin's work gives important substance to this exploration. In what other ways might music, "we" spaces and the integral age be mutually complementary?

The Links Between Music, Ubuntu, WE Spaces, and the Integral Age

Moving on to the approach described in this chapter, *Finding US in Music*, the beauty of music is that it can accurately hold, mirror, and give accurate external expression to individual's inner world. When music combines with group engagement, the threads of an individual's life – the golden, black, red, blue, silver, and the infinite range of colors and textures – become visible and woven together more clearly in the inter-subjective "we" space. Music and storytelling together ravel and unravel and re-create the threads of a dynamic tapestry, which are woven and rewoven by the people making meaning of their inner worlds. The group become co-interpreters of words, stories, and co-weavers of the whole. Music externalizes what is in the individual interior, so that it becomes part of group awareness, the collective interior, and the collective conversation. The music itself becomes an integral and integrating force that enables the connecting, the witnessing, and the remembering of each human being in the group.

The integral frame and Ubuntu both explain how everything is connected to everything else. But the main remedial and transformative gift that integral thinkers have given back to the world is in the power that they accord to what Schieffer calls **the inner core** – the intrapersonal parts of self – which connect and integrate the development of self, team, organization, community, and society.

For Schieffer (2016), the integral view is holistic; it can take account of all the aspects of a living system including the arts as well as nature, community, ecology; culture, creativity, science, systems, and technology; and enterprise, economics, and politics.

The transformative and evolutionary potential of the integral perspective lies in its capacity to restore wholeness in a world which has become too rational, linear, and fragmented; a world which has lost touch with the most magical, mysterious, and graceful aspects of what it really means to be loving connected human beings witnessing each other, and remembering each other.

Intersubjectivity

The notion of intersubjective or shared mindfulness is one of the fields where the transpersonal can be integrated with the interpersonal, the psychological, the ontological, social, and cultural dimensions of transformation. Intersubjectivity is used in a variety of disciplines: psychology, sociology, theology, anthropology, and philosophy. De Quincey (2000) distinguishes three levels of intersubjectivity.

Intersubjectivity 1 (standard meaning): consensual validation between independent subjects via exchange of signals, which relies on exchange of physical signals (*Behavioral, nonverbal*).
Intersubjectivity 2a (weak-experiential meaning): more psychological in focus where mutual engagement and participation between independent people conditions their respective experience and intersubjectivity relies on nonphysical presence as well as the contents of their preexisting subjects.
Intersubjectivity 2b (strong-experiential meaning): mutual co-arising and engagement of interdependent subjects, which creates their respective experience. It is ontological. Strong or ontological intersubjectivity relies on co-creative nonphysical presence (*including the transpersonal*).

According to this "stronger" meaning, intersubjectivity is truly a process of co-creativity, where relationship is "ontologically primary" (De Quincey 2000, pp. 137, 138) yet also opens the way for what are referred to as vertical dimensions of transformation (Frizzell and Banner 2018; Forster 2010) allowing spirituality to be included as a potential transformative force. Through the lens of Ubuntu, identity is understood to be shaped and fundamentally related to spiritual, secular, and social levels of life. Since identity is relational and because relationship with others foregrounds and shapes who the self is becoming, self emerges out of a participatory integrative humanism, an active engagement with the whole of the Kosmos; "it is. . . an active, intersubjective element of being in harmony with all other beings" (Forster 2010). Music helps clarify what is emerging in the inter-subjective space and Ubuntu helps what is being co-woven be held in wholeness.

Ubuntu and Music as Forms of Intersubjectivity

Ubuntu, an integral part of the *Finding US in Music* methodology relates to intersubjectivity, in fact, it embodies and enlivens intersubjectivity. Ubuntu, together with the music, calls forth elements of both the weaker and the stronger versions of intersubjectivity – that which exists and is shared between conscious minds and human beings offering the gift of presence to each other.

While much depends on the group itself, experience leads to the suggestion that *within the mixed alchemy of Ubuntu and music lies the catalytic ingredients that co-manufacture the invisible glue that could help to create strong, caring creative groups, communities and organizations.*

Both Ubuntu and music offer the potential to enliven shared insights and develop higher levels of EQ (emotional intelligence) and SQ (spiritual intelligence). The navigation, application, and integration of such qualities are being called for today by an increasing number of theorists and integral practitioners (Frizzell and Banner 2018).

Ubuntu's Role in the Transformation Process

Integral theories and practices are offering a language and worldview which transforms and re-balances a world suffering from an overly rational, secular, and scientific separateness.

It is interesting to consider the idea that integral theory, as illustrated by Forster (2010), could both

(a) Add conceptual rigor to the concept of Ubuntu, and at the same time
(b) Be enriched by Ubuntu.

Rinaldo Brutoco, co-founder and President of the World Business Academy, published this author's articles on Ubuntu in 2003 (Nussbaum 2003a, b). At the time Brutoco recognized that Ubuntu embodies a holistic and multilayered framework that is broad enough and sufficiently complex to hold the intersecting and interdependent insights of some of the world's top futurists:

- The shift from self-centeredness to other-centeredness
- The move towards a greater commitment to humanness
- The shift towards the responsibility for the whole, and to an ethical and more caring people-centered capitalism

Reframing Integral Approaches to Incorporate the Ancient Wisdom of Ubuntu

Ubuntu is integrative and integral. In line with emerging trends among integral thinkers, educators, and practitioners, Ubuntu incorporates spirituality, the interconnectedness of the "we," the dignity and the wholeness of the "I" and offers an understanding of how the intersubjective consciousness it calls forth can release transformative impulses in groups and organizations.

What then are ways in which organizational development as a field might begin to reframe and link the ideas of its integral thinkers with the more ancient wisdom of Ubuntu? What is Ubuntu consciousness and how is it similar and different to the "MWe" or "we" spaces currently claimed in the postmodern west?

Lessem (2017), Vilakati et al. (2013), and Forster (2010) offer useful conceptual contributions claiming the originating grounds for integral thinking in the southern hemisphere. In offering the word *Integral Humanism*, Lessem takes integral philosophy, typically informed by eastern philosophy, south to Africa. While acknowledging cultural, political, and religious differences, from Zimbabwe, to Kenya to Ethiopia for Lessem, the whole of black Africa is united in their view in one reasoning method: that is, the logic of integration rather than disintegration, communal congregation rather than self-assertion. In its purest form, inclusive integrative thinking patterns that underscore the inclusive and harmonizing nature of African thinking and being. He describes a way of thinking that is not a black and white, with an either/or frame. But rather thinking is fluid and flexible and includes laws of integrativity: that A and B are both true and that A complements B. He suggests a both/and structure for thinking (Lessem 2017).

Forster synthesizes and integrates how Ubuntu embodies integral theory: the interior dimensions of Ubuntu, and the subtle layers of intersubjective experience, as well as the vertical aspects of spirituality, echoed in Frizzell and Banner's work. In Forster's model, the horizontal dimension would relate to interpersonal skills and skill development while the vertical dimension involves the voluntary choice to engage in transformation. Both approaches can include spirituality.

Vilakati et al. (2013) provide a useful analysis of the components of African Spiritual Consciousness emphasizing the co-creation of identity through authentic relationship with other human beings and all of creation. According to Forster (2010), Ubuntu is "a relational ontology based on an intersubjective form of consciousness that integrates the objective and subjective components of human existence and reality." How then can both objective and subjective aspects become more embodied?

Music in Organizations and the Intersubjective Space

Despite many successes and shifts in the practice of "we" space, there exists what Schieffer has called a growing urge, need, and longing to move further beyond a cognitive understanding of integral towards fully fledged "enlivenment and embodiment" of integral life (Schieffer 2016).

Both Ubuntu and music hold the potential to enliven the integral paradigm and embody the lived experience required to fully enter a "we" space, the intersubjective space, with mind, heart, and soul.

Music takes the subjective interior into the collective interior and through feedback within the group and expression of shared meaning. This process of making meaning of the interior through music paints a clearer picture of both the internal interior and collective interior.

By externalizing inner worlds through music, people can re-construct their context to permit deeper understandings and helpful insights and discover intimate language and metaphors which can transform group's conversations and realities.

In addition, other disciplines help us understand the role of music and aesthetics in organizations, offering different lenses through which the transformative potential of music can be viewed. For instance, the field of Organisational Aesthetics, Taylor and Hansen (2005) offer three categories for understanding aesthetics; two are relevant to this chapter: aesthetics as epistemology and aesthetics as connection.

Aesthetics as Epistemology

The case for using music and other arts in organizations builds on the idea of aesthetic epistemology – the concept that a counter understanding to logico-rational approaches to organizational life is offered by aesthetics (Strati 1999).

Challenging the completeness of the dominant, intellectual forms of academic knowledge, Taylor argues that embodied tacit knowledge requires presentational/artistic forms of knowledge. Aesthetic epistemology not only transcends the rational understanding of organizations, but through aesthetic knowing, what becomes more important is the desire for subjective personal truth rather objective truth (Taylor and Hansen 2005).

Ontological and epistemological approaches to music education also make the point that music and other aesthetic experiences enable interpretative understandings of self and personal reality (Arostegui et al. 2004).

Aesthetics as Connection

Aesthetics as connection is relevant to building the “we” spaces in organizations as this focuses on the “belonging to” aspects of a system as opposed to the “separate from” aspects of being in a system (Ramirez 1991), that humans express their feelings of belonging to social groups through aesthetics.

Taylor and Hansen acknowledge that the role aesthetics in belonging is not common in traditional western thought, although it is central to many other cultures such as the Cherokee (Taylor and Hansen 2005). The role of aesthetics, and in particular music and dance, is similarly essential to the idea of belonging in African culture (Nussbaum and Impey 1996).

Music as an Entry Point to Belonging and Evolving

In southern African cultures, music facilitates connections both vertically (with God and the ancestors) and horizontally with people in communities. A traditional healer in Zimbabwe once said, “Music are our radios and guitars, without them we cannot hear our ancestors” (Nussbaum and Impey 1996).

Because music (and dance) are intrinsic vehicles for understanding oneself in relation to others in many African and indigenous societies, these arts remain powerful sources for building cohesion and well-being in indigenous African communities. They could assume this more central role in contemporary contexts as well if the role of the arts was to be reframed in contemporary organizational contexts (Nussbaum and Impey 1996; Impey 2008).

In applying the elements of *Finding US in Music,* we see in practice how music provides motivational entry points that help members find belonging within a group. Scholars recognize that centuries-old music and dance rituals have been integral to cohesion of indigenous cultures worldwide. What is being realized today is that contemporary organizations can also benefit by incorporating music and other art forms into their cultures.

A multidisciplinary thinker and evolutionary psychologist for the arts, Ellen Dissanayake (2000) speaks to the centrality of the arts in human development. Citing the psychobiological roots of musical and other artistic practices, she explains that arts are essential to human growth because the expression lends itself to "transforming, changing and shaping conditions of society." Dissanayake suggests that "love, intimacy, and close connections to other humans are foundational to aesthetic understanding." For her, it is through intimacy, love, reciprocity and closeness, and the communicative activity across cultures that the evolution of a species is supported.

Dissanayake's insights support the assumption of this methodology: music – with the reciprocity, intimacy, and closeness that it affords – creates a sense of belonging for members within a group. At Stellenbosch University (where this system is put into practice), a medical student wrote about his experience: "*I got to have a microscopic view into all of my team members' souls and understand their narrative and the plot they are trying to establish. I learnt to be aware of intercultural reconciliation.*"

Por (2015) and Siegel (2016) are among the increasing number of thinkers speaking about the importance of mindfulness, meditation, and other integrative practices to evolving organizations. They note that evolution in society calls for approaches which will integrate consciousness, create more presence, and open the mind to being more connected to oneself, other people, and the larger world in which we live.

Siegel (2016) suggests that eastern approaches to meditation are essential for learning to be "present" in life, to be open to things as they are within us and within others. He sees eastern forms of meditation as a portal to integration that creates the intrapersonal and interpersonal conditions at the heart of kindness and compassion. This author's contention is that music emanating from any culture, combined with skilled facilitation, contemplation, conscious intention, and other-centered attention, could easily become an additional form of shared mindfulness and constitute a new kind of contemplative integrative process that Siegel describes.

Music is an important catalytic aesthetic agent. Depending on the intention with which it is applied, music gives individuals an easy, authentic, and enjoyable way to access their subjective interior, and it simultaneously provides groups with an effective and economical way to develop powerful and meaningful bonds. Music deepens the nature of group engagement by providing extra access to shared experiences and expressions of emotional intelligence and spiritual intelligence.

The use of music offers nuanced conscious pathways to multidimensional wholeness. It is an effective integrative practice because each person can access their interior landscape on a visceral, conscious, spiritual, and emotional level. We can claim all of who we are – past, present, future, and belong to a variety of heritages and experiences and choosing what makes sense to entrust to a group at a specific moment in time.

Music as a Healing Art

Jones (2016) notes that during the Golden Age of Greece (500–300 BCE), Plato recognized that "rhythm and harmony find their way into the inward places of the soul." Yet despite Plato's insights and centuries of philosophers, anthropologists, music educators, and music therapists, it remains enigmatic as to how music moves our hearts and imaginations. The magic of music is both the unknown mystery it gives us and the pathway on which we travel to a familiar place within.

Music is different from other inspirational art forms, such as painting, sculpture, photography, or literature. While the visual arts express a more linear, more of a one- and two-dimensional form of matter/energy, music is multidimensional. Music can be understood as a vibration, a state of being; it can be processed holographically by both the right (intuitive) and the left (analytical) hemispheres of the brain (Nissley et al. 2003).

The philosopher and poet William Kindler proclaimed that "of all of the arts, music is the perfect art, because it strikes the soul without the aid of the intellect." A similar idea is offered by Michael Jones, pianist, composer, and organizational development practitioner. "Music . . . . . .equips us to tune into the vibration world, one ripe with meaning and insight and one which holds critical information that is not as available to the linear or rational mind" (Jones 2016). For Oran Cohen, singer song writer and CEO of Genius Works (http://geniusworks.co.za/oran-cohen/) in South Africa, ". . .if everything and everything is frequency vibration then music is the way to access those networks of vibration. It is all about consciousness then music is the ultimate tuning (Personal interview, December 2016)."

According to these experts, music is not simply an alternative way to say the same things that human beings say in speech. Music, like other art forms, can express meanings that are not accessible through words and help express them in ways that give listeners more immediate visceral access to emotions, positive or negative. Music helps human beings explore their innermost thoughts and feelings so that each person can become more attuned to the nuances and subtleties of his/her own world.

> One of the reasons that music holds such power in in the Western world, where our cues are almost all visual, is that it reawakens our ability to truly hear. And while we can only see one thing at a time, we can hear everything at once. Furthermore, what we see may be dead or inert but to hear something it must be fully alive. So, music itself is a language of life. As we listen, our senses act as a giant ear and the body becomes a symphony, which equips us to respond to the music's most subtle cues. (Jones 2016)

What then are the assumptions and practical applications of *Finding US in Music?*

Methodology and Practical Application of *Finding US in Music*

Assumptions Underlying the *Finding US in Music* Method

*Finding US in Musi*c assumes that human beings can contemplate the richness of their interior self by consciously making meaning of a track of music they know and love. The method also embodies the implicit values of caring, nonjudgment, and Ubuntu. Its techniques combine these values with music and appreciative inquiry. The result is that individuals and groups experience an intimate, generative WE space that is safe for exploration and connection.

The music helps the listeners clarify, embody, and enliven their understanding of their inner world. This opens a deeper contemplation of the music itself and gives clarity and emotional texture to their personal narrative, personal qualities, or emerging purpose in life.

When participants are assured of a safely facilitated context in small groups of no more than ten people, they will share deeply and mindfully about the meanings they ascribe to the music. Here, a different quality emerges in the range, texture, and authenticity of their communications. Creativity, vulnerability, self-doubt, and self-mastery are shared with others and blend with communally generated insights and participants emerge, affirmed, understood, witnessed, and appreciated in ways that are profoundly humanizing – even transformative.

Neal et al. (1998) state that organizational transformation is most often punctuated by unexpected magic, mystery, and grace. These music sessions reaffirm that insight. Because so much of the interaction in the intersubjective space is intangible, the best moments are those which are punctuated by palpable grace.

Once human beings can share the meaning of their inner music, the music can be heard, interpreted, appreciated, and then re-interpreted. Magic happens. Grace happens. Mysterious synchronicities emerge. Students discover that they share any number of themes and experience profound connection as the group unfolds.

Case Study: Stellenbosch University Live, Listen, and Learn Initiative

> We need to widen at the base, adding the invisible and inevitable necessity of teaching students' self-discovery. Consciousness studies ought to be a fundamental part of a liberal or a scientific education. All students need to be aware that they are the true spark of the transformation of the world. All students ought to be practical dreamers. Ben Okri (2002)

Finding US in Music Grew from a Need for a New Approach to Social Cohesion

Since 2014, this author has worked with students at Stellenbosch University, South Africa, which has been an invaluable testing space for many of the ideas presented here. Stellenbosch was the intellectual home for the architects of *apartheid*. Yet, during the twenty-first century, and since 2007, Stellenbosch University has emerged as a hub for courageous social architects – pioneers who have been committed to institutional transformation.

The university's approach to transformation is multifaceted and has been initiated in a variety of different nodes within the system. The openness and creativity of such visionary social architects have shaped the context within which the author's own work has been able to take root and flourish.

The department which hosts this author's work has several goals:

- Foster greater personal growth for students
- Build strong student communities

- Encourage opportunities for change agency
- Use knowledge and innovation to create sustainable solutions within South Africa and in the world
- Create co-curricular opportunities for student leaders
- Enable greater social cohesion among the leaders of tomorrow

The *Finding US in Music* approach was initiated as part of an innovative residential program at Stellenbosch – Listen, Live, and Learn (LLL) (http://www.sun.ac.za/lllbeta/index.php/about-lll).

In the LLL context, students live with a diverse range of fellow students and are supported in ways that enable them to form long-lasting relationships. The listening/living/learning intention and experience is to create innovative ways to transform the institutional culture at Stellenbosch University, beginning with students living in residence. It also empowers the participating individuals to build bridges and co-create the social glue between diverse groups of students that strengthen relationships across class and race.

The need to build social cohesion is a chronic issue in South African society, and Stellenbosch is exploring innovative solutions to address it such as this Listen, Live, and Learn concept. This program has become the flagship example of the *Finding US in Music* approach.

The Listen, Live, and Learn Sessions

At the outset, the author led LLL residents in regular small group sessions of 8–10 people. Later, these sessions were offered in more traditional residential and dorm settings on the campus and requests for sessions are starting to emerge from other nodes in this ecosystem – staff engaged in co-curricular development and leadership development as well as groups of other students, including psychology honors students and the executive committee of the Stellenbosch University Choir.

- The first step is to introduce music into to the student experience. This is done to introduce the art of listening with focus and intention as a normal experience of daily life.

  We explain that the stories of fellow students can be viewed through music as well as through personal narrative. Our goal is to make this experience both an ingrained life skill and a catalyst for individual and group conversation that leads to transformation.
- We suggest that from the participant's view, the music becomes a muse that evokes a journey into the truth of each person's unique interior, a mirror of their inner world.

> The process involves in contemplating and then presenting one's individual story and then linking the story to music to amplify and illustrate the meaning of a person's narrative. The experience can be an act of courage, a statement of consciousness, sometimes evoking pride, vulnerability, or both.
>
> Politically volatile and rapidly diversifying student communities in South Africa offer a dynamic landscape for witnessing both social cohesion and fragmentation and for testing out fresh modalities for transforming group narratives.

Interpretations of shifting and static self-definitions are even more layered and vivid when stories are crafted, amplified, and shared through a track of music.
Since music elegantly holds paradoxes and ambiguities, the complexity of lived experience can emerge offering truth and authenticity rather than political correctness. Often, the sharing of musical collages forms bridges of understanding between participants that can be built upon later.

Lwazi's Story: Lwazi, a student leader, plays the song Stimela by Hugh Masekela https://www.youtube.com/watch?v=cPxmmMpfG88, an iconic South African jazz musician.

In talking about this selection, Lwazi reveals how his early awareness of inequality has shaped his consciousness, his values, and his leadership platform.

The lyrics of Stimela describe the exploitation of workers, boarding trains from Zimbabwe, Lesotho, and various provinces within South Africa to work in the mines of Johannesburg. The words give social and political commentary about the impact of migrant labor on the miners and their families.

This selection helps Lwazi blend his personal memories with his growing awareness of the political context. Lwazi shares his own story as a frame for understanding his own world and the outside world. He remembers his grandfather's stories of boarding trains in Cape Town to work for minimal wages. He then shares a vivid childhood memory of his mother boarding a train in the large township of Soweto at 6 a.m. to work in an affluent Johannesburg suburb, looking after four children. She returns home at 7 p.m. tired after a long day, working every day but Sunday.

In telling this story, Lwazi's tone is authentic and calm. He uses creative license to say that his mother was not boarding a train to work in a mine like the mineworkers Masekela sings about, but that she was boarding a train to work in an equally exploitative context.

Masekela's music carries the emotion and passion that Lwazi feels. The lyrics of the song describe a dramatic picture of a stark historical reality which still has a certain relevance in the current context of South Africa. Passionately sung by Masekela, the feelings about inequality and the exploitation of workers are shared by Lwazi, the student. The music and the narrative integrate the personal and the political, the past and the present. The sounds of the train and the frustrations of the workers become alive. The source of Lwazi's leadership commitment becomes clearer as his passion finds voice in his words and the music.

The delivery of Lwazi's story with music lands more with more impact than words alone could do.

- The open WE space: This is a crucial aspect of every session. The process of listening in a safe WE space opens up hearts, conversations, frees imagination, and often releases mutual recognition and caring. Students become quiet, they listen attentively to each other, and for several hours, they choose to shift out of their own experiences and enter another's inner world – in the WE space of the music group. They witness each other, generously.
- Connections through Lwazi's story and song:
  While an uncomfortable truth has been revealed, at the same time the musical collage has become a source for a breakthrough in connecting the other members of the group with the realities of Lwazi's life, his purpose and passion as a leader.

Group members, living with privilege, may have never heard Hugh Masekela's song, nor fully faced the impact of their privilege on the lives of others.

Yet, something about hearing Lwazi's story through the music takes the negative charge out of a potentially divisive issue. Lwazi is not raving and ranting, but instead he steps into the magic and intimacy gifted by an open and compassionate "we" space. The privileged student may not change her ideas about outsourcing on campus, which is high on Lwazi's agenda as a student leader, but she may well develop greater compassion for Lwazi and at the same time shift her consciousness of her privilege. Transformation happens in small, radical, subtle ways.

- **Mmoelo's Story**: Mmoelo, studying to be a high school teacher, selects the Whitney Houston song *I Didn't Know My Own Strength* https://www.youtube.com/watch?v=NvRpESH_t-E

> Mmoelo is the daughter of farmworker in the Western Cape. Through her song selection, she describes her journey out of poverty and illustrates this with a song and she finds a testimony to her personal mastery.
>
> As Mmoelo presents, she remembers and shares an important transformative moment during her graduation ceremony earlier that year. While she always knew that her motivation to succeed was primarily to please her parents, during her graduation Mmoelo realized that it was SHE who had done the work!
>
> At this moment, Mmoelo reached an important understanding that she could claim and celebrate her own power. The importance of this moment became dramatically visible to the group during her calm presentation of her story. She has clearly reached the inner place, where she was able to narrate her story with authentic confidence. The powerful melody of the Whitney Houston song, *I didn't know my own strength,* is an accurate mirror of Mmoelo's story.

Her story is beautifully received by her fellow house mates – some are more privileged and some less. All are moved by Mmoelo's inspirational story and all can witness her dignity, her emboldened inner experience affirmed by the words of her song. All are moved by her story, all can witness her dignity, and all can feel the inspiring truth of her journey. Now studying to be a high-school teacher, Mmoelo intends to inspire many students with her own example.

During these *Finding US in Music sessions* Mmoelo, a quiet introverted woman, transformed into a tower of strength before the group's eyes.

The intimate witnessing of another's journey is one of the many gifts this approach gives its students. The articulation of these sparks of personal transformation sows the seeds for changes in the depth and quality of group engagement, taking mutual understanding and connection to a different level. Something in the music helps to make this happen, but there is a magic to it and a mystery, sensed in a moment in time. Each person remembers and is remembered, energy quickens, resonances are felt, and the group holds with greater empathy and compassion both the brokenness and the wholeness that lie within this microcosm of the whole society.

- Other song selections:
  A student radical chooses her song from an alternative Afrikaans rock group. The words of the song affirm her confidence and her refusal to have her identity curtailed by the singular narrative that being a traditional Afrikaaner prescribes. Clearly, loudly, strongly, she affirms that she shines anyway, as her own unique self.
  Yet another student affirms and values her Afrikaans identity, sharing a worship song that has been part of her family's heritage for four generations.
  Another student selects a contemporary choral song to claim his love for nature, for music, and his desire to create harmony between people through his involvement in one of the many student choirs in the university.

Session Characteristics

As one student said: "*It is remarkable to realise that my entire narrative can be expressed in 6 minutes of music. It's like having my story recorded in a safe space.*"

A Finding US in Music session is characterized by these qualities:

The gathering is:

- A **co-creative** process, including **co-sensing**: Co-sensing asks group members to sense deeply into what others are saying and to listen for what emerges in the whole https://www.presencing.com/tools/sensing-journey other (Scharmer 2007).
- An invitation for co-presencing which is about engaging together with communal choice to feel emotionally and spiritually present with and for the other.
- A carefully designed **listening** process invites empathic listening and generative conversation
- A **meaning making** process asks individuals to give voice to their inner most selves, remembering and witnessing each other.
- The **group participates** in the meaning making process, supporting the growth of the individual and each other
- A **humanizing** quality emerges within the group because music liberates empathy and Ubuntu is the container for the mutuality of feeling. Improvising on the words of African philosopher, Leopold Senghor through the music, *I see the other, I hear the other, therefore I am and therefore We are*
- Techniques include **appreciative inquiry** which fosters mutual affirmation and transforms and releases new narratives evokes collective wisdom
- The **music choice** guides an individual meaning making process where inner qualities, inspirations, and aspirations are woven together and then approached with shared mindfulness, inspiring shared and sometimes transformative insights from the group.
- A process invites **mutual vulnerability and shared humanity**. One Stellenbosch student wrote: "*I appreciated most the bareness and openness we showed to one another. The true essence of humanity came through. Vulnerability is not*

weakness, it's the cornerstone of humanity and we learn and grow the most when we are vulnerable." Vulnerability often quickens the bonds within the we-space.

- The process **rekindles generosity** of our human compassion and expands the richness of our imagination
- Music **choices reveal** what personal, family, community cultural influences have shaped each person; past influences, present realities our future aspirations can be understood by others
- Music **transcends and includes**: music can be interpreted to give vivid testimony, reflecting how each person has included and/or transcended the past and re-shapes who they are becoming. The music indicates what personal and cultural narratives are being learned or unlearned and transformed.
- The **collective musical collage** reveals both the unique qualities of each person in the group as well as the common themes emerging in their lives.
- Music with narrative enables a more **fully embodied rendering of emotions**, pain and joy, perceived internal limitations and growth, fears and aspirations, and internal barriers and inspirations.
- The modality **invites all people to go beyond the limitations** of wearing a safe "mask" and to express what is most authentic and core to each person. People are often attracted to music which represents an existing, emergent, or aspirational quality of being and the music helps them to recognize, intuitively, consciously, or unconsciously, that the music takes people "home" to their core self.

Potential Benefits for Individual Participants

Finding US in Music offers a variety of benefits for participants. And although most groups have been conducted in a university setting with students as the attendees, this work has successfully been applied to business organizations with older adults. It has been used in the USA, the Netherlands, South Africa, and Zimbabwe.

In work with students, *Finding US in Music* has been found to provide a fresh space to develop the nuances and layers of participant identities. Participants in general moved beyond describing themselves in association with the subjects they are studying such as law, engineering, drama, creative writing, or sciences. Instead, the fluidity, complexity, paradoxes, and ambiguities that comprise a student's identity can be expressed and contained in a track of music. Thus, the invitation to select a personal narrative through music frees the student to draw on the creativity, well-defined and nuanced emotions (positive and negative) lyrics and emotional mastery of millions of artists, songwriters, and composers from diverse genres.

In this process, students are given free rein in choosing a track of music, so that the global music world becomes their oyster. No one's imagination need be confined by rigid definitions of race, class, culture, or ethnicity. Heavy metal is a valued choice for students of all classes and races to express their anger, whether personal or political. Instrumental music can be chosen or music drawn from movies, many cultures, and languages. The students demonstrate remarkable patience and openness with the sheer variety of music played: choral gospel works, Disney movie tracks, heavy metal, rap, Beyonce, Katy Perry, Louis Armstrong, Pink Floyd, John Lennon, gospel, jazz, classical music, traditional and alternative Afrikaans folk and rock, and African music of all genres (traditional and contemporary) are all part of the diverse musical landscape painted by Stellenbosch students.

The power of music through the ages is that it has the capacity not only to reflect the beauty, truth, sadness, and myriad textures and complexity of individual experience but also to embody, describe, or call forth social changes. As such, musical choices, married with conscious intention and Ubuntu, offer an additional language – one which offers a shared space to feel, to describe, and to frame shifting identities. The *Finding US in Music* approach invites people to acknowledge and *celebrate their sources of inner power and inner diversity and layers of richness and complexity.* In the group sessions, selected music is played, presented, discussed, and interpreted with respect and generous intention from the group. This process leads to self-acceptance, self-awareness, and self-confidence. It helps integrate the whole self – the personal and the professional, the interior and exterior, aspects of self. This process provides the potential for personal transformation and the involvement of the group through their attention, imagination, and empathy contributes to this transformative process.

The use of music offers conscious pathways to such multidimensional wholeness. It is effective because *each person can access their interior landscape on a visceral, conscious, spiritual, and emotional level*. Each student claims all of who he/she is. The group as a whole are people on a journey together traversing complex and joyful pasts as they enjoy their varied solidarities, heritages, and sources of difference and belonging.

Through this work, students learn how to listen to music differently. They learn to listen to music with intentional, directed, and flexible consciousness.

Music can be a distraction or when used with intention, it can be transformative. *Finding US in Music* enables people to listen to music so that music becomes purposeful and supports personal growth. As music can also be the language of the spirit, for the many people who enjoy music, it becomes a nonthreatening way to engage with the language of spirituality in a fresh way.

Through this approach, music can be used as a lens/framework/kaleidoscope for tuning in to the authentic self, the larger self, the higher self, and the spiritual self. Once trained in this method, students often share their spiritual journeys with others using these techniques. This methodology helps more introverted people express and externalize what is inside and it helps more extroverted person find a way to reflect more and journey inwards to reflect deeply on who they are.

Students are able better to embody and express their own internal realities, understand others, and become positive agents of transformation (Swart 2015). They begin to hone their own participation in describing, shaping, and communicating their lived experiences and affirming on another's strengths (Swart 2015).

The transformative potential of this work is that music takes people beyond class, rank, race, prejudice, and educational level to a deep place of soulful connection that lasts for a long time after the session.

Potential Benefits for the Group

Reflecting the experiences of university students, the *Finding US in Music* work has provided benefits to the group in these sessions. Because the culture of every session is nonjudgmental and generous in spirit, they become a safe environment in which to open one's heart and explore sensitive subjects. It helps diverse people build what one student called "invisible bridges of understanding" and communication.

The facilitation style used in this approach stresses compassion over confrontation, while still inviting depth and authenticity. The work trains participants in conscious and patient listening. More than ever, in the shifting and contested space that underlie South African universities, these skills help students understand and transform their own narrative as they witness and to begin to understand the inner worlds of their fellow students.

Music thus becomes a flexible bridge offering a stable pathway across a river of dynamic change.

One student wrote: *The thing that struck me about everyone was the human-ness and how each person really appreciated being valued/looked at on a deeper level.*

Another wrote: *It is difficult to quantify the benefits of the music session. The tangible benefits lie in how it affects relationships in the house. The intangible benefits are very valuable. At the core, the session lays the foundation for mutual understanding which is the building block foundation of future cooperation*.

Another student wrote: *The space invited me to suspend prior impressions and be open to experiencing my fellow housemates in a completely different way. Learning about what brings them hope, joy, sadness and fear has definitely enriched my understanding of each of them.*

This group transformation process creates a **democratic space** for all participants. Whether students are introverts or extroverts; whatever the level of privilege or lack of privilege they have historically held, and whatever race or class they are from, the structure and process of the workshop reduces power dynamics. Each student is given equal air time and the same amount of attention from the group.

The structure and process of the music session **evokes mutual understanding** by inviting students to listen in an intentional, respectful, and engaged way to the other. "*The workshop honestly gave me a deeper understanding of where my team come from; I understood that everyone on the team is as complex as I am.*" "*The perceptions of others about me is often accurate when they listen to my music.*"

The access to emotion provided by songs helps to free empathy and increase **empathy** for the other and the experience of music contributes to the possibility of transformation. As people feel seen and heard by others, their sense of being affirmed changes and recognizing their own potential becomes easier. *The music enables me to feel more open to my housemates to a great degree as I felt more connected to them in a way a conversation could not allow.*

Group transformation can occur because of the process of shared meaning making, seeing and hearing the other, and co-sense making and catalyzes a form of **group agency.** One student team leader explained: "*There are resounding recurrent themes in the heart of my team. Now my team walks away with one heart. Our* *spirits have been exposed to each other. We are revealed in our truest selves. All that we do now will be TRUE.*"

The music **clarifies passion and purpose.** One student wrote: "If *we want our houses to be led by leaders passionately and purposefully, then we need to invest in opportunities like these music sessions, that draw out our passions and our purpose."*

The shared space where students listen to each other's story through music **contributes to a sense of intimacy and belonging and** offers team leaders to understand their team members**.** *"Listening to my committee through the lens of music was transformational for my view of the team. Seeing them being vulnerable has inspired me to open more to them."*

The permission to express emotion and spirituality scales up the intimacy within the session and creates the possibilities for **greater belonging.** What happens in the group can often spill over into interactions in the residential house or student committee, well after the workshop.

The music work offers an **accessible and powerful commentary on social justice issues** – the students can name and frame political and economic issues that are part of the structural violence that occurs in South Africa. Music easily contains social commentary and has the effect of softening hearts in relation to a specific issue. There are many spaces for dialogue and there is some fatigue among students for verbal dialogue. The music offers a fresh space. The music is also de-colonized, freeing each person to express what is true and comfortable, without adherence to a specific tradition (This is important in the South African context, but may have relevance in other countries.)

The methodology helps to **deepen the lived experience of what diversity feels like –** not as an intellectual concept, but with a layered and nuanced portrayal of lived experienced through music. All diversities come through gender, race, class, economic, and cultural.

The Practitioner Experience and Guidance for Practitioners

Future Challenges for Organization Transformation Practitioners

Margaret Wheatley (2002) counsels that when diminishing control exists, as in contemporary paradigms of organizational change, the best way to become a catalyst is through the power of one's relationships.

Organization development professionals who help clients build relationships through methodologies such as *Finding US in Music* are likely to be more in demand and more valued as the fragmentation in world intensifies. In this age, practitioners of organizational health need not only to show up differently, but they also need to hone their way of being, to incorporate the greater call for personal presence.

Increasingly, practitioners will be asked to leverage the human glue, the intangible assets of teams that exist within groups and communities inside organizations.

Trained practitioners will be asked (perhaps not in these exact words) to intertwine the interests of "I" with those of the "other" to build a "we-centeredness." For organizations to thrive in the twenty-first century, participatory consciousness may become essential to achieve their overall performance goals.

The *Finding US in Music* methodology provides a respectful, soulful, democratic, and participatory process where music combines with *Ubuntu* in ways that enable people to see, affirm, and appreciate others. Both the individual contemplative experience and the group feedback in this process cultivate the potential for personal transformation and group transformation so sorely needed in business, government, social, and other forms of organizations.

The guidelines offered here outline practical steps and include awareness of organizational steps. These help to:

- Prepare individuals with contemplative background before participating in a workshop
- Create an enabling environment that evokes authentic group engagement
- Cultivate the positive inner attitude of the practitioner/facilitator
- Bring reverence into the session's dynamics
- Provide practical organizational steps for facilitators
- Facilitate deeper listening
- Facilitate participant feedback

Organizational Steps for Facilitators

Group size: Small groups of 8–10 are ideal and the time required is 3 h.

Maturity of group: This methodology works best in a group where the members have lived together or worked together for at least a month so that they have some basis for giving feedback.

Participation agreement: Groups should only be convened when the group has made the choice to participate in the group. That groups intended to engage with each other in the service of transformation is affirmed by Frizzell and Banner (2018).

Tone: The facilitator sets the tone for a safe and appreciative environment in the introduction to the session

Attitude: The facilitator's inner attitude and presence is key. Embody Ubuntu, respect, reverence for all, show up

Safety and Intimacy: Create a safe space that is also a generative space and gently invite in intimate connection so that group members can surface personal stories without fear.

Inner Preparation by the Facilitator: Personal Orientation and Presentation

The *Finding US in Music* approach advocates that practitioners cultivate a personal quality of attention and an inner orientation that enables and encourages them to work from ever deepening levels and wholeness ***of their own being***.

Be Aware of Ego

A critical skill for a facilitator is to be aware of one's own egoic responses to music. The facilitator should truly listen to and for the interpretations of the other as much as possible. This ability takes time to nurture and develop. It requires purposeful training. It is so easy to be trapped into a highly subjective interpretation of music and successful facilitation should guard against this tendency.

Invite in the Essence of Others

An important skill for facilitators is the ability to invite into the group the essence of each person who is participating. This intentional invitation helps participants discern and distil their own being and experience a sense of the self through the music.

Invite Intention and Reverence into the Group Setting

Setting the tone is key.

> A small circle of limited duration that is intentional about its process will have a deeper, more life-giving impact than a large, ongoing community that is shaped by the norms of conventional culture. (Palmer 2009, p. 75)

The best practitioners apply their own form of sacred commitment to this work, bringing into the space a reverence and appreciation for the profound process that is occurring within the group. Some even use words such as "soul" and "reverence" when describing themselves in connection to their facilitation.

I have used this invitational image to set the tone:

> Each of you is a unique human being. So, when you present your story and share your music – each of you is drawing a frame around your unique inner landscape for us. And then you are painting, through your music and your words, the color and textures, small and large nuances and narrative of your story.
>
> The angle you select for your story is your chosen frame, defined by your own perspective, and crafted with your own paintbrush making your own creative interpretations and leaps. Once we have heard your story and listened to your music, each of us then becomes a co-artist- and a co-creator – adding our insights and strokes to your picture, through our own paintbrushes. So, each of us will add colours shapes and textures, insights and meaning to your landscape or portrait.
>
> Music can stimulate strong personal images in each listener. Be sure to find the balance between freeing your imagination but listening for how you can bring about a clearer and deeper understanding of your fellow house member, or team member. So, if this is your painting, choose to listen and let in our insights and the new colours we offer to your picture, but in the end, you will have the final say, and will be put the final touches on the landscape of your life – as the final maker of meaning of your own life.
>
> We are all here to understand who you are, to add to your understanding and then to add to our group's understanding of what you want to become.

Whatever the style of the facilitator, at the very beginning the facilitator must establish trust within the group and a sense of safety and sacredness. Ubuntu is grounded in this sense of sacredness. This workshop is a way to live and embody

Ubuntu in all that this concept means – with presence, sensitivity, language, style, and tone of facilitation.

Once group intention is invited into the collective experience of the group, participants engage authentically and sincerely in the process (with very few exceptions).

Por (2015) offers useful language about the preparation of the inner being required for entering a group noting that inner attitude is conducive to the emergence of a potent intersubjective field of "shared mindfulness."

An inner attitude allows practitioners to sense what is happening more accurately, think more clearly, act more coherently, and achieve greater collective results. Accurate sensing is a key competence that must also be cultivated. It is as important as accurate mirroring. How questions are framed and how feedback is given is framed by sensing and mirroring.

Por adds that instead of talking *about* mindfulness, it is important to talk "*from* and *to* mindfulness, from mine to yours, from yours to mine." When two or more people are gifting their conversation and their interpersonal relationship with an intentional attention, the space created between them becomes a space of shared mindfulness. Such a practice enables a deeper sense of connection and "adds more presence and significance to the experience of each participant."

Develop the Practitioner's Personal Listening Skills

Practitioners may want to focus developing and honing their own competencies for listening to music in a conscious, compassionate, layered, and creative way. It is important that the facilitator personally experience listening to music flexibly and fluidly in ways that extend his/her own being and imagination. With this personal knowledge and awareness, the facilitator can accurately mirror feedback with full awareness of the distortions of one's own music preferences or ego.

Thomas Hübl's course in Transparent Communication is an excellent resource to help refine the competencies to listen to others with more conscious awareness and to show up with greater presence (https://thomashublonline.com/courses/transparent communication/). The Finding Us in Music method calls for an ability to be *changed by the process of deep listening* to the words and the music on different levels, to the essence of the music. Attuning to how the students are making sense of their own lives through the music can also be informed by Hübl's approach (http://www.thomasubl.com/en/approach-methods.html).

The Hübl practice and the concomitant skills can be integrated into facilitator practices when conducting workshops with the *Finding US in Music* approach. This involves taking participants to levels of awareness where they begin to experience music with greater attention.

This happens by holding a clear intention and openness to each person in the group and by bringing, presence, knowledge, and imagination to that intention. Then, the leader can apply musical, emotional, and spiritual intelligence to listening and group facilitation. From the foundation of a clear and receptive inner attitude, the leader is a role model of presence and artful inquiry. This example helps each student enter a soulful place as they listen to music.

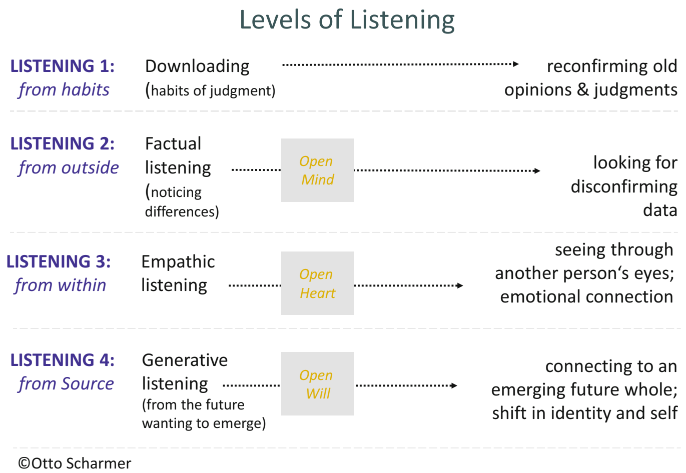
In addition to Hübl, many gifted coaches and facilitators are available worldwide. Any practice that refines the capacity to use music as the foreground for conversation, awareness, and personal growth is helpful. Appropriate training is also necessary, as music can evoke profound emotion and to successfully facilitate this requires a mix of well-developed competencies. While this work may sound simple, music evokes profound responses and it is essential that facilitators are well trained so they can manage their subjectivity in relation to music and to respond to the emotion that the integration of story and music can release.

Facilitate Deeper Levels of Listening by Each Participant

A central aspect of this approach is to foster a more conscious, subtle, and refined way to listen – by all group members.

The invitation to listen with whatever dominant intelligence emerges naturally (visual, musical, verbal, kinaesthetic, interpersonal, interpersonal) is another way simply to refine awareness of how they listen. Invite in creativity and intuition, so that each listener becomes a co-artist. The quality of consciousness for listening helps to transform the consciousness of the listener.

Role-modelling conscious listening is an important part of the process. Otto Scharmer's model describing the levels of listening is particularly instructive. The *Finding US in Music* approach discourages listening at the level of 1 and 2 – listening as simply downloading. It encourages listening from level 3 (empathic listening from the heart) and 4 – listening from the future – in a more generative way.



Facilitate Engagement During Feedback Conversations

Personal narratives are enlivened, illustrated, and embodied by musical choices. One's story is augmented by the music choices one makes. The challenge of linking music, narrative, and meaning inspires insightful levels of presentation of the self by the individual narrator.

As described above, empathic and generative listening is given by the other group members. Then a further layer of interpretation and meaning-making takes place as members of the group provide their insights and feedback to the narrator about his/her track of music.

For practitioners, because listening to music can be such a subjective process, the approach explicitly relies on being able to hold and guide a sensitive sharing of insights and other-centered feedback process. Insights from different group members build on one another, so that meaning is interpreted, refined, re-interpreted, and re-integrated.

With useful feedback by others, the narrator can discern what is most helpful to his/her self-understanding and can then re-make meaning with the added benefit of the collective wisdom in the group.

The facilitator holds the responsibility to generate optimal group engagement. The following page builds on and adapts a very useful table in an article by Chene Swart (2015) whose book, *Reauthoring the World* (Swart 2013), is an excellent resource for biographical storytelling as a transformative modality in organizations.

General Tips for Practitioners

Appreciative inquiry and other qualities of conversation: focus the conversation by inviting members of the group to participate in inquiry that is appreciative, not confrontational, and invite in creativity, honesty, humility, imagination, listening with all senses, and use of all one's intelligences – visual, verbal, kinaesthetic, musical, interpersonal, intrapersonal (Gardner 2011).

Modelling and feedback: role model how to share from the depths of one's person. Role model generative questions, gentle appreciative inquiry, deep listening, nonjudgment. Give accurate affirming feedback humbly but clearly.

Pace and Content: keep attention fluid and flexible. Expect anything to emerge – political values, social concerns, personal trauma, spirituality, vulnerabilities, and self-mastery issues may come up. Real and aspirational visions of the future can be articulated.

Humility: stay humble, aware that knowledge and insights about each person is co-created and becomes a shared and communal process. The facilitator's voice becomes just one voice within the collective.

Caring: recognize that as group members co-create their mutual understanding, they become more sensitive to each other and often opt to demonstrate both caring and greater generosity; this becomes a kind form of accountability to each other.

Creativity: be in touch with your own intuition and creativity as a facilitator, and hone the ability to integrate music and narrative in the way you process what is unfolding.

As the session progresses, the quality of sharing fosters human connectedness; vulnerability is welcomed, and generative questions are asked to deepen the meaning making process. Tissues may be called for, although they are not always needed.

Table 1 Guidelines for listeners and facilitators (Adapted from Swart 2015)

Listeners are invited to	Encourage the listeners to avoid
Listen to understand the person's music and suspend judgment about the genre of the music	Judging and evaluating the genre of the music
Listen with respect and with reverence	Criticism of the person
Listen with openness and creative license. See which intelligences naturally are evoked as you listen to the music – visual images, insights, and memories	Listening with a narrow mind Listening in one dimension
Trust your intuition and imagination – there are no wrong answers	Worry about being wrong
Use your lived experience of the person whose music it is to offer an appreciative comment or insight about the person	
Use your creative listening and knowledge of the person to link your insights to the person, the narrator	Offering feedback that is mainly about you the listener – don't get stuck in the I
Listen to understand the other Focus on the person's music and story – listen through their eyes and ears as primary and then add your insights as secondary but complementary commentary	Describing a response to the person offering a track of music in the third person
Listen with an open heart and mind. Offer generous listening and speak directly to the person narrating his/her story through music. Use I/thou. I hear or I notice this about you in the music	Speaking too much about your own personal journey when you hear the music Speaking about the person in the third person
Offer insights that come from a place of authentic knowing and experiences	Speaking in-authentically or in a politically correct way
Listen with respect and reverence	Imposing judgment
Be okay with not being sure about your insights, and take an intuitive creative leap to offer an interpretation to add to the meaning making process	
Offer discerning, authentic, and generous feedback that shifts the narrative	Being critical
Be humble in the way that you offer feedback	Being arrogant

Comments on the Impact a Skilled Facilitator May Have on Others

These suggested guidelines for practitioners and facilitators are designed to shape and shift the quality of the consciousness and behavior of the listeners and participants in a *Finding US in Music* workshop.

The facilitator is always role-modelling discerning yet caring feedback in an authentic natural way and always using powerful positive questions according to appreciative inquiry principles such as

- How can we hear you in the music?
- What shall we listen for in the music to know you better?

As the group feedback unfolds, often one insight builds on another so that a fuller, larger picture of each person emerges – the collective wisdom almost always comes through. The quality of group attention, together with the feedback the narrators receive, extends and can transform the self-understanding.

The experience of being seen is both affirmative and sometimes can be transformative. It is not uncommon that a group member offers an insight that captures the essence of the narrator's larger story and is immediately recognized as true by the narrator, but not previously known. This can be an extremely moving moment, enabling the narrator to re-integrate or transform their self-understanding in a profound way. Frequently, in feedback forms, students say that they had no idea that they were so well known or understood by fellow students.

A principle drawn from the Zulu Maxim *Umuntu ngumuntu ngabantu* – a person becomes a person through other people – is an accurate description for the generous ontology of Ubuntu that not only creates intimacy, but affirms connection through relationship. During a transformative moment, which has arisen through shared insights, it may be helpful to even say these words, *Umuntu ngumuntu ngabantu*, when in a South African setting.

There is something magical about the emotional moment when a student feels so appreciated and understood that words are difficult to find. The transformative potential of powerful insights that have arisen in the group are profoundly moving. These are the fleeting, powerful ineffable moments where people feel seen and the mutual recognition in the shared discovery shifts the energy in the group.

The presence of Ubuntu is sometimes explicitly mentioned. One student wrote: "*we are all good people; each person in our house loves and cares about the greater good of the house.*"

The new language, the more substantial sense of self and the webs of mutual understanding offer a gentle transformative push. What emerges in the music process is not seen as an end but at a beginning of a process. Peter Gabel names this "desire for mutual recognition as a social force that radiates throughout and across the social fabric of the world, as a vector emerging (as a force and a longing) out from the centre of each person as a pole of social being toward each other person" (Gabel 2018). This is where the yearnings for connection, the strengths and the challenges of each team member, the similarities and differences between group members often become clarified and sometimes transformed. Bonding occurs within the group and in the words of the students, "*invisible bridges are built between us*"; "*people got to know each other's hearts in the priceless purity of the moment.*" People in the group discover what Gabel (2018) calls "the beauty of our co-present collective humanity, not as a collection of individuals, but as an interconnected unity of differentiated social being."

As discovered from focus group discussions, written feedback forms and anecdotal evidence, this methodology is shown to humanize and change group relationships. After the session, the group often retains the transformative spark which stimulates new insights, interactions, and group behavior. The process of seeing each other as human beings helps students understand the implications of what has been shared. The bonding that occurs can and does transformed relationships in the groups. Each group, of course, is different and has its own unique dynamic.

Conclusion

> Discipline, hard work, rationality, and calculation can get us only so far; and in time will become the norm. But with this only, we will produce efficient but mediocre citizens. These are tools that can be used for good or ill. But the science of intuition – the mysterious spark that separates the great discoverers and philosophers and artists from the nearly great – this will one day have to be studied and used for the common good. (Ben Okri 2002)

The creativity and co-creative ethos of *Finding US in Music* offers an important animating process within which to find the kind of spark that Okri refers to in his quote.

In the new soils of the rocky twenty-first-century terrain, whether you are in South Africa or South Carolina, universities and organizations will need to increase the investment in social technologies that promote individual and collective organizational health. Such opportunities for individual and group offer the potential for transformation, one person at a time, one group at a time.

Organizational development approaches will need to build stronger adhesives that strengthen mutual understanding in organizations for them to face and deal with increasingly complex challenges and social fragmentation.

In *The Secret Lives of Plants* (Tomkins and Bird 1989), a character plays classical music to the cacti in his home. As a result, the cacti start shedding their own thorns. We live in a world where we cannot afford to continue to hurt each other with our thorns. In a world that is simultaneously polarizing and waking up to our mutual connectedness, the metaphor that music could help to sheds thorns in the flowering of our own collective consciousness offers an image of hope.

Music has the potential to dissolve and transform the hardness of the heart and create the possibility for human beings to own the paradoxes, the ambiguities, the dreams, and the fears in their lives to engage in profound connection. It is in the offering of self through music in a relational setting that the wounds that still hurt can be owned and shared and be transformed.

Music is a language which is large and generous enough to hold the spiritual and the secular, dissonance and harmony, and paradox and ambiguity. Music expresses the universal, the sacred and the profane, the revolutionary and the conservative, power and vulnerability, the sublime and the ridiculous, the gross and the subtle, and the beautiful and the ugly. As a mirror of life music is profoundly accurate and the potential for the truth it offers in sowing the seeds for transformation is relevant to organizations.

Our collective journey depends on whether we can co-evolve within organizations and in society at large.

An evolving culture within organizations and within societies requires critical and creative impulses of renewal from within and without. Music can become one of those positive impulses. This process helps to enliven and reactivate meaning, opening reservoirs of meaning that music and spirituality can give on all levels – the individual, the organization community, and society.

The combination of music, Ubuntu, and appreciative inquiry offers us an integral humanism that resonates with the emerging need to enliven and enrich the “we” spaces in twenty-first-century organizations. We need to release the creative potential that lies in the interaction between individuals and between groups, whether on campuses or in business organizations where diverse cultures and spiritualties meet.

Organizational development theory and practice has been dominated by western paradigms. It is time to harvest the gifts that other parts of the world offer. It is time to embrace the gifts of the southern hemisphere, of Africa, and of Ubuntu. We need to find a way to communicate with each other, re-humanize each other, and transform each other. One song at a time. One group at a time. One organization at a time.

Organizations require creative impulses of renewal from within and without. And this chapter has described our music can become a generative internal impulse. As Michael Jones (2016) says music should be seen not only as a side note playing in the background or serving as entertainment – but also as an aid that has the potential to become a significant force for healing, change, and transformation.

The educational theorist Maxine Greene (1995) argued that the arts can no longer be extras, or nice to haves; they need to assume a more central place among organizational initiatives.

Our collective transformation in organizations and in societies depends on whether we can merge personal transformation in a group context and co-evolve with each other. If we can keep group engagement alive through a process of mutual respect and purposeful co-evolution, our collective potential to renew ourselves as organizations and as one big tribe who artfully cares about our common humanity can be released.

Cross-References

▶ Activating the Corporate Soul
▶ Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians
▶ Global Transformation: Visions of an Imminent Future
▶ It's Not What You Do, It's Who You Are
▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
▶ Whole System Transformation with Music

References

Aburdene P (2005) Megatrends 2010: the rise of conscious capitalism. Hampton Roads Publishing, Charlottesville

Adams A (2011) Integral intelligence: a 21st century necessity. Integral Rev 7(1):75–85. Retrieved from http://integral-review.org/integral-intelligence-a-21st-century-necessity/

Allee V (2003) The future of knowledge: increasing prosperity through value networks. Routledge, Oxford, UK

Arostegui JL, Stake R, Simons H (2004) Music education for the 21st century: epistemology and ontology as bases for student aesthetic education. Educ Policy Anal Arch 12:54. https://doi.org/10.14507/epaa.v12n54.2004

Barrett R (1998) Liberating the corporate soul. Butterworth Heinemann, Oxford, UK

Beck D, Cowan C (2014) Spiral dynamics, 1st edn. Wiley, Somerset

Brabant M (2014) Cleaning up: the reciprocal dance of psyche and spirit (Chapter 6). In: DiPerna D, Augustine HB (eds) The coming waves, transformation and action in an integral age. Integral Publishing House, Tucson, Arizona

Briskin A, Erickson S, Ott J, Callahan T (2009) The power of collective wisdom and the trap of collective folly. Berrett Koehler, San Francisco

Carter H, Nussbaum B (2010) Exploring the leadership implications of our global context: leadership. Manage Today 28(4):16–17. Retrieved from http://journals.co.za.ez.sun.ac.za/content/mantod/28/4/EJC71151

Cook P (2014, November 15) From competitive advantage to collaborative advantage [Web log post]. Retrieved from https://humandynamics.wordpress.com/2014/11/15/collaboration/amp/

Cooperrider D, Whitney D (1999) Collaborating for Change: Appreciative inquiry. Berrett -Koehler Publishers, Oakland, California, 1999

De Quincey C (2000) Intersubjectivity: exploring consciousness from the second person perspective. J Transpers Psychol 32(2):135–155. Retrieved from http://www.atpweb.org/jtparchive/trps-32-00-01-035.pdf

Dewey J (1989) In: Boydston J (ed) The later works of John Dewey (Volume 10, 1925–1953): 1934, Art as experience. Collected works of John Dewey. Southern Illinois University Press, Carbondale

DiPerna D (2014) Wake up, grow up, clean up, show up (Chapter 3). In: DiPerna D, Augustine HB (eds) The coming waves, transformation and action in an integral age. Integral Publishing House (Kindle edition). Tucson, Arizona

Dissanayake E (2000) Art and intimacy: how the arts began. University of Washington Press, Seattle

Ellinor L, Girard G (1998) Dialogue: rediscover the transforming power of conversation. Wiley, Hoboken

Erickson S, Briskin A (2001, September) Centred at the edge: mapping a field of collective intelligence & spiritual wisdom. Fetzer Institute, Kalamazoo. Retrieved from http://c4cw.org/wp-content/uploads/2016/04/Centered-on-the-Edge-2001.pdf

Forster DA (2010) A generous ontology: identity as a process of intersubjective discovery – an African theological contribution. HTS Theol Stud 66(1):1–12. https://doi.org/10.4102/hts.v66i1.731

Frizzell D, Banner D (2018) Leader self-development, psychological maturation, and meditation: elements of a transformative journey. In: Neal J (ed) Handbook of personal and organizational transformation. Springer, New York

Gabel P (2018) The desire for mutual recognition. Routledge, Oxford, UK

Gardner H (2011) Frames of mind, 1st edn. Basic Books, New York

Gebser J (1986) The ever present origin. Ohio University Press, Athens

Gerzon M (2010) Global citizens. Ebury Press, London

Greene M (1995) Active learning and aesthetic encounters, 1st edn. NCREST, New York

Hübl T (2014) The gateway into the future: mysticism for our times (Chapter 9). In: DiPerna D, Augustine HB (eds) The coming waves, transformation and action in an integral age. Integral Publishing House (Kindle edition). Tucson, Arizona

Impey A (2008, April 2) The sound of development. The Guardian. Retrieved from https://www.theguardian.com/society/katineblog/2008/apr/02/therhythmofdevelopment

Johnson-Lenz P, Johnson-Lenz T (1995) Groupware and the great turning. In: Gozdz K (ed) Community building: renewing spirit and learning in business, Executive edn. New Leaders Press, San Francisco, pp 243–258

Jones M (2014) The soul of place: reimagining leadership through nature, art and community. Friesen Press, Victoria

Jones M (2016, July 26) The music of leadership. Management Issues.com. Retrieved from http://www.management-issues.com/opinion/7198/the-music-of-leadership/

Lessem R (2017) Awakening integral consciousness: a developmental perspective. Routledge, Oxford, UK

Lessem R, Nussbaum B (1996) Sawubona Africa. Zebra Press, Cape Town

Lewis S, Passmore J, Cantore S (2008) Positive psychology and managing change. Psychologist 21:932–935. Retrieved from https://thepsychologist.bps.org.uk/volume-21/edition-11/positive-psychology-and-managing-change

Ludema J, Cooperrider D, Barrett FJ (2012) Appreciative inquiry: the power of the unconditional positive question. In: Handbook of action research. pp 189–199. Retrieved from https://www.centerforappreciativeinquiry.net/wp-content/uploads/2012/05/Ludema-Coo per rider-Barrett-goed.pdf

McIntosh S (2007) Integral consciousness and the future of evolution: how the integral worldview is transforming politics, culture and spirituality. Paragon House, St Paul

Mcunu TN (2004) The dignity of the human person: a contribution of the human person; a contribution of the theology of Ubuntu. Master's dissertation, University of South Africa, Pretoria

Meade M (2016) The genius myth. Greenfire Press, Seattle

Mkhize N (1998) In search of an Afrocentric Voice. Unpublished manuscript, University of Natal, Pietermaritzburg

Neal JA, Lichtenstein B, Banner D (1998) Economic and spiritual arguments for individual, organisational and societal transformation. J Organ Change Manag 12(3):175–185. https://doi.org/10.1108/09534819910273757

Needleman J (2003) The American soul. Penguin Random House, New York

Nissley N, Taylor S, Butler O (2003) The power of organizational song and aesthetic expression of organizational culture. In: Carr A, Hancock P (eds) Art and aesthetics at work. Palgrave McMillan, London, pp 93–114

Nussbaum B (2003a) African culture and Ubuntu: reflections of a South African in America. World Bus Acad Perspect 17(1):1–12. https://doi.org/10.1162/152417303322004175

Nussbaum B (2003b) Ubuntu and business: reflections and questions. World Bus Acad Perspect 17(3):1–16

Nussbaum B, Impey A (1996) Music and dance in the workplace. In: Lessem R, Nussbaum B (eds) Sawubona Africa: embracing four worlds in South African management. Zebra Press, Cape Town, pp 227–248

Nussbaum B, Palsule S, Mkhize V (2010) Personal growth African style. Penguin Books, Johannesburg

Okri B (2002) What are universities for? The Europaeum. Retrieved from http://www.europaeum.org/feu/?q=taxonomy/term/59

Palmer P (1998) The courage to teach. Jossey-Bass, San Francisco

Palmer P (2009) A hidden wholeness: the journey toward an undivided life. Jossey-Bass, San Francisco

Phipps C (2007, December) Integral politics comes of age. What is Enlightenment? magazine. Retrieved from http://www.stevemcintosh.com/articles/integral-politics-comes-of-age/

Por G (2015) From right mindfulness to collective intelligence, and collective sentience: signposts to the later phases of our evolutionary journey. Collective Sentience. Retrieved from https://medium.com/collective-sentience/integral-mindfulness-collective-intelligence-and-collective-sentience-6494387126db#.yqywhx3kz

Ramirez R (1991) The beauty of social organization. Accedo, Munich

Scharmer O (2007) Theory U: leading from the future as it emerges. Society for Organisational Learning, Boston

Scharmer O, Kaufer K (2013) Leading from the emerging future, 1st edn. Berrett Koehler Publishers, San Francisco
Schieffer A (2016) Imago Integralis: the aesthetics of integral life. Kosmos J Glob Transform. Retrieved from https://www.kosmosjournal.org/article/imago-integralis-the-aesthetics-of-integral-life/
Secretan L (2006) One: the art and practice of conscious leadership. The Secretan Centre, Caledon
Senge P, Jaworski J, Scharmer O, Flowers B (2004) Presence: human purpose and the field of the future. Society for Organisational Learning, Cambridge, MA
Setiloane GM (1998) How African (Bantu) mythology has anticipated Darwin and Prof Philip Tobias. In: du Toit CW (ed) Faith science and Africa's contribution to science. University of South Africa, Pretoria, pp 65–72
Siegel D (2016, September 29) The author speaks – mind: a journey to the heart of being human (Interview with Dan Siegel). Psychology Today. Retrieved from https://www.psychologytoday.com/blog/the-author-speaks/201609/mind-journey-the-heart-being-human
Strati A (1999) Organisation and aesthetics. Sage, London
Swart C (2013) Reauthoring the world: the narrative lens and practices for organisations, communities, 1st edn. Knowledge Resources, Johannesburg
Swart C (2015) Coaching from a dialogic OD paradigm. In: Bushe G, Marshak R (eds) Dialogic organization development: the theory and practice of transformational change. Berrett-Koehler Publishers, Oakland, pp 349–370
Taylor SS, Hansen H (2005) Finding form: looking at the field of organizational aesthetics. J Manag Stud 42(6):1211–1232. https://doi.org/10.1111/j.1467-6486.2005.00539.x
Tomkins P, Bird C (1989) The secret life of plants: a fascinating account of the physical, emotional, and spiritual relations between plants and man. Harper and Row, New York
Venezia A (2014) Showing up: the power and potential of "we" (Chapter 7). In: DiPerna D, Augustine HB (eds) The coming waves, transformation and action in an integral age. Integral Publishing House
Vilakati M, Shcurink W, Viljoen R (2013) Exploring the concept of African spiritual consciousness. Mandala Consulting, Academy of Management. Retrieved from http://www.mandalaconsulting.co.za/Documents/Articles/28%20Vusi%20Vilakati%20AOM%20Article.pdf
Viljoen R (2014) Inclusive organisational transformation, an African perspective on human niches and organisational thought. Taylor and Francis, London
Wenner JS (2005, November) Bono: the Rolling Stone interview. Rolling Stone Magazine. Retrieved from http://www.rollingstone.com/music/news/bono-the-rolling-stone-interview-20051103
Wheatley M (1999, June) Servant-leadership and community leadership in the 21st century. Keynote address at the Robert K. Greenleaf Centre for Servant Leadership annual conference. Retrieved from http://margaretwheatley.com/articles/servantleader.html
Wheatley M (2002) Turning to one another: simple conversations to restore hope to restore hope to the future. Berrett-Koehler Publishers, Oakland
Wheatley M (2006) Leadership and the new sciences. Berrett-Koehler Publishers, Oakland
Wilber K (2000) A brief theory of everything. Shambala Press, Boston
Wombacher M (2014) The evolution of evolutionary thinking (Chapter 1). In: DiPerna D, Augustine HB (eds) The coming waves, transformation and action in an integral age. Integral Publishing House. Tucson, Arizona

Part V

Organizational Transformation

Whole System Transformation with Music

Paul Kwiecinski

Contents

P. Kwiecinski (✉)
MetaSystem Integrated Strategies/Face The Music, Stone Ridge, NY, USA
e-mail: paul@metacg.com; paul@facethemusicblues.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_4

Abstract

In today's global environment of accelerated change and exponential technological growth, historic methods of continuous improvement and traditional organizational change initiatives are not sufficient for organizations (and individuals) to keep up with that pace. Whole System Transformation (WST) is an established methodology for facilitating whole system change and adaptation utilizing the existing resources and knowledge of the current system in creating a new system that deploys those resources and knowledge on a new level of functionality, efficiency, effectiveness, and harmony. It is also designed to define and implement change in a rapid and discontinuous manner.

Music, on the corporate stage, has been employed typically in a "team building" context, where working groups do a drum circle or leadership metaphor program (your team as a jazz combo or orchestra for instance), where the objective is to have some fun together, connect, and blow off steam. Music, however, has a larger potential as an experiential learning tool, awareness shifter, and facilitator of collective resonance that can help groups access new possibilities, see their current system clearly, and align quickly and effectively.

This chapter defines an approach for using WST with music to attain organizational transformation, and in the process, facilitate each participant's personal transformation process. It also includes four brief case studies on how the approach has been used in organizations.

Keywords

Transformation · Resonance · Organization development · Purpose · Alignment · Culture · Whole system · Music

Introduction

In today's global environment of accelerated change and exponential technological growth, historic methods of continuous improvement and traditional organizational change initiatives are not sufficient for organizations (and individuals) to keep up with that pace. Whole System Transformation (WST) is an established methodology for facilitating whole system change and adaptation utilizing the existing resources and knowledge of the current system in creating a new system that deploys those resources and knowledge on a new level of functionality, efficiency, effectiveness, and harmony. It is also designed to define and implement change in a rapid and discontinuous manner.

Music, on the corporate stage, has been employed typically in a "team building" context, where working groups do a drum circle or leadership metaphor program (your team as a jazz combo or orchestra for instance), where the objective is to have some fun together, connect, and blow off steam. Music, however, has a larger potential as an experiential learning tool, awareness shifter, and facilitator of collective resonance that can help groups access new possibilities, see their current system clearly, and align quickly and effectively.

This chapter defines an approach for using WST with music to attain organizational transformation, and in the process, facilitate each participant's personal transformation process.

Here's where I want to go with this – *The Handbook of Personal and Organizational Transformation* is the name of this book. Transformation is happening; all the time. It's driven by the ongoing evolution of consciousness in the self-awareness of an unfolding universe. It manifests, or is experienced by us as large-scale trends, changes in technology, the evolving of societies, the growing global connection, and all happening with increasing speed and complexity.

Transformation is the ongoing adaptation to relating with this world, personally and collectively. This happens at different levels of complexity: individually, in relationship one-on-one, in teams and small groups, in organizations and tribes, in communities, in societies and cultures, and in humanity as a whole.

My company is Face the Music and our work is focused on how the transformation in organizations can facilitate the progression of development at all levels. Large organizations have a substantial impact on the culture, economy, and quality of life, and conscious organizations populated by conscious individuals have a vast impact on our collective development.

This movement "forward" is stirred by resistance, confronting, fighting, ignoring, debating, undermining, challenging. . . It creates eddies, swirls, and convections – turbulences – that are the dance, music, and expression of the change. Resistance is not *bad* or *good.* It Is. Some things need to be resisted. The key in collaborative systems is to align the vision and direction so that the people involved are allied energetically, conceptually, and in the actions they take in concert.

Turbulence, as a scientific term in fluid dynamics, is defined as a type of fluid flow in which the fluid undergoes irregular fluctuations, or mixing, in contrast to laminar flow, in which the fluid moves in smooth paths or layers. In turbulent flow, the speed of the fluid at a point is continuously undergoing changes in both magnitude and direction. The use of turbulence as a metaphor for human systems such as economies, social change, politics, and adaptation to technological advances is common, and also useful.

Laminar flow might be considered the ideal; smooth sailing so to speak. We like predictability and consistency in our lives, or work, and our social systems. We can go about our business in the ways that are familiar, get things done, and without having systemic problems that will compel us to rethink our assumptions and make radical changes in the way we operate. Laminar flow has smooth predictable boundaries. Turbulence is characterized by complex, and unpredictable boundaries – volatile and irregular.

In a transformational circumstance, it is key to recognize and even embrace the turbulence one is experiencing. To understand what is happening rather than acting as if we are in a predictable, mechanical situation that can be easily reasoned out.

In this chapter, I will articulate the background and methodologies of Whole System Transformation using music. I will discuss the underlying theoretical framework and philosophy behind the approach, including our transformation paradigm, the importance of individual and collective purpose, and the facilitation of "collective resonance." I will then discuss the concept of Wholes Systems Transformation, and the theory and practice of using music in the process of transformation. Following this discussion, four brief case studies of the application of the Whole Systems Transformation process will be presented.

Transformation Paradigm: Theoretical Overview

Perception

Perception – to become aware of, know, or identify by means of the senses.

The paradigm I operate by is that on the basic level, we perceive the world around us through our senses – raw data – photons bouncing off objects, concussive waves traveling through the air, smelling, touching, as well as through other more subtle channels. Then we process the data mentally and emotionally. We create mental models to interpret the data; to give meaning and inform action. Our mental model is a constructed frame of reference into which the information goes and we interpret and assign meaning to what we perceived.

The construction materials come from our teachers – our fellow humans mostly – who have received their materials in their turn, and created their own constructions. In the mixture, the ideas go back and forth and some form of agreement is made, the paradigm is in constant evolution for individuals, groups, tribes, organizations, cultures and societies in a dance of movement, resistance, assumption, disagreement, new ideas, old ones making resurgences, etc.

Our personal mental model is our current best interpretation of what we consider Reality. The nature of perception is that we are compelled to construct this paradigm – an inventory of the combined elements of our worldview that acts as a set of filters and mirrors that determine what enters consciousness. There are each person's personal worldviews, which are in a subset of the family, tribal, cultural, and societal worldviews of the time. "Mental models are deeply ingrained assumptions, generalizations, or even pictures of images that influence how we understand the world and how we take action" (Senge 1990: 8).

Whatever its current version is, it is still ultimately *wrong*. Well, "wrong" is perhaps not the best word, but any "model" is a limited representation of the reality that it seeks to represent. I believe that it is useful to have this awareness that can create a detachment where our frame of reference is not doggedly held onto as "what it is," or "The Truth," but as a tool that is constantly under development – we're on version 12.6, and 13.0 is under development. . .

As children, we are taught how to interpret our awareness; first being taught words and their meaning, and then the meaning behind the meaning. We learn that a dog is not merely any four-legged animal, and that many different things qualify as "food." We learn what a smile means, and we begin to understand that we have feelings and emotions around events and circumstances, and within the family system, how to manage and interpret those feelings.

A key to transforming is developing self-awareness of your own "operating system" – as an organization, and as individuals. What are the patterns of behavior, interaction, and communication? What is the mental model that you have collectively developed? What are the assumptions that you are making that mold these patterns? And are there better, more evolved assumptions that you can develop together that will inform the creation of more effective patterns?

A paradigm shift is a fundamental change in basic concepts and practices according to physicist and philosopher Thomas Kuhn (1962). Pertaining to science, Kuhn contrasted these shifts, which characterize a scientific revolution, to the activity of normal science, which he described as scientific work done within a prevailing framework (or paradigm).

Transformation is the evolution or revolution of an operating paradigm to one that is more encompassing of realities not allowed, considered, accounted for, or contained in the previous frame of reference. It generally occurs when we bump up against the limitations of our current frame of reference. Things are happening that we can't explain, or we see that we are consistently re-creating events and situations that we don't like because of the decisions we make. In organizations, the context for transformation can be when a business goes from successful operations in a marketplace to hard times; not adjusting to changes, and hoping that doing more of what we have done before will bring back the good times. This can take a Kubler-Ross (1972) change curve type path – with the denial-anger-bargaining-depression-acceptance cycle.

The denial phase is easy to hang out in. The explosion of technology and information has made it easy to find loads of date and opinion to feed any confirmation bias we want to support. The more attached we are to our frame of reference, the longer we can hang out in denial and put energy into shoring up the current paradigm. We can continually find the right mix of friends, consultants, book, article, and blog authors, Facebook friends, clergy, radio personalities, etc. to reinforce our beliefs.

According to Bridges (1980), the only way to get to the new paradigm is to go through the phases of transformation in order to arrive at a new, higher level of complexity. We define these phases, modified from the work of Kubler-Ross (1972) as (1) the emotional phase, (2) bargaining, (3) depression, and (4) acceptances (Fig. 1).

Purpose

Purpose – The reason for which something is done, created, or for which something exists.

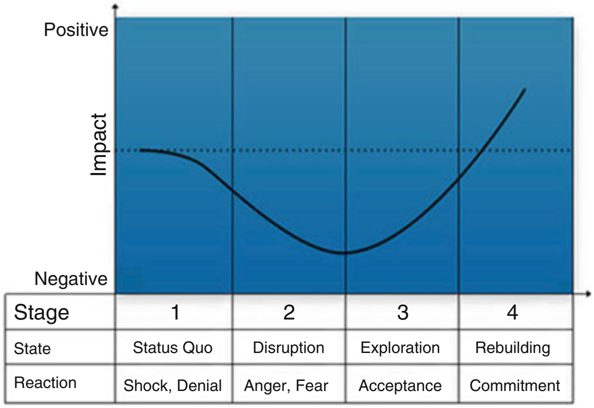


Fig. 1 Phases of transformation. Emotional phase (1), Bargaining (2), Depression (3), Acceptance (4)

Purpose is a key ingredient for a strong, sustainable, scalable organizational culture. It's an unseen-yet-ever-present element that drives an organization. It can be a strategic starting point, a product differentiator, and an organic attractor of users and customers.

People in touch with their personal purpose have a strong sense of who they are, and are in touch with their passions and values. Their goals and career choices are informed by that purpose and they are looking for opportunities to live that purpose on a larger playing field, to fulfill it in a bigger way than they could manifest on their own.

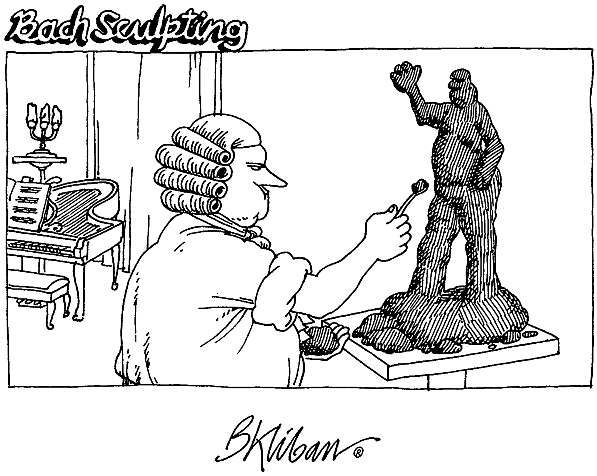
An ideal organization is one where the personal purposes of the employees and leadership cascade into the purpose of the organization. What we're doing here serves my personal purpose as well as putting bread on the table and paying the mortgage. In this situation, people are self-driven and motivated. The commitment and energy level are manifold higher than say, in a place where people are on the edge of saying "take this job and shove it," where work is a necessary evil in order to survive.

A company's purpose cannot simply be a pretty set of words. As the adage goes, actions speak louder than words.

In the book *Corporate Culture and Performance*, John Kotter and James Heskett (1992) show that over a decade-long period, purposeful, value-driven companies outperform their counterparts in stock price by a factor of 12. "In the absence of purpose, a company's leadership is likely to have greater difficulty in motivating employees and putting the company on the course to success. Customers are likely to have difficulty connecting with the company. With purpose, a company can create positive value that is far greater than the sum of its parts" (Hakimi 2015: 86).

Bach Sculpting – Your Journey Towards Purpose: Think outside the box and inside the Bach

Where is the gateway to the path that flows to our purpose, where we do only what supports that purpose, and the satisfying great work is done through the natural flow of our being?



In B. Kliban's cartoon, "Bach Sculpting," we see Johan Sebastian Bach awkwardly crafting his lumpy-dumpy statuette while his piano sits unused in the background. I've felt my own version of Bach Sculpting many times on the job as I'm working some task where I know there are many people that have the skills to do this better, more efficiently and expertly than I will ever be able to do this, and housing the feeling that the opportunity cost – what I might be able to accomplish with this time, attention, and energy – like Johan clumsily adding blobs of clay when he might be intricately weaving themes to the 5th Brandenburg Concerto.

This brings to mind a Richard Brautigan poem:

Finding Is Losing Something Else
Finding is losing something else.
I think about, perhaps even mourn,
what I lost to find this. (Brautigan 1976: 8)

Entrepreneurs often feel the Bach Sculpting feeling – though they are metaphorically a composer, they also have to sculpt, dance, paint, write novels and poetry, act, direct, and market, sell, and do the accounting. It's the old E-Myth principle where businesses are started by technicians or specialists who haven't acquired the basic business skills or knowledge, or still assume that business acumen is a minor part of the new business equation. If you're a yoga instructor, do you really want to start a studio? As an engineer, is starting a company to develop, produce, and market your tech invention the way to go to serve your purpose?

For me, the process has been a series of refinements, involving an ongoing inquiry into "what is my purpose?", with many iterations of understanding what that might be. It began with an autopilot concept of something like: pick something you're good at, go to college to learn more about it and get the credentials so that someone will hire you to do that. Pretty rudimentary. And once I got that job

I realized that I could do it well, and some of it was even fun and satisfying sometimes, but I quickly got the sense that I was directionless and that I wanted some sort of direction. For me that involved taking a philosophical and spiritual hiatus in my mid-twenties to try to get a handle on this.

First I accepted the assumption that each person has a purpose – not as an a priori fact, but as a conjecture and belief that seemed more useful than believing there is no purpose.

When our work is aligned with our talents and our purpose, we experience the fulfillment of doing our "Great Work."

Collective Resonance in Organizations

Collective resonance – *The word resonance means "re-sound," which indicates a flow of vibration between two or more things, an attunement.*

> We live in an oscillating universe of infinite possibilities. We are vibrational beings. We resonate. We travel through multi-dimensional entangled filaments of light. We are navigators on a vast ocean energy and sound. We hyper-leap through synaptic vortexes surrounded by entangled webs of illuminated light filaments. We are light beings of infinite possibilities dancing to the sounds of a musical universe. (Beaulieu 2013)

My frame of reference is considering my work as facilitating "collective resonance" (Fig. 2).

If you find two tuning forks that are the same note, start one vibrating and hold it close to the other, the second tuning fork will pick up the same vibration. This creates resonance. Similarly, a human being is resonating with energy, thought, and emotions and the vibrations affect those around them.

Although "Collective Resonance" may sound like a great title for a New Age book, there is quite a foundation of scientific research on the subject, and anecdotally, if you've ever been in a group that achieved this state, you know what I'm talking about. It's the experience of jamming together, listening, creating,

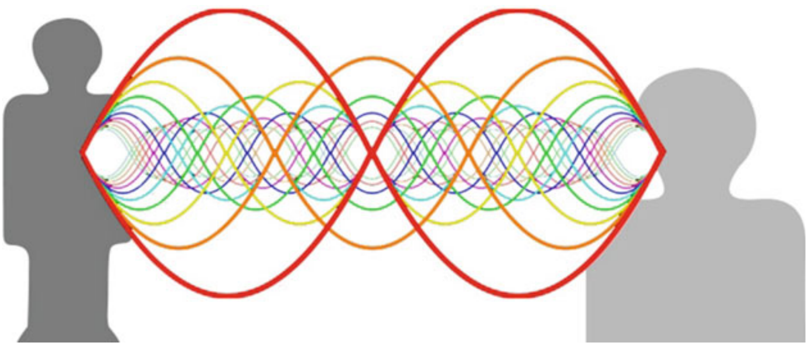


Fig. 2 Resonance

supporting, and responding in real time; you almost know what's coming next, and the thoughts and ideas that emerge in your mind are often expressed by others that you're jamming with – they don't originate from "I/me," they are being cocreated in concert with the group. It's a great feeling, and very productive and innovative, as well as establishing a sense of purpose and co-ownership.

On the other side of the coin, you can probably think of many examples of collective dissonance (in organizations, politics, personal relationships) – unaligned, not listening – the musical equivalent of playing together in different rhythms and keys while supposing to be playing music that will be listenable to your audience. We mistrust others in personal dealings, and group dialogues on important issues that affect our collective future are marked by skepticism and competition for perceived scarce resources. At times deliberately adding discord to others' expression to sabotage their music.

Alain Cardon on organizational collective resonance:

> Achieving true collective resonance can be considered much more important than superficially agreeing to the simple formulation of a statement describing a shared vision. Real collective resonance ensures that common vision is both created and shared by all the personnel of an organization. True collective resonance allows a real multiplication of all the personal energies and creates the ideal conditions for the surfacing of ownership, creativity and emerging solutions.
> The more a group is present to their interpersonal resonance and the one shared with their environment, the more they will be in a position to perceive and welcome emerging forms, alternative realities, original perspectives. From these new forms, realities and perspectives will surface an original range of fundamentally sustainable solutions. (Cardon 2014: 2091)

In a large organization, with fifty or a hundred thousand people, how can one make an effect on such a large population? Through all of their interfaces and interactions, all of these people are in some phase of sympathetic vibration with one another, interconnected by phone calls, email, meetings, the sound of each other's voices, PowerPoint presentations, hold music, telecasts from the CEO, background music in cafeterias, the cities they are located in, and basically everything that happens in connection with doing their jobs. It creates the collective resonance (and dissonance) that is the ongoing music of the company. As we say in my company, Face the Music: "Your Work is Your Song." And the key is to consciously create the kind of music you want to be a part of.

The DNA and orchestral conducting of this song come from the CEO and their leadership team. Through their internal processes and interfaces, they create the tone and rhythm that will be replicated throughout the organizational system. "There is a very high degree of mirroring or reproductive coherence of processes within different sub-systems of an organization. These processes seem to be almost directly related to the processes in the 'meta system'" (Cardon 2014).

How much resonance and dissonance is happening in your workplace? And is there a process that resolves dissonances into harmony, like the end of Gershwin's *Rhapsody in Blue*? Or do they linger and fester, as everyone attempts to ignore them like someone in an apartment near the el train does? Our bodies and nervous systems can be tuned like musical instruments.

We can align our resonances like an orchestra, tuned to the same note. There is the potential for a powerful collective resonance inherent in every collection of humans, and the key is to take up your instrument and change the song.

Achieving true collective resonance can be considered much more important than superficially agreeing to the simple formulation of a statement describing a shared vision. Consequently, real collective resonance ensures that common vision is both created and shared by all the personnel of an organization. True collective resonance allows a real multiplication of all the personal energies and creates the ideal conditions for the surfacing of ownership, creativity, and emerging solutions.

The leaders and teams are present to their interpersonal resonance and the one shared with their environment, the more they will be in a position to perceive and welcome emerging forms, alternative realities, and original perspectives. From these new forms, realities and perspectives will surface an original range of fundamentally sustainable solutions that will naturally be in total sustainable coherence with the larger personal and professional client context.

What Is Whole System Transformation?

Whole System Transformation (WST) is a specific best practice and theory that evolved from the profession of organization development (OD). OD uses applied behavioral science to facilitate a transformative leap to a desired vision where an organization’s strategies, environment, and systems align in the light of local culture. High-tech tools in virtual communication support the consultation. It is in this light that WST takes flight.

Wholeness literally means, “healing,” “healthy,” “unhurt.” “Whole” is more than “all of something,” it is a healthy balance, unity, and completeness. When the term “wholeness” is applied to a system, we refer to the interdependent parts as forming a unified whole, interacting according to the influence of related forces.

WST therefore is a methodology engaging all facets of an organization to accomplish faster, cheaper, and sustainable positive change. Transforming a system into a unified whole is the process of shifting from one configuration or expression into another. All parts of the system are modified. In order for true transformation to take place, the organization must function as a whole. If it hasn’t achieved wholeness first, it will separate into disconnected pieces and will be unable to realize its true nature in separation. Thus, what is meant by the term “whole system transformation” is more than simply a change that affects the entire system but rather the entire system is involved in creating itself anew. This exciting focus then moves away from imposing change management on an organization.

This type of transformation requires organizational and individual self-awareness. When the individuals in a system are self-aware, they are able to understand what and who they are and what they need to be. There is an appreciation of all of its diverse parts and how they relate to each other and to the outside environment or customer needs. The result is a healthy system that knows what to do next and has the agility of acting quickly and wisely using organization-wide intelligence (Carter et al. 2013).

The theory and practice described in this chapter come out of the work of my consulting experience. Face the Music (FTM) is both the name of my company and the name of one of our key client programs. As a company, we are a collaborative effort between great musicians and experienced organizational consultants. The Face the Music program is a powerful, interactive process that uses team development to bring people to the next level of engagement – out of their heads, out of the box, and into a more powerful place of participation.

Music, especially the process of writing and performing music, has proven to be a valuable approach to increasing organizational and individual self-awareness. Later in this chapter, I will explain our unique Face the Music approach using Whole Systems Transformation to support the unfoldment of healthy change in organizations, but first I will offer the theoretical basis for music as an agent of transformation.

Music in Transformation: Theoretical Overview

Where does the music come in? Music is the secret tool that adds dimension, connection, meaning beyond words during times of transformation. Music engages us on a tribal level and helps access a silent knowledge that is accessed collectively. Music accelerates the process, stimulates quiescent brain neurons, and expands the collective working space to entertain new possibilities.

Music is also a somewhat tricky tool. There is an art to the music itself, and an art to using music. Injected randomly, it can create large spikes on the Corn-o-Meter (when that thing starts peggin', you lose 'em quick) or can feel like an attempt at emotional manipulation. This device does not currently exist in a physical form as depicted here, but it is our contention that it is a part of the internal software of enculturated humans, and high readings are directly correlated with disengagement, cynicism, and checking emails on one's phone under the table. The Face the Music approach to Whole System Transformation is to create a space for people to create their own authentic music, through songwriting and performing, to represent and express their own truth and emotions (Fig. 3).

It is important to set a context that gets buy-in from the participants – an understanding of the "why," and connection to how it serves the process of the work. This then sets the table for a higher level of engagement in using the musical expression as a tool.

The Science and the Art

In this section, I share the scientific underpinnings of the transformational work we do with organizations, and then will discuss the art underlying the process of organizational transformation through music.

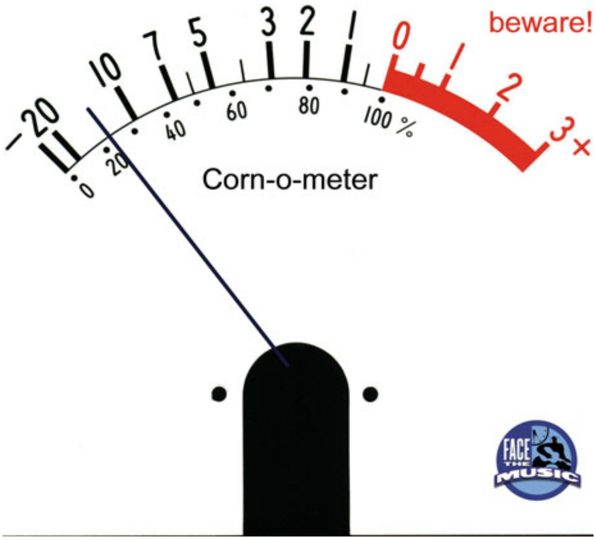


Fig. 3 Corn-o-Meter

The Science

The musical aspect of this experiential learning approach has the advantage of music. Music is a powerful connector and a universal unifying principle. It is quickly recognized, and humans can make deep, memorable associations when they hear music.

> Music is found in every known culture, past and present, varying wildly between times and places. Since all people of the world, including the most isolated tribal groups, have a form of music, it may be concluded that music is likely to have been present in the ancestral population prior to the dispersal of humans around the world. Consequently music may have been in existence for at least 50,000 years and has evolved to become a fundamental constituent of human life. (Levitin 2007: 192)

Here you have a tool that may be as old as language – certainly older than PowerPoint, or even the flip chart – that is a missing "fundamental constituent" in many of our organizational learning experiences. Culturally we have a learning bias toward data, presentation, and impartation from the expert to the learner. Also there is often an underlying shared assumption that "more is better," we need *all* the information. Music is visual, auditory, tactile, and kinesthetic – and it's even more! Music has the capability of being a tool for discovery of collective wisdom, and it is efficient. A lot of information can be communicated with very little.

Brain Research

Brain research shows that in hearing or performing music, networks of neurons must form abstract representations of the musical structures. This creates an altered, awakened state in which the person is more receptive and pliable, and ultimately, more creative. It actually helps us get closer to when our brains were most maximally receptive – when we were a child. This helps create a state where, say, innovation or change is encountered differently.

Music activates the medial prefrontal cortex and creates strong memory associations, and its use in a corporate program makes the program and its content more accessible after it is over.

From *This Is Your Brain on Music,* Daniel J. Levitin says, "Music causes a cascade of brain regions to become activated. Effective music – groove – involves subtle violations of timing. Our cognitive system interprets these vibrations as a source of pleasure and amusement. This emotional response to groove occurs via the ear-cerebellum-nucleus accumbens-limbic circuit rather than the ear-auditory cortex circuit. Which means our response to groove is largely pre- or unconscious." There is also significant activity in brain centers governing memory and emotion (Levitin 2007: 187).

Music and the power of sound is like a secret world that opens up many doors to possibilities because of its universal nature, the impact it has on the brain's neural functioning, the deep-rooted cultural – and even tribal – roots, how it powerfully expresses the characteristics of the organizational system, its broad palette of creative possibilities, the relatively limited use of it in organizational learning, and. . . it can be a lot of damn fun.

Brain research shows that in hearing or performing music, networks of neurons must form abstract representations of the musical structures. This creates an altered, awakened state in which the person is more receptive and pliable, and ultimately, more creative. It actually helps us get closer to when our brains were most maximally receptive – when we were children. This helps create a state where, say, innovation or change is encountered differently. Music activates the medial prefrontal cortex and creates strong memory associations, and its use in your program makes the program and it is content more accessible after it is over.

Head, Heart, Hands: Integrated Learning

Head. The experiential learning process involves cognitive function and logic. The participants analyze the task at hand and through proposed discussion questions, develop themes, subthemes, issues, and "data." It's basically a logical brainstorming process where they generate ideas, process and evaluate them, and make decisions about which to incorporate into their "product," their song.

Heart. One of the most powerful aspects of experiential learning is the role of emotions and feeling. People get in touch with how they are feeling about their situation and their issues. In many business environments emotions are not necessarily encouraged, so participants often welcome the opportunity to express their feelings. They have fun exploring and naming the emotions they experience at work, and in finding common ground and understanding with their collaborators. The process itself generates enthusiasm and there is often a common experience of fear and performance anxiety, which ups the emotional ante and eventually the payoff.

Hands. In the Face the Music programs there is the hands-on activity of creating and performing – using the whole body by the end of the process. There is also the question of what action, what to-do's, to take on going forward. After reflection and discussion on what is created, presented, and learned from the activity, as well as what they learned from being in the process and witnessing their cohorts do the same, participants explore actions they can commit to back on the job. This enables them to make use of the insights learned to make a concrete impact.

As well as using music and songwriting as an interactive experience, you can use the power of music throughout the intervention. A musical theme can reinforce the ideas that are being presented and discussed, music can be playing for speakers as they come on and off the stage. Music can add life and punctuation, and the background music playing when people enter makes a statement and sets a tone. These soundscapes can be useful and effective.

Without going into a detailed report of the brain science involved, let's just say that this scientific background gives us some interesting potentials for engaging in learning, and for the transfer of learning to behavior back on the job, which is the key to fulfilling the purpose and promise of training and organizational engagement.

The Art

The art of experiential learning facilitation in organizational transformation is in how the debrief/review is utilized to cull learning from experience. It is also in having a process that reveals the system and uses the insights to create useful actions that transfer the learning back to the operational system –while still having some fun with it. It can be frustrating to the consultant when clients bring in an experiential program just to have a fun experience. Great, but look at the opportunity we've all opened up here together. People have responded to the invitation to speak their truth and tell how they feel about it by writing and performing songs together. Now it's on the table, in the open, often revealed in clarity and with a string of interesting connections that beg to be revisited. There is a window of opportunity to move on that information. Everyone is in a unique emotional state – euphoric, a bit relieved, precocious, and the expression has also given is some detachment from the issues that are so close – a detachment that can be very useful in developing strategic ways of addressing and improving our situations.

The art is in facilitating this discussion toward meaning, learning, and action. Each culture and system has its own strengths, challenges, quirks, tactics for approach and avoidance, code words, unspoken standards, history, etc. The key is to create a group process where the participants come together authentically, speaking openly and positively (even in confrontation), with respect, clarity, succinctness, and building off of each other through good listening and collaboration.

FTM's programs are an invitation to "speak your truth, and how you feel about it." The common boundary in question can be summarized as "How much truth do you want?" It takes a leader that really wants to go there – to hear what people are thinking, what their experience is, and to have an open discussion that leads to the next place. One characteristic we have learned about the music approach to transformation is that people will say things in the lyrics of a song that they won't say in a meeting with a facilitator at the front of the room with a flip chart – and, with the intensity of the emotion behind it. Once that bell is rung through the music experience, it is our job as facilitators to support the group in discovering meaning and insight that leads to new context and action.

The most common symptom observed in FTM debriefs is a sort of over-politeness. During their performance of the songs they wrote, they laid it on the line like a bad-ass bluesman or a take-no-prisoners rock ‘n’ roller, but in the light of day without the band jammin’ behind them there seems to be a tendency to step back from the intensity of one’s position the night before. In general, a boundary or cultural norm has been crossed, and it is one that needed to be expanded or redefined. Was that lyric a trail blaze to a new level of openness, or was it a misguided outlier that will be forgiven, forgotten, and don’t let it happen again? Phony politeness is one of my least favorite cultural traits – the scope of that rant being too much for the purposes of this chapter, I’ll just say that it is a big inhibitor of systemic progress and learning, and the facilitator has the job to invite the participants to work on that as part of the debrief process.

In the first case study near the end of this chapter, overcoming the cultural reticence to speak publicly about issues was the critical piece in the success of the whole 2-day offsite. The healthy antidote to the fake politeness is a constructive confrontation – naming an action/behavior of another in the most objective terms that one can, and saying how that impacted you. In this way, there is not judgment, as in “you were wrong....[in doing what you did],” nor can the speaker be “wrong” since they are merely sharing their feelings and experience. This method can be useful in discovering the trapped energy in a system, where, perhaps, built up resentments, repressed opinions, and other things fermenting in the dark can be brought into the light and their energy released.

An important aspect of utilizing music is its ability to foster “collective resonance” in a group and an organization.

Whole System Transformation

In this section of the chapter, we now transition from theory to practice. We will begin with an actual client case study so that you can get a sense of how the process works. Then we’ll break the transformation process down into the WST phases – a sort of “behind the curtain” look at the process.

Whole Systems Transformation is best practices and theories, developed and integrated into a single approach that enables organizations to accomplish faster, cheaper, and sustainable positive change. Whole Systems Transformation has been based on the profession of the Organization Development, but addresses the challenge of change with a major philosophical difference. As David Bradford has noted in the last edition of *Practicing OD*, Whole Systems Transformation (whole being the key word) facilitates change that is all-inclusive, is comprehensive in nature, and addresses the issues of the entire organization as a whole. OD tends to be tool and technique based, while focused on separate aspects of the organization. WST has the ability to transform the organization in its core (Carter and Sullivan 2012: 3).

While we customize every consulting engagement to the needs of the client, the Face the Music program is typically a two- to three-day program attended by key stakeholders who all have a stake in a particular business issue.

The short version:

Whole Systems Transformation Work:

- Get the right people in the room
- Frame for them the tough question that leadership needs participants help in answering
- Let them turn to each other
- Get out of the way as they prototype their way to the best solution

Case Study: Panasonic BTB

Sixty-five directors and middle managers from a division of a global electronics firm are meeting for 3 days at a conference center in rural Wisconsin to plan initiatives to achieve their goals for the coming year. Upper management has defined a new direction and many roles and personnel have changed – it's re-org time.

On the evening of the first day, they arrive in the ballroom, which is set up to look like a blues club, and are seated at tables of six. Some Muddy Waters is playing in the background, and on the stage is a band setup – drum set, amps, PA, mics, etc.

They haven't been told what's going to transpire, but they will soon find out. The house lights dim. . .

After the first song, the emcee sets the context for the evening: "We know from experience that everyone here has some business blues; what you may not have, is a good way to express those blues in a constructive way, and a process to look into how you can, individually and as a group, go beyond those blues. Tonight you'll have that chance. You'll have the opportunity to write a business blues song about your work at Panasonic, and sing that song with the Face The Music band." A few groans, some laughs, a little buzz goes through the room. The emcee gives some context about the tradition of working blues, how it applies today, and how the innovation, teamwork, collaboration, time management, and risk taking that it will take to accomplish this in 2 h are the same sort of competencies that they are going to need to accomplish the business goals they were presented this afternoon.

Impossible – seemingly. Perfect – yes. Before the songwriting and performances begin, the group has a chance to discuss what the pressing issues are, which ones carry the most juice, and what impact they are having on their results – all this is raw material for the songs to come. They also get a chance to pick their own blues name, e.g., High-Voltage Tammy Watkins, or Fearless Freddie Bluestein, which, aside from being fun, gives the participants a chance to step outside of their day-to-day personas and approach the task at hand from a different perspective. Sprinkled throughout these processes, the band plays some of their own business blues songs, like "Call Me, Beep Me, Page Me," or "The Overcommitted Blues."

Just before songwriting begins, the band plays a song they've written just for this event, the "Panasonic Blues," developed from interviews with key players leading up to the conference. In a half hour, they've gone from a general discussion about blues and business, to a song specifically about what's going on in their company. They're ready! The band presents a few templates – songs participants can imitate in form to compose their song – and they're off. The people seated at each table become a "band" and are coached by FTM band members as they write and rehearse their song.

The energy builds in the room as the bands pick their names, write the lyrics, and start singing the songs to each other. Hoots of laughter and exclamations of "you can't say that" ensue. The energy buzz builds as the bands work in a flurry to complete the seemingly impossible assignment.

Then comes performance time. The excitement climaxes as the audience watches their coworkers, some in hats and sunglasses, sing, dance, and get out their blues.

They've sung, they've laughed, many said it's the most fun they've ever had at a business event. How does this translate into organizational change and productivity?

Their FTM event was a smashing success; great songs – funny, truthful, and they took interesting; creative turns in lyrics and song forms. Their performances were strong, perhaps aided by the fact that Panasonic has a deeply entrenched karaoke culture, so they had experience singing in front of each other. There were even some verses in Japanese, complete with translation.

The next morning they returned to the same room greeted by the band playing some easy "morning" blues. The program opened with a highlights video of the performances that helped, along with their morning coffee, to remind the group of the state they reached the night before.

They were then introduced to the Beyond the Blues process, which follows the Face the Music songwriting and performance process. The purpose: to address the issues they identified with specific actions, and to implement those actions in new ways, so next year they won't be singing those same blues.

The Face the Music consultants led a debrief of the processes used in creating, rehearsing, and performing the songs. They posted the insights, the patterns that were revealed, and the systemic conclusions of everyone present. These spoke directly to how they wanted to operate differently in order to get the kind of results they were going for in their business. In small groups, they drafted proposed standards, operating principles, and agreements that would support improvements in their system going forward. These were presented to, reviewed and adopted by the whole group, with musical support from the band.

Because one of the main themes was long, inefficient meetings, the group was taught the MetaMeeting Process. This is a simple (but not necessarily easy) format for running effective, results-based meetings using objective setting and meeting management roles to keep meetings on track and on purpose. This was a concrete tool that was taken back and implemented division-wide.

The group then generated a list of the themes and subject matter of the songs they had composed, and prioritized them by identifying which issues will have the most impact on making the new year's business goals. After a short brainstorming training, done as a talking blues, they broke out into brainstorming teams and generated ideas and potential actions to address the high-priority issues. The energy was high, and the VP was smiling. The criteria for ideas were that they be actions within their circle of influence; something that they could develop and implement with the empowerment and resources that were available in the room.

A lot of ideas came back. Each priority area had plenty to choose from – definitely not the same ol' blues.

On the break, the VP decided to go with one idea that had been presented: to form cross-functional project teams around the high-priority areas, including the reorganization coordination team. When they came back, this was done, and the teams generated their first draft project plans. They were empowered to make their own decisions on the ideas presented, and plan out the implementation. They were on the blues' case and chasin' 'em out the door.

The VP shared that through the Beyond the Blues process his group came to a place of enthusiasm and concrete action that otherwise would not have happened.

So let's break this process down into the key phases of transformation, beginning with the preparation work that must be completed before the actual Face the Music/Beyond the Blues event. This is a three phase process: (1) Leadership transformation, (2) Transform critical mass, and (3) Sustained development. I'll discuss the "art" or facilitation skills for each phase, and then present the role of music as a catalyst for each phase.

Phases of Whole Systems Transformation

Phase I: Leadership Transformation

The initial phase consists of an offsite with the leaders, the DNA of the organization. The benefit of leadership transformation work is multidimensional; an engaged executive leadership team is aligned in one heart and brain with the vision, mission, strategy and culture. Only after the leadership is united can the process move into transforming a critical mass of the organization.

They get together and get alignment and agreement around vision, mission, goals, and values. They engage both intellectually and emotionally. They let down their masks. The music helps with this by giving them a new medium to express themselves in; music is emotionally engaging, and people will say things in their lyrics to a song that will not get past their installed filters sitting in a meeting room with a flip chart.

Phase II: Transform Critical Mass

The design and execution of powerful large-group interactive events engage 300–1,500 participants within the system to drive a significant shift for the organization.

These events serve to create a critical mass for the transformation. The client learns about the process and the issues being addressed, and create a road map on how they will roll this out. This phase includes music and songwriting, including the leaders delivering some of their songs to inspire and communicate the direction, and the people building their new "album" with their creations.

Phase III: Sustained Development

In this phase, the process is to set up leadership and the entire organization to sustain the change process for years to come. After their initial breakthrough work, performance continues to be extraordinary without dependence on externals.

The groups formed in Phase II spread the word and the work about the transformation back in the workplace and continue the work in functional groups. These internal change agents advocate and live the new culture; the consultants work with them to develop the capabilities and competencies to sustain and grow the new culture. They have a lot of ownership because they cocreated a change and transformation that they wanted to see (Fig. 4).

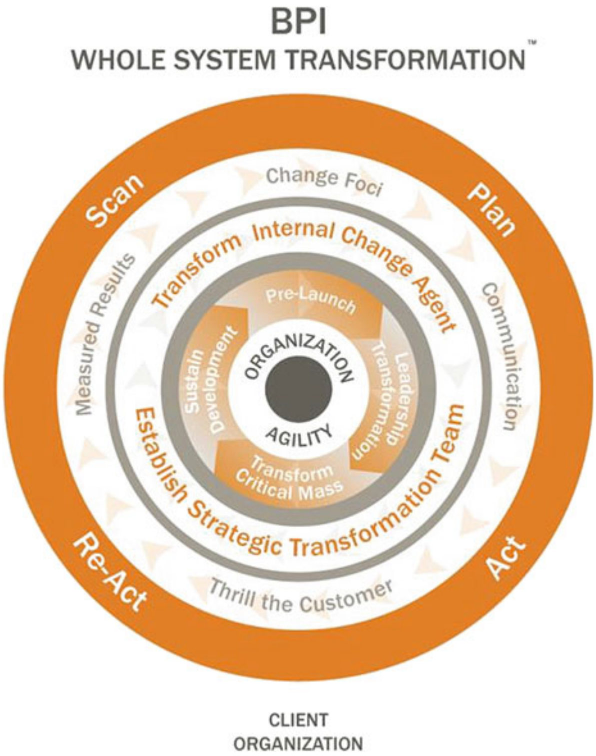


Fig. 4 BPI whole system transformation (Carter and Sullivan 2012: 4)

Steps in Phase III

Step 1: Change foci

It is critical to change the focus. The company may choose to concentrate on customer service, new strategy, increasing profitability, or a merger and acquisition. What is imperative is leaders have to communicate with employees and have a conversation about the new focus. A transparent and meaningful dialogue must lead to increased organization effectiveness.

Step 2: Communication

Throughout the process of transformation, it is important to have effective and multi-directional communication. Success stories, decisions, data, and results have to be published, and employee considerations have to be heard by leadership, and vice versa. In other words, people have to be informed about what is happening in the company, and about the progress that has been made.

Step 3: Thrill the customer

Go the extra mile, show commitment, and role model how the company should treat its customers. Be innovative and show you care. This becomes the new standard of excellence.

Step 4: Measure results

While large and dramatic changes will be apparent, it is strongly recommended that cost effectiveness and efficiency are measured regularly. These evaluations will reinforce change momentum, show areas that need more work, and will determine future steps.

Step 5: Action research

The final steps involve implementing a simple action research process consisting of scanning, planning, acting, and re-acting. In the scanning process, an overview is completed of the current state. At the planning stage, the organization involves top executives and professionals to design the action plan. During the acting stage, planned steps are integrated into the design of the new system. And at the re-acting stage, the process is repeated in order to evaluate what has happened. During the Action Research process it is critical for top leadership to be involved, since they are the ones who have the power to influence, and become role models for what is expected of people from the company.

Music as a Catalyst in WST

The use of music in augmenting, accelerating, and deepening the WST process happens in each phase, developing a soundtrack to the process the way a composer does for a movie. In this case, the composers are the people themselves, expressing their aspirations, beliefs, dissatisfactions, values, goals, frustrations, and accomplishments along the way. The resonance that the WST process naturally facilitates is amped up by the music, and it supports the creation of the new culture and systems.

Phase I: Leadership Songwriting and Performance Preparation

In Phase I the leadership team initiates the process with an interactive songwriting session in which they compose in subteams. Phase I is about creating unity and cohesion in the leaders. In the session, leaders discuss vision, values, what is possible, and they look at the operating assumptions that they are currently employing. Their songs express these ideas along with the emotional context that they are operating in, and the context they want to create and hold in the future.

This session energetically launches the Phase I work. Three of the most important competencies to lead change and transformation in a system are: establishing trust, “being” in effective relationships, and having a unified vision for a compelling future.

In this phase executive teams:

- Express feelings about the current state of their team and organization
- Develop their collective desire and intention to create a preferred transformative state
- Build and strengthen relationships among themselves but especially with their leader
- Gain understanding of, and provide input to, the organization’s change focus
- Unite themselves and their focus and direction
- Create agreements on leadership behaviors for the organization
- Determine what they need to do to become smart about leading the rest of the organization
- Share hope because they for the first time ever they have a sense that their preferred vision can become a reality

Near the end of the Phase I meeting, the leaders reconvene as songwriters to summarize their vision, focus, and intention for transformation in a song that they will perform live at the large Phase II group meeting.

Phase II: Large Group Songwriting and Performance

Phase II kicks off with a large interactive event for 100–1500 people in a minimum of two and a half days. In order for an organization to sustain its agility, the critical mass must experience the shift. This is a shift in behavior and attitudinal mindset and the ability as an organization to execute with a spirit and ability of excellence.

This large group is introduced to the musical element early in the event with a songwriting session where they work in groups of eight to ten people to express their themes and issues around the current state, and contribute to the conversation concerning the desired future state. In doing the music, the group embodies a shift in a few hours that parallels the larger shift that the company is making through the WST work – they are engaged, energized, and enthusiastic. They are speaking their truth with clarity and "no-holds-barred." They have a real-time occurrence of being with each other working together in an entirely different modality and way of being from their usual work interactions.

The performances of the songs are a collective "album" – a musical statement – of where they are, and there yearning and desire to go to a new and higher level of results and being.

> Typically bottom-line performance is enhanced through uncovering and realizing combined yearnings, hopes, aspirations and results. 'Wholeness' in a system is achieved when interdependent parts form a high performing unified whole and interact according to the influence of related forces.
> Management stuck in the middle between the top and bottom levels especially need help in relating to the whole so they become more effective. Transformation leads to breakthrough performance that sticks and becomes an integral part of a corporation's essence. (Carter and Sullivan 2012: 7)

The practice of Whole System Transformation, pioneered by Roland Sullivan, suggests that you can change your song. "WST realizes the need for change, and suggests an approach that reinvents the organization itself. Whole Systems Transformation is not just a transformation of all systems in the organization; it is the reinvention of an entirely new system" (Carter and Sullivan 2012: 12). We work with the leadership team to write a new musical score and reinvent their system, and then engage large groups to cocreate the themes, harmonies, and arrangements that generate the new collective resonance.

In terms of resonance, our philosophy is: Don't fix the dissonance, compose the harmony.

> Achieving true collective resonance can be considered much more important than superficially agreeing to the simple formulation of a statement describing a shared vision. Real collective resonance ensures that common vision is both created and shared by all the personnel of an organization. True collective resonance allows a real multiplication of all the personal energies and creates the ideal conditions for the surfacing of ownership, creativity and emerging solutions.
> The more a group is present to their interpersonal resonance and the one shared with their environment, the more they will be in a position to perceive and welcome emerging forms, alternative realities, original perspectives. From these new forms, realities and perspectives will surface an original range of fundamentally sustainable solutions. (Cardon 2014: Kindle 2098)

Put another way:

> When a business comes to us to help set up their 5-year strategic plan, we usually turn the tables and surprise them with a polite explanation. The rate of change is so fast that by the time the 'new' strategies get rolled out, we predict they will long be obsolete. The main message for businesses then is to hone their skills for preparedness and to remain agile. This is what the WST process transfers to an organization. (Sullivan 2010: 9)
> With Whole-System Transformation™, the days of CEOs cascading strategies and messages to the lower wrung of the company are numbered. Organizations need to be engineering buy-in from all sections of the hierarchy at such speeds that it warrants the people to create

> the strategies themselves. Another assumption is that change is painfully slow in large organizations. WST has disproven this in many cases around the world. In fact, the 'change is slow' assumption increases resistance ten-fold. (Sullivan 2010: 13)

The practice of Whole System Transformation suggests that you can change your song. "WST realizes the need for change, and suggests an approach that reinvents the organization itself. Whole Systems Transformation is not just a transformation of all systems in the organization; it is the reinvention of an entirely new system" (Carter and Sullivan 2012).

When reviewing historical case studies of WST, it was clear to me that Face The Music has been working with and enhancing collective resonance for some time, and at times over the years it has actually spontaneously manifested as music from participants. Working with the leadership team to write a new musical score and reinvent their system, and then to engage large groups to co-create the themes, harmonies and arrangements that generate the new collective resonance has been a metaphor, and now we've begun to see the value of the conscious use of music to enable, expedite, and enhance the process and results of a transformation.

Resonance and Music in Real Time: Experiential Learning and Music

As a change agent, one faces a plethora of challenges that include budget, culture, alignment, access, and where you fit on the priority list, among others. To overcome these challenges, Face the Music relies on a wealth of tools and strategies to assess, design, implement, and measure organizational change projects and initiatives. An experiential learning approach that uses music in a strategic and tactical way to enhance impact, attention, brain usage, and a bit of fun mojo too can help deliver on one's objectives.

As we have discussed, there are some sound scientific principles to be applied, and then there is the art of the "show," the intangibles of delivering the program with balanced shares of structure and freedom, keeping it loose, but not getting too silly, inviting authentic emotion and expression, and making the connections to the vision of the project at hand – using the collective resonance as a container for the creation and implementation of the new emerging organization.

The analysis of the musical aspect of this experiential learning approach is that it has the distinct advantage of *music*. Music is a powerful connector and a universal unifying principle. It is quickly recognized, and humans make deep, memorable associations when they hear music. Music as the secret sauce, the accelerator, the access to the higher level, the encoded embodiment of resonance that all the humans in the project are attuned to before they cross the threshold to the first WST session.

Here you have a tool that may be as old as language – certainly older than PowerPoint, or even the flip chart – that is a missing "fundamental constituent" in many of our organizational learning experiences.

Implementation of Music in Transformation

In the WST intervention, the experiential and musical components are interwoven as a connecting thread throughout the work. In the first phase, the Leadership Transformation, we use the process to work with the leaders of the change to build shared understanding, commitment to change, and in creating the common vision, strategy, and actions that will come out of those sessions. Unity and alignment around these is critical to the success of the initiative, and in rolling it out to the "critical mass" phase. Leaders have the experience of the mojo, they have their musical creations that they share with the employees going forward, and they have the momentum of the work they have done to lead their organization to a successful transformation.

> Critical mass is achieved by employees of an organization. In order to achieve a successful transformation, it is essential that critical mass is fully informed and is actively engaged in the implementation of changes taking place in the company. This goal is achieved by large group interactive events where people are encouraged to participate and get involved. (Carter and Sullivan 2012)

In the Critical Mass phase, participants create their own resonant experiences, cocreated with the leaders, and expanding and developing the plan. The resonance already started is contagious, and is now manifested in the larger group. The participants fashion a new self-awareness individually and as a system through the process of creation, review, refinement, and implementation. As stated before, they are not focused on fixing existing dissonance; they are composing the new resonance.

Out of this work, as well as the vision and action plans for transformation, a new culture is created, and the internal change agents bring this culture to the workplace to be built upon by advocating for and practicing the new culture. The whole organization is enrolled in the contagious resonance.

As well as the benefits of creating the change at hand, the process and experience support the development of an intelligent and self-adaptive system going forward.

Now that I have provided you the theoretical background of WST with music, and have given you an overview of how companies have implemented this approach, I will next offer three more case studies. Each of these case studies had very different goals and contexts, and their diverse business needs and outcomes attest to the robustness of the WST with music approach. Following these case studies, I will offer a few more tips and suggestions that will help you to modify this approach in your own organization.

Case Studies

There are three case studies in this section. The first one focuses on diversity and inclusion, the second on strategy, and the third on process, structure, and realignment. Each case will discuss the situation the organization was experiencing, how

FTM conducted the intake and what was learned, the learning leverage strategy, the design and preparation for the intervention, and a description of the implementation, transfer of learning, and outcomes.

Case Study I: Diversity and Inclusion

Let's look at a case study of an organization looking at a sensitive issue that had eluded the standard training that was supposed to address it, and how it helped them to get on the way to systemic changes.

Situation: A large consulting firm division is losing valuable talent in the form of some of their best women leaving. The leadership team is all white males despite a very rigorous diversity program. The leadership team decides to team up with HR and internal Women's Council to take measures to address this issue.

The Face the Music team does an intake process that includes conversations with leaders, rank and file at various levels, and HR. This process reveals that people feel that there is an authentic effort to be inclusive and fair in hiring, evaluation, and promotion. There are no blatant behaviors that are singled out. Through further discussions, it is decided to focus on the unconscious bias that may be at work in the people and built in to the frame of reference of the system.

It is decided to take on an initiative to address the issue that includes individual work by the leadership team that tees up a two-day conference with about 120 people invited to explore the subject and decides a course of action to change the track they are on. The initiative is called "Changing the Face of the Practice." The design includes training on unconscious bias, discussions, brainstorming, experiential pieces that take people out of their usual business environment and their comfort zone to have a new conversation. They want it to look and feel different!

The design included presentations on shared terminology and background, role-play skits dramatizing different types of unconscious bias, group discussions, songs that illustrate the themes, songwriting about the participants' "bias blues," debrief of experiential activities to get insights into the organizational system as it pertains to the subject, and planning to make decisions on what actions to take going forward.

Implementation

The conference is kicked off with the Face the Music band onstage performing two custom songs on the themes to be addressed. This is followed by the leadership team sharing results of the prework they had each done personally in the area of unconscious bias. Learnings, insights, cost to the business. The leadership presentation ends with them performing a song they wrote the day before, stating, and also reframing, the issues, and letting everyone know that this offsite is going to be different.

The band then took to acting – delivering skits with four different workplace scenes scripted to illustrate how unconscious bias plays out in the workplace. These were followed by table discussions where participants conferred about the scenes portrayed and how they reflected on their experiences at work. This was followed by report outs and a full-room discussion.

The skits and discussions primed the pump for the Face the Music songwriting session – each table collaborating on a song about the issues at hand, their experience, and a vision for the future. The invitation is to speak their truth about what's going on and how they feel about it, and express it in a song of their own creation. The songwriting format also invites them to have some fun with the process – and they do – while also taking some risks while exploring this "dark side" of their business.

The performances of the songs ensue after dinner that night – 12 groups – an excellent collection of songs, styles, choreography, and good lyrics about the topic at hand. It was an exhilarating experience that brought out considerable energy and passion and also created a sense of group identity across the whole 120 of them.

The next morning, we facilitated a debrief in a general session. People made some pretty bold statements in their lyrics, but the debrief began a bit polite and cautious. The debrief was facilitated to directly address the issues using direct quotes that spoke to what was really going on. As people started taking risks, the process got deeper and deeper into what needed to be said.

The session was wrapped up by identifying the things that would change tomorrow that would make a difference in changing the face of the practice, and initiatives for longer term cultural and systemic change. These included:

- Goals and goal setting processes
- Changes in behaviors
- Culture-setting – Define and demonstrate behaviors to set as standards
- Unconscious bias check in's
- Reviewing decision processes

The process created an initiative that had some traction, and they did change the face of their practice!

Here is another application where a leader decides to make things different by doing something different in his company's strategic planning process.

Case Study II: Strategic Planning

Situation – A large multibusiness conglomerate was coming together for annual strategic planning. Leadership presented a significant case for repositioning, new growth strategies, and change in culture and operating context.

During the intake process, we learned that the CEO felt the company was trenched in doing things in a particular way which gets them mediocre results which were eroding as they failed to adapt to changes in the environment. He requested an innovative methodology with the hypothesis that a different process can help facilitate different results.

Design and preparation – The three-day experience was designed to open in a format wholly unknown to the group, which encouraged engagement, expression, and full participation – the interactive songwriting program. Then we would hold a debrief that provided learning and context for a new design for executing the strategic planning itself. The closing incorporated the energy and enthusiasm of the music and reinforcement of specific direction and actions defined. In the design process, we assured that all the design elements “flowed” together supporting the objectives. Using experiential learning processes as part of the interaction between the design team contributors, both external and internal helped made the 3 days more seamless as the agenda moved from one activity to another.

During the 3 days, the leadership team and presenters modeled taking information generated by each activity and using it to inform the next ones going forward, modeling that strategy is a dynamic, just-in-time process, not a one-time plan and execute exercise. The design also gave opportunities for learning to be acknowledged and explored, while also addressing concerns and emotions that arose in the process, to make the meeting itself a model of how a learning organization works. Music was incorporated throughout, reinforcing and punctuating various stages of the meeting, and using sound science research to create soundscapes to support the creation of an innovative environment.

Transfer of learning – Debrief, journaling, action commitments, and follow-up elements were used to acknowledge, capture, and put learning in to action. The songs created became part of the culture, showing up at sales meetings, all-hands lunches, embedded in PowerPoint decks, and on the playlist at bar-b-ques.

Ratings for the meeting itself were up 38% over the previous year. The client also reported increased participation in follow-up and execution and increased performance on the new growth strategy.

Case Study III: Process and Structure Realignment

Face the Music was facilitating a “Process and Structure Realignment” for a division of a large pharmaceutical company to clean up the chaos that existed over 53 affiliates resulting from mergers and acquisitions over the course of almost a decade. A considerable amount of work and internal alignment between the division leaders and the global leadership team needed to happen in order to get the project off the ground, and then after months of work – when the project was ready to “go live” – it was announced that the company itself was being merged with another giant pharma.

The merger announcement was a real “gumption trap.” Most of the people were merger veterans, and they knew the amount of work that would need to be done, the uncertainty of who will have a position in the new organization, how the culture might change, the lack of control of their situation and fate, etc. There was a lot of disappointment around the high possibility of all their efforts around the project being for naught. These people were purpose-driven, and the feeling of futility and wasted efforts was disheartening.

Using the model of the Change Curve, the idea is to minimize the negative impact of the change and help people adapt more quickly to it – to make the curve shallower and narrower, as in Fig. 5. We promptly began to communicate with leadership and the extended teams in meetings and one on one about what was known, what they wanted to know that they did not, and information updates.

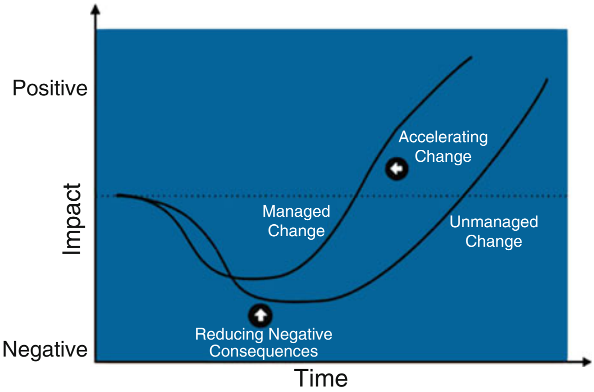


Fig. 5 The change curve (Kubler-Ross 1972)

In the first weeks after the announcement, we held meetings to explore reactions to the situation and the information that was coming out. The group was made up of doctors and scientists, and it was a challenge initially to explore the emotions that the circumstances were bringing up. But as the process unfolded, they saw the value of bring them out and acknowledging and discharging negative emotions so that they could continue to do their work as well as the new work involved in executing the merger.

As positions were posted and people began being replaced or leaving on their own accord, there were closure sessions with their old teams where appreciation was expressed, lessons learned shared, and valuable knowledge given to those staying on the state of affairs in various departments and affiliates. This human connection helped to minimize the negative impact of the disruption and cleared the air for those staying to prepare for the changes that were taking place.

Suggestions for Transformation Facilitators

Based on our Face the Music experience of facilitating Whole Systems Transformation with music over the years, we have learned a few insider tips that we would like to pass on to change agents doing similar work with music or other creative expressions. There are four brief topics in this section. First are some quick and dirty tricks that make these kinds of interventions more likely to be successful. Next are some brief descriptions of holistic modalities that support transformation from a body, mind, spirit perspective. Next is a practical tool we use with clients called the "CPR: Context, Purpose, and Results." Finally, I offer a model for becoming aware of the energy flow in a meeting.

Tips for Consultants

Tip 1: Avoid the cornball! Corny is defined as: trite, dated, melodramatic, or mawkishly sentimental. Anything perceived in this way by a group will be a big turnoff and have the opposite effect that you are looking for. Music makes very strong associations, and you want that to work for you. In our Face the Music work we compose a lot new songs and music for clients, so that the music stands alone making a new association with the event, the organization, the people, and the themes present.

Tip 2: Don't provide a standalone experience in the hopes that a group will come away with learning or shared understanding on what that encounter meant. Provide a process to explore what happened, meaning, and implications. The process is only valuable when it is systemic and has follow-up actions built into it.

Tip 3: Consider the balance of structure and freedom in your design. Provide enough structure for participants to create and understand the container within which they are operating, but not so much that the facilitation is leading them to a conclusion that you have in mind, or excludes possibilities that they need to introduce.

Tip 4: Keep the core executive deeply engaged in the work. Their contribution, ownership, and leadership are key to success

Tip 5: WST work is about moving people from passivity to activity – the activity of mind, of action, of faith, of trust, of engagement of people with each other and their work. Representative participants must be engaged in the planning and logistics process to move them from passivity to activity, to not just accepting the change but embracing it fully.

Tip 6: Consultants should facilitate points of contact among different views. These transparent interactions must be based on a perspective of multiple realities, where the environment makes people realize that they bring their own truth; that when dealing with each person's own truth, there is no right or wrong way.

Tip 7: Everything in the change work of the organization, as well as its future operation, derives from the vision and values. This is the core of the process. The leader sets out his/her vision for the organization, the members take that in and enhance it with their own. The organization and consultant should always tune into this and keep going back to it as the core of all current and future work. Having a common picture of where the organization wants to be and uniting around a strategic direction becomes an important guide.

Holistic Elements for Transforming a Company Culture

Face The Music works with our clients to support them in transforming their businesses – the culture, the processes, and the results. The transformation process we work with is a holistic systemic model, where the characteristics of the system (organization, team, or individual) cannot only be determined by the properties of its parts. The structure and relationships of the parts determine how the system expresses itself, and sometimes small, leveraged changes can make large impacts on the dynamics and results. Here are a few modalities besides those described in this chapter that practitioners experiment with and that support the transformational process.

Nutrition

Food is key.

- Individual diet change to support transformation
- Whole, organic foods served in the workplace and at meetings, conferences, and change initiative events
- Water – pure water not in plastic bottles

Meeting and workplace setup and geography

- Innovative and interesting setups to facilitate convening and conversations

Music

As well as the music in the facilitated Face The Music programs, music can be a powerful context-setter, creating a soundtrack for your work. Warning: beware of imposing music on people. Get their input, suggestions, and contributions.

- Break music – Your soundscape sets the tone
- Background music, hold music; be careful of what goes on in the elevators.
- Walk on-off's at large meetings – We like to have a live band side stage, like late night talk shows have; includes: covers, customized lyrics, customized songs, video scoring, walk-in and walk-out music, play ons, and interaction with the presenters.

Quiet time; free time

- In the hundreds (thousands?) of meetings I've been a part of, there seems to be a mindset that "we need to jam pack our agenda to give these people as much as possible while we have them all together". I've seen agendas that go from 7:30 am to 10:30 at night with merely the standard 15–20 min breaks, lunch and dinner, etc.; even "working lunches." This is not an optimal learning environment. People need time to digest.

Exercise/activity

- In the sit-in-front-of-a-computer-most-of-the-day environments, how can people integrate body movement into their work and interactions?
- Personal exercise and movement
- Activities for groups to be in their bodies when working together

Meditation

- Meditation as a personal practice for transformation
- Meditation in an organizational culture

Integrating some of these practices into a meeting and your workplace can facilitate new ways of interacting, innovating, and being together that can help shift the culture and integrate deeper contributions from the people involved. A lot of cutting-edge companies are doing it. What can you put into practice in yours?

CPR: Context, Purpose, and Results

I'd like to provide you a tool for results-driven action, purpose-driven results, and a contextual way of being.

CPR is a powerful tool to focus clearly on what you would like to attain from an event, a project, a meeting, or an action. By clearly stating all the results you would like to obtain, stating the purpose of the activity, and developing a context from which to operate, you focus your intent powerfully and take a direct path to where you wish to go.

Step 1: **Make a list of all the results you would like to obtain as a result of the activity.** This list should be as rich, deep, and varied as possible. Can include things like "have fun, develop relationships, breathe well. . ." as well as the more obvious, concrete results that you are after. The test of a result is: "Is it attainable? (Is the result something that can happen as a result of the activity?); Is it measurable? (How do we know if we got it?)"
Step 2: **Make a clear statement of the purpose of the activity.** The purpose is a statement of the "why?" of the activity. It should be as broad and encompassing as possible – your big purpose, or that of your organization. Ultimately purpose is your fundamental reason for existence.
Step 3: **Write a statement of your context for the activity.** The context is a statement you believe to be true or you wish to be true that contains all the results you wish to obtain. It is the way of being, state of mind or mindset that you bring to the activity; the place from which you operate. If things are not going your way – return to your context.
Step 4: **Review your results after the activity.** Did we attain them? (Gut gauge is OK as well as objective metrics – "Yes, I believe we communicated clearly as a team.") Those we did not get, Why not? Did I hold my context? Was my context the right one? Was it big enough?

Part of the "magic" of CPR's is that by holding a context large enough to contain all your results, the results are arrived at in a holistic way rather than linearly. They are interwoven and interdependent. You don't have to pound each one out individually.

Energy Flow of the Meeting

One of the richest veins for mining organizational issues and patterns is the energy flow of the meeting. It is related to an analysis of communication patterns. It is a tool to help you work with the client to reveal the existing systems, focusing on what happens between people rather than on the people themselves. Consider it energy analysis from a systems perspective.

Like communication, energy is either polarized (flowing between just a few people or in few directions) or it is circulating (flowing in all directions as appropriate).

The way energy flows and circulates indicates the development of the organization on the following scale:

First Level – Polarity System: One person speaks to the group; the group listens and approves. Individuals are not differentiated, but treated as a mass. Common in "paternalistic" systems, and appropriate in times of first learning or crisis, this style induces passivity, and outlives its usefulness quickly.

Second Level – Star System: The leader or "expert" communicates with each person in turn, often defending an idea. Bob presents; Mathew asks a question; Bob answers and defends; Elise makes a comment; Bob answers again. Elise and Mathew do not interact. Bob is the center of the "star." Energy moves to and from the center, but that's all. Expertise is respected, but a lot of energy goes into defending positions, during the meeting, and everywhere else.

Third Level – Arena System: Individuals have developed in their ability to contribute and be recognized, but full participation is still a ways off. Just a few people participate, based on their expertise or position. Often, there are two people vying for team attention or approval, while others watch. Elise and Mathew might be the energy focus, arguing while the others sitting passively by.

Fourth Level – Circularity System: Discussion and interaction flow freely among all members of the system. Speakers don't make long speeches. They make brief points, related to the general train of thought rather than disrupting it. One speaker is followed by another in an unpredictable, but flowing way. You might characterize this as a "network" system. Energy develops positively, naturally, organically, rather than emanating from one or two people or being infused from outside.

Conclusion

The pace of change in markets, technology, and society requires a new agility in organizations and their people in transforming and adapting their systems to stay competitive and relevant, and to take care of their customers with products and services that address their changing needs. Whole system transformation (WST) is an established methodology for facilitating whole system change and adjustment utilizing the existing resources and knowledge of the current system in creating a new system that deploys those resources and knowledge on a new level of functionality, efficiency, effectiveness, and harmony. It is also designed to define and implement change in a rapid and discontinuous manner.

In our methodology, the powerful tool that is whole system transformation is turbocharged by including the powerful tool of music. Music-based experiential learning is a powerful and time-efficient tool for delivering meaningful, integrated, and impactful training and change projects. It gives participants the opportunity to create their own meaning and ownership to what is presented by the leadership and program designers.

The process provides a tool for organizations to create a frame of reference of changing and transforming as a way of operating, where "business as usual" is not a static operation of doing what we have always done, but an organic interdependent method of adapting in real time.

WST with music facilitates a deeper understanding of shared purpose where individuals clarify how their personal purpose is vested in that of the organization, which facilitates commitment and urgency. Aligned in purpose, a collective resonance is developed through the musical shared experiences and the dialogs. The music takes on a new depth as a tool in the experience compared to traditional uses in organizational settings, facilitating the resonance, reframing discourse on issues, and providing an experience with high perceived risk that results in a feeling of accomplishment and unity.

The WST process starts in Phase I with a reprogramming of the organizational "DNA" – the leadership team. The leadership get aligned and committed to the change, emotionally and intellectually, around the mission, vision, goals, and strategy of the organization. The team is moved forward with the vision of one future as they coalesce into a single heart and mind. Only after the leadership is aligned can work begin in the larger organization.

Leaders have an essential role in WST. From leadership starts the desired state where the organization should be. The constituents then sharpen and align with seeded direction and take on as their own. From the onset of the WST process, leaders guide the way on how the organization will improve and how the changes will be implemented and sustained. Thus, the leadership imperative for WST is vital for its success.

Phase II is designed to engage a critical mass of the organization to take on the direction defined by the leaders and become actively engaged in contributing and providing input and details into what it is and how it will be implemented. This is accomplished through the design and execution of a large-group interactive event where employees participate to drive a significant shift for the organization. The process is rooted in yearnings and purpose of each individual, and in the collective awareness and acceptance of all members of the organization.

In Phase III, the process is to set up leadership and the entire organization to sustain the change process for years to come. A new culture begins to emerge that needs to be supported and built upon. Internal change agents step up to advocate, practice, and reinforce the new culture. Progress, challenges, milestones, results, and wins are communicated throughout the system.

Whole system transformation is an evolving vibrant methodology, which focuses on here and now. In contrast to traditional methods of organizational development, WST addresses what is needed by organizations by not merely changing parts of organization but transforming the whole system. Involving all leaders and all members of the organization is vital.

Music resonates in a deep, primal way and affords a mnemonic strategy for making a lasting impact for following through with the transformation. The musical element provides a new canvas and frame of reference that the new culture can crystallize around, an almost tribal shared experience where everyone contributes and cocreates.

Once implemented, WST with music gives the collective population of the organization a more satisfying work system that is more productive, gets improved results, and is aligned in purpose, vision, and action.

References

Beaulieu JND (2013) Human tuning. BioSonic Enterprises, Ltd. Stone Ridge, NY
Brautigan R (1976) Loading Mercury with a Pitchfork. Simon & Schuster, NY
Bridges W (1980) Transitions: making sense of life's changes. Da Capo Press, Boston
Cardon A (2004) Holographic diagnosis. Consulting Today. ISSN: 1095-1911
Cardon A (2014) Masterful systemic coaching. Amazon Kindle
Carter L, Sullivan R (2012) Whole systems transformation; the new paradigm in strategic change for the 21st century. Best Practice Institute. West Palm Beach, FL
Carter L, Sullivan RL, Goldsmith M, Ulrich D, Smallwood N (2013) The change champions field guide – strategies and tools for leading change in your organization. Wiley, ISBN 978-1-118-13626
Hakimi S (2015) Why purpose-driven companies are more successful. Fast Company, 21 July 2015
Kotter JP, Heskett JL (1992) Corporate culture and performance. The Free Press/Simon & Schuster, ISBN 0-02-918467-3
Kubler-Ross E (1972) On death and dying. JAMA 221(2):174–179
Kuhn TS (1962) The structure of scientific revolutions. University of Chicago Press, Chicago
Levitin DJ (2007) This is your brain on music: the science of a human obsession. Dutton Penguin, ISBN 978-0-452-28852-2
Senge PM (1990) The fifth discipline. Doubleday/Currency, ISBN 0-385-26094-6
Sullivan R (2010) Whole System Transformation™: the consultant's role in creating *sustainable* results. In: Practicing organization development, 3rd edn. Wiley, New York

An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life

Erhard Meyer-Galow

Contents

E. Meyer-Galow (✉)
Westfälische Wilhelms-Universität, Münster, Germany
e-mail: meyergalow@gmx.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_53

Abstract

There is an urgent need and a growing desire for a serious transformation in our workplace. However, this *must* be preceded by a personal transformation of our ego-based mental consciousness which by its self-limiting nature *inhibits* any real ethically sound changes. In this chapter, the author, who was the CEO of several major corporations, promotes a practical, integral approach which incorporates the tenets of *severa*l philosophies, including Depth Psychology, assisting us toward the psychological and spiritual maturity necessary for increasing our awareness. During this process, we diminish the limitations of our ego-consciousness and expand the horizons of our holistic consciousness. This will empower us to be leaders in effecting change in our professional lives.

Keywords

Depth Psychology · Buddhism · Integral consciousness · Self · C.G. Jung · Individuation · Epigenetics · Sustainability · Ethics · Resilience

Introduction

I believe that the meaning of life is to prepare oneself for the immanent transcendence. This concept is central to the teachings of my teacher and friend, Karlfried Graf Duerckheim (Duerckheim 1984: 203–234).

In times of expansive economic growth, many of us are preoccupied with our external, materialistic opportunities, which may diminish our possibility for that internal growth which is necessary for the nourishment of our spiritual center. However, the inability of financial success and professional recognition to fulfill our innermost desire for connecting with our essential Self can trigger an increasing awareness of our need to explore new opportunities for real meaning in our lives, a sense of Self which is independent of the state of our materialistic and egocentric recognition. This journey, when undertaken in a contemplative, receptive, and self-reflective manner, will lead us to the realization that any and all efforts which are based upon love and justice for ourselves and for all living creatures are intrinsically rewarding, enhancing our sense of self-worth and personal satisfaction. Being receptive to opportunities for growth from both the external world and from our personal intuitions will result in real self-improvement, one which is of benefit to us as individuals and to society as a whole. It is the only reasonable, decisive purpose for our lives. But we are stubborn! Often it takes a major personal or societal crisis, one which strips away our external sense of self-worth, before our attention is finally directed inward toward our mental, emotional, and spiritual well-being. Our ego, while on occasion an ally, can also ensure that extrinsic rewards remain our predominant goal. It is difficult to convince our ego that extrinsic rewards can never represent the true meaning of life, that the quest for material extravagances can never represent our genuine purpose. We may temporarily ignore the harm which results from this one-sided development of the mind, but the consequences are real and familiar. They include anxiety, loneliness, purposelessness, and depression, to name but a few.

Our ego-dominated mind with its limited consciousness is *so* dominant that we have separated ourselves from our essential inner components, from our most important roots:

- We have separated our *Ego* from our *Self*.
- We have separated our *Mind* from our *Soul*.
- Men have separated their *Masculinity* from their *Femininity*.
- Women have separated their *Femininity* from their *Masculinity*.
- We have separated our *Spirit* from our *Mind* and *Soul*, resisting their unity.
- We have severed our connection to the *Mystical*.
- We have buried *Sophia*, the divine *Wisdom*, under layers of materialism.
- We wish to embrace *Good*, but render that impossible by having suppressed and repressed our *Dark* side.

Is it any wonder that humanity's attempts to develop an extended consciousness which is dependent upon a unity of body, mind, soul, and spirit have failed? Attaining the desirable balance between our external and internal realities necessitates the acceptance of a new integral transformational process.

Since Descartes's "Cogito ergo sum" (Watson 2002), we define ourselves all too often only through our thinking. We have been conditioned and rewarded from an early age to pay attention to our ego and its promises of financial success and peer recognition. Enormous societal advances in technology, science, and the economy may appear to confirm the wisdom of this approach. However, at what personal expense? We face double-digit growth of burnout, depression, and the use of psycho-pharmaceutical drugs. How do we break out of the egocentric attitude which is constantly being reinforced by our ego mind? Sadly, it too often takes a profoundly personal or professional crisis to initiate some real introspection about our life, a self-examination which may then begin to transform our fundamental values.

Transformation is a difficult and tedious process, one which often necessitates an experienced guide. There are many pathways which afford the possibility for transformation, including embracing psychology, philosophy, meditation, yoga, religion, spiritual wisdom, or quantum physics. But we often get lost or give up on our efforts after a while because we do not necessarily select the pathway which best accommodates our own personality and/or our particular stage of developmental awareness. Most often no one specific process will satisfy our needs. As there are numerous barriers inhibiting our personal transformation, in order to be successful, an integral transformational process must not initially exclude any available process. It may well be that for each of us on the transformation track, any particular transformation pathway is of greater or lesser value, thus to initially focus upon a single, unknown pathway may lead us down a dead-end street. The resulting disappointment and frustration may then cause us to prematurely give up our quest for ultimate fulfillment.

Preamble

What Is Transformation?

Transformation is a very popular word in difficult times. By transformation, most people mean change, metamorphosis, or the conversion of an unsatisfactory situation to one which is more in accord with their desires. To appreciate what the word really means, we must consider its etymological origin. "Trans" is a Latin prefix with the meaning "beyond," "across," "on the other side of," or "through." When placed in front of the word "form," we are making reference to a space beyond, across, or even through the form.

In relation to the content of this handbook, and more specifically to this chapter in the handbook, the meaning and definition of "form" is implicit in the expression of the famous Heart Sutra in Mahayana Buddhism:

Form is Emptiness and Emptiness is Form

Form and emptiness are not separate entities. They are one. When we only focus on form, the result is limited consciousness. In Buddhism, emptiness is used as a synonym for the reality which we cannot describe but from which everything evolves. It is a reality which, while defying description, can be experienced. It may be ascribed many different names, including God, The Divine Principle, Allah, Yahweh, Brahman, Higher Being, The Spiritual Dimension, Self, The Background Field, or even The Ever-Acting Process as derived from quantum physics. Duerckheim (1896–1988), who was an early advocate of an integral approach, calls this united reality of form and emptiness, which is not describable in words, immanent transcendence. It shares principles employed by Zen Buddhism, Master Eckhart's Christian mysticism, and Depth Psychology as promoted by Jung and Neumann.

The name each of us chooses for this reality depends upon the particular bias our enculturation has imposed upon us, along with the transformational work we may have personally undertaken to expand upon our culturally imposed limitations. Form is the manifestation of emptiness in body, mind, and soul. To "trans" form involves the recognition that our form has spirit embedded within it, the divine dimension of all beings. The meaning of life unfolds within and around us when the expression of our unified form and spirit become as one, allowing us to experience our spiritual dimension.

Transformation is trans-form-ation, the process of learning to experience the consciousness of transcendence in body, mind, and soul; through body, mind, and soul; and beyond body, mind, and soul. Our consciousness, which is primarily based upon our body and mind, is necessarily limited to our thinking and our emotions.

Most of us have lost the connection to our soul. It is only through a personal transformation that we can regain it.

Jung often stated (Owens 2012):

> The whole world hangs on the thread that is man and his psyche.

Psyche is another word for soul derived from Greek. Jung's statement reminds us of the importance of our connection to our soul. Our soul supports us through the processes of transformation, ensuring that we are lifted beyond our limited consciousness and guided toward a broader experience of our divine dimension which includes extended consciousness.

Reflections on Consciousness

Integral Consciousness

No discussion of approaches to an integral transformation would be complete without a consideration of the important experiences of the German/Swiss philosopher Jean Gebser and the American author Ken Wilber. Gebser (Kramer 1992) was one of the first scientists whose research on consciousness resulted in a model of human consciousness, and Wilber (2000) is known for his "integral theory" which integrates psychology, philosophy, mysticism, and spirituality.

Both researchers consider human consciousness to be in a state of transition, not perpetual transition but rather a sort of progression of "mutations," with one evolving from the other, while the previous continues to operate upon those which follow. As one "mutation" becomes situationally deficient, another develops. Gebser introduced the following progressive ages of consciousness of mankind:

- Archaic
- Magical
- Mythical
- Mental

We have currently progressed to the age of mental consciousness, complete with all its deficiencies, and are on a course toward an integral, more mystical level of awareness which is evolving and arising out of the previous ages of consciousness. This archetype (Jung 1959) corresponds with Jung's vision that a new religion, most probably a mystical one, while not yet present is going to manifest.

The Age of Mental Consciousness

Our mental aspect structures events, objects, and people through the use of logic. Gebser (1986) referred to this incomplete aspect of ourselves as our "rational" structure. Our awareness which results from structuring our world only rationally is limited and, by the very nature of a limited awareness, seeks to deny the reality of any other structural possibilities, insisting that we humans are exclusively rational.

Influenced by quantum physics, our integral consciousness became evident as a result of our new understanding of the relationship between space and time. In writing about *Transparency for Immanent Transcendence*, Duerckheim (1984) leads us to an awareness that all psychological and spiritual practices focused upon mindfulness result in greater transparency. If we succeed in our practices, our mindfulness becomes integral in spite of our ego-consciousness, and then we experience time as an indivisible whole, not as a past, present, or future. For such a person, awareness is already integral. The more we practice awareness and mindfulness, the more we experience the *Whole of Reality*.

Integral Spirituality

Based on Gebser's philosophy, Wilber formulated an integral approach to spirituality by blending spiritual wisdom, religions, science, and culture. Numerous elements of these cultural components contribute toward a more integral spirituality. He describes how the wisdom embraced by the East and the West can lead us to a higher level of consciousness through the unfolding of a developmental and psychodynamic psychology. Sri Aurobindo (1993) was the first to use the word "integral" in connection with spirituality. His work is described as Integral Vedanta and Integral Psychology. Based upon the soundly convincing arguments put forth by previous authors, a powerful case may be made for using the term integral in connection with transformation. An integral approach which supersedes the limitations of the age of mental consciousness, extending our awareness into the age of integral consciousness, becomes both defensible and contemporary.

Limited Consciousness Versus Extended Consciousness

We are all conscious of our body and mind, an awareness which begins in early childhood. This is a limited consciousness. Our soul is our leader, our guide to an extended consciousness. Therefore, the first step toward an extended consciousness is the awareness of our soul. We must personally experience it. Only in so doing can we be led to an extended consciousness. Our soul may also lead us into experiencing the spiritual dimension which exists in and around us. Only then do we fully appreciate the experience of an extended consciousness.

There is nothing new about this approach to expanded awareness. In the very old Upanishads of Hinduism, the description of Brahman, the absolute, endless, immanent, unchangeable, transcendent reality, is *SAT-CHIT-ANANDA*. *SAT* is the state of Being, of existence. *CHIT* means consciousness. *ANANDA* may be translated as bliss, the highest form of enlightenment. I interpret this to mean that through learning to be conscious of Being, the divine dimension in us, we are able to achieve a state of bliss and enlightenment. Surely this is the reason and motivation for any transformational process!

Transformation of Our Limited Consciousness

Personal transformation is a necessary precondition for transforming the limited consciousness which we too often carry forward into our professional life. Let us consider the process of personal transformation both for its obvious personal benefits and for its subsequent relevance in our professional life. There is almost a limitless supply of literature concerning personal transformational processes. You are encouraged to explore those aspects of it which you believe may be of greatest personal and professional interest to you. My discussion will focus largely upon my personal journey toward an expanded awareness, which was initiated by the master Duerckheim.

Transformation of Limited Consciousness in Personal Life

The Development of the Ego

Until around the age of three, we are entirely dependent upon others. Lacking personal responsibility, we are able to experience pure *being*. As our ego, which becomes increasingly essential for our survival in a world where we must learn, manage, perform, achieve, and generally **do**, rather than just **be**, separates from our "Self," we begin to develop a sense of duality. This is the beginning of a lifelong conflict. As we constantly aim to do well, including managing well and performing well, we acquire the fear that we are not doing well enough! We begin to fear that we may lose all that we have achieved. Unconsciously, this fear will influence the rest of our life. Our ego creates its own isolation, its own limitations. Essentially all of our suffering and unhappiness are the result of this isolation. Our ego-imposed limitations cause an imbalance which many of us never overcome.

This process of separation of our ego from our "Self," a term coined by Jung for the divine dimension which resides within each of us, must occur in order for us to gain and express our individual free will. We must leave behind our wholeness in order to foster our ego. The result is that we largely forget about our Self. Our task in life then becomes a return to the Self so as to become whole again. This necessitates a process of transformation.

> Two of numerous well-known metaphors for this process are *The Parable of the Lost Son* found in Luke 15: 11–32 and the *Epic of Gilgamesh* (George 2003).

Some esoteric practices promote overpowering and destroying the ego, but this is a misguided attempt at resolving our imbalance. In fact, in our society, many individuals suffer from too little ego, with disastrous consequences. Our ego plays a crucial role in making us viable individuals in our society. In the early decades of our life, we learn and practice knowledge and skills. As *doing* and *achieving* stabilize our ego, they have greater priority than just *being*, in the early definition of ourselves. The crux of the problem is that we have become too one-sided. Due to a myriad of societal and personal influences, we have left our Self behind and given our ego free rein. Our world is full of individuals with big, powerful, dominating egos. While the egocentric and egoistic part of our ego serves to further our societal image, it is incompatible with a healthy, fulfilled, and balanced inner essence which is our connection with divinity. For those with overpowering egos, the transformation process must include mindfulness practices such as meditation which allow us to reestablish balance in our life by relegating our ego to its rightful, less dominant position, a position which allows for and encourages a harmonious coexistence of *being* and *doing*.

For others, those whose ego development has been adversely influenced by blockages resulting from negative life experiences which have caused a lack of self-confidence, or ego-confidence, the task becomes one of bolstering one's self-image through successful life endeavors. Meditation for those with poorly developed egos can result in personal crises, as they may be learning to let go of the *only* aspect of their life which is at least somewhat supportive. For them therapy which is based upon Depth Psychology, or the practice of aikido, judo, karate, or other ego-building activities, provides the necessary "catch up" for their ego. This is an excellent example of an approach which utilizes integral transformation.

As Duerckheim (1954) clearly argues, man is of double origin. He has a "world-based, rational ego-consciousness," as well as an "essence of Being." The first is secular in origin and the second is of divine origin. He is of the belief that the divine essence is the way in which the trans-space being and the trans-time being wish to manifest in us and in the world.

Becoming a Whole Person

A person who has only developed his ego-consciousness, having left behind his inner divine source, may be referred to as a stretched person. When this occurs, we lose our wholeness. The more we develop the mind and leave behind the heart, the more tension we build up. This tension leads to psychological and physical problems and all too frequently to serious diseases. Our developmental quest is to become a whole person. "Person" comes from the Latin *personare*, that is, "to sound through." In Greek tragedy, the message of the Gods was delivered by the actors through their masks (persona). By relegating our ego to a position of shared dominance, we allow ourselves to become grounded in the Self. In the following discussion, different sources for personal transformation will be described, including philosophy, Depth Psychology, religion, spiritual wisdom, and quantum physics, finally culminating in an integral concept for transformation.

Transformation by Philosophy

The Greek philosopher Plotin (205–270 BC) was the founder and most well- known representative of the Neo-Platonist philosophers. Many philosophies, psychological theories, and teachings are based on Plotin's wisdom in his original, foundational work. The aim of his teachings was to promote the process of reconciliation and reunification with the ALL-ONE. The necessary condition for this reintegration is a philosophical, conscious lifestyle. At the core of his thinking is the inevitable separation and, hopefully, the subsequent reunification of body and soul. In his famous Enneads (Mc Kenna 1992), he declares that the decline of the soul from the spiritual world into the world of the body, and the ascent from the world of the body back to the spiritual world, is the main task of all humans. This is a transformational process. For most of us, our soul is a prisoner in our body, and as a consequence, this imprisonment creates all of our suffering. The liberation of the soul can be achieved through living a virtuous life.

Plotin distinguishes between two kinds of virtues: the political and the higher virtues. Compassion for all beings belongs to the political virtues. It makes us better by limiting our negative behaviors like greed, arrogance, and aggression and reduces our probability of accepting unethical values and the decisions which would arise from them. The higher virtues, which clear our soul from the influences of our body and our mind, are love, hope, truth, and charity. They guide us to the experience of "*Nous*," the spiritual dimension. Plotin clearly advocates that the transformational process of liberating the soul from the limitations of the body and mind and experiencing the spirit is not achieved by philosophizing, but rather by living a virtuous life, day by day.

What Plotin did not specify was precisely how we were to achieve this transformation. Even if our ego-consciousness wants to follow Plotin's advice, the dark side of our ego will always interfere, seducing us into choosing less than virtuous life choices. To further ensure success, we must explore in some detail the nature of Jung*'s* Depth Psychology.

Transformation by Depth Psychology

In 1913, Jung began writing down his dreams, inner experiences, and imaginations in a book which was covered in red leather, subsequently known as the *Red Book* (Shamdasani 2009). His journey of self-analysis had begun. How can lessons from Depth Psychology and the *Red Book* help us in *our* journey of transformation?

Jung's *Red Book* documents the tremendously important experiencing of the unconscious in his own body, as Jung described his "difficult experiment." It was not until 50 years after his death that the English historian Sonu Shamdasani (2009) published the book. It is a treasure trove not only for those who want to further explore the process of individuation – that of individual personal development – but also for those who wish to directly experience their Inner Self.

What is the contemporary meaning of the *Red Book?* Jung states that one of our greatest current challenges is in dealing with our shadow. The future will be about the unity of the Holy Spirit as the ultimate act of salvation which God, in an act of grace, disseminated to mankind through the example of Jesus Christ. The essence of this salvation act, which contains the divine secret, can be recognized universally.

Thus, the *complexio oppositorum* of the divine image penetrates the individual not in a united fashion, but as a conflict, one in which the dark side of the image is confronted by the concept that God is **only** “light.” Jung then states that this process which is crucial to our advancement and which is taking place in our present time goes largely unrecognized by the majority of spiritual leaders, even though its recognition is of paramount importance.

The entire world recognizes that we are in a time of dramatic transformation. We mistakenly presume that this transformation has been triggered by fission and fusion of atoms, by space shuttles, or by economic liaisons. As usual, we brush off and ignore that which is concurrently taking place inside the human soul.

After having written his *Red Book* almost 100 years ago, Jung decided to ensure that the book was kept a secret for almost an entire century. At the beginning of the twentieth century, he was convinced that people would not believe his revelations within the book and would call him crazy. It was his hope that by the beginning of the twenty-first century, people would be sufficiently mature to understand his concepts and to undertake the necessary investigations to validate his findings. But it is obvious that we are still far from being able to fulfill his vision.

Lance Owens (2012) explained in his seminar “C. G. Jung and the Red Book” that Jung prophesized about three things: war, magic, and religion. War and conflict we see everywhere, in units as small as families and as large as nations. War is of egocentric origin and as such separates one from the other, creating endless victims. There is no realistic hope that it will end until the total annihilation of mankind is complete. By magic, Jung was referring to “black magic” which is an active, destructive force imposing itself upon both the individual and the collective. *Technos*, our creative human ability, has exploded and is growing exponentially. Computers, smartphones, laptops, and the Internet are interwoven into the very fabric of human life. Everywhere it is hustle and bustle with no time to stop and ponder, to contemplate, to meditate, and to mindfully consider. People are having their mindful attention, consideration, and compassion usurped by the vampire of “magic.”

Jung often expressed sorrow when contemplating the fate of generations of mankind which would follow after his death. In an interview, he was asked how long the suffering and chaos of mankind will last. He answered that this period may well last for 600 of the 2000 years of the Age of Aquarius. There is a compelling sense of urgency for those few individuals who have, through Grace, undergone a personal spiritual transformation to assist others in their difficult journey.

Before delving further into explanations of spiritual transformations, let us consider the process of individuation, which Jung refers to as transformation by Depth Psychology. Brigitte Dorst, a professor in Muenster, Germany, once told me in a lecture on “Depth Psychology and Sufism” (2015) that “Depth Psychology may guide us to the door of God, to the beginning of the experience of our spiritual origin.” Ultimately, it is about connecting ourselves with the supernatural and thus allowing for the healing of the wounds which have resulted from our separation from it. Jung stated that after taking detailed medical histories of his patients during his many years of practice that he inevitably found that it was separation from the numinous, our divine source, which was the ultimate cause of all ailments. There are many ways for our healing to begin, including the pathway to individuation through Depth Psychology and the numerous other spiritual pathways which can help us to recover in adulthood that wholeness which we once enjoyed in early childhood up until the age of about 3 years. A prerequisite is that we must achieve reconciliation with our dark side. We must become complete individuals, a dynamic, balanced integration of body, mind, soul, and spirit. Inner growth cannot be achieved solely by our rational mind or by our emotions, because it takes place in the trans-psycho-mental aspect of our Being. Overcoming our ego-centeredness is an essential first step, one which can be achieved through exercises which are based mainly upon the transcendence or letting go of thoughts and feelings.

What Is Individuation?

The Jungian Center for Spiritual Sciences is an excellent source of information concerning individuation (http://jungiancenter.org/components-of-individuation-1-what-is-individuation/). Our English word comes from the Latin *individuus*, meaning "undivided" or "individual." Individuation is the process by which individual beings are formed and differentiate. It is the transformation of the psychological individual, a process of self-realization which links up consciousness with the unconscious.

Listening to Our Dreams

Modern Depth Psychology utilizes myths, fables, pictures, dreams, and imaginations. We all have dreams. In accordance with his experience, Jung recommended that we give them careful consideration. We may not always remember our dreams but our "dream director" is attempting to convey something to us, something important for our life's journey. Paying careful attention to our dreams is very important for our individuation process!

Jung's dream theory is central to modern Depth Psychology. Jung considered dreams to be the direct expression of our current situation, able to inform us about our immediate state of affairs. He stated that the nature of our dreams is a "spontaneous self-portrayal, in symbolic forms, of the actual situation in the unconscious" (Adler and Hull 1967a: 505).

Dreams are full of symbols, images, and metaphors. Since they are presented in the language of the unconscious, we may need the help of a Jungian expert to interpret them. Dreams portray the outer and inner world. Thoughts and feelings of the psyche arise. According to Jung, dreams have two functions. The first is that they compensate for imbalances in the dreamers' psyche. Unconscious content which we have ignored, repressed, or suppressed begin to manifest, and when we learn to accept and recognize these dream manifestations, we achieve a greater psychological balance. The second function is to provide prospective images, ones which may inform us of impending events. While dreams are not predictors of the future, they often suggest possible eventualities.

Jung was convinced that dreams promote the most important developmental process in our life: our individuation, which is the uniting of our consciousness and unconscious into a healthy and harmonious state of wholeness. For Jung, individuation is the "complete actualization of the whole human being" (Adler and Hull 1967b: 352). Dreams also contain pictures of the collective unconscious. Dreams contain so-called archetypes, universal psychic images such as the wise man, the great mother, the divine child, the shadow, and a myriad of others. These archetypical images afford us insights and guidance because they contain wisdom which resides deep within our unconscious. If we make the effort to create poetry, paintings or sculptures based upon our dreams, it will enhance our insights into ourselves. If we keep these art products with us during our ongoing soul development work, we will expand and strengthen our potential for growth.

Activating Our Imagination

For the Swiss psychologist Walter Schwery (2008), who was my teacher in Depth Psychology for almost 15 years, "active imagination" is Jung's method of integration of the shadow. It is a practice which raises, animates, and preserves the images of the personal and collective unconscious. Perhaps the simplest definition of active imagination is that it is a route which affords us the opportunity to open negotiations with forces and figures of the unconscious that lead to the possibility of agreement with them. In this respect, it differs from dreams, in which we have no active control over our own behavior.

Active imagination is a psychotherapeutic method and spiritual procedure of self-exploration. It is a tool for the exploration of the interior of the soul, an experience from which we may derive the impulse for life and growth. During active imagination, our consciousness and our unconscious, after some preliminary relaxing exercises, enter into a dialogue which otherwise would never have occurred. Messages in the form of images from the unconscious appear only if the supremacy of the consciousness is overcome. The resulting dialogue produces a healing self-recognition, one which gives us access to creativity and to the healing of the soul.

How Does Active Imagination Proceed?

Active imagination is always a gradual, step-by-step process:

- Empty the mind.
- Let the unconscious flow into the vacuum.
- Add the ethical element.
- Integrate the imagination back into our daily life.

Jung himself recommended in a letter in 1932: "Think, for example, a fantasy and make it available to all your forces. Create and frame it, as if you were the imagination or belonged to her, as you would render an inescapable life situation. All the difficulties you encounter in such an imagination are symbolic of your psychological difficulties and to the extent, as you master them in the imagination, you overcome them in your psyche" (Jung and Adler 1973: 146).

Reconciliation with the Dark Brother

According to Jung, each of us has a bright side which we display with the hope that it will be appreciated by the public and a dark side which we suppress. All of our dark thoughts and actions are either suppressed or repressed into our shadow. It is in suppression, that is to say, in the deliberate elimination by our ego-consciousness of all those characteristics and tendencies of our personality which are out of harmony with our ethical beliefs, that the denial of our dark side is most clearly seen as a leading cause of our suffering. Discipline and asceticism are common ways in which this suppression is given form.

Erich Neumann, an eminent philosopher and student of Jung, believes that it is important to realize that in suppression a sacrifice is made which leads to suffering. Because this suffering is accepted, the rejected contents and components of the personality still retain their connection with the ego. Neumann (1990: 35) states: "In contrast to suppression, repression may be regarded as the instrument most frequently used by the old ethic arising from Judea-Christian tradition to secure the imposition of its values. In repression, the excluded contents and components of the personality which run counter to the dominant and ethical value lose their connection with the conscious system and become unconscious or forgotten, that is to say, the ego is entirely unaware of their existence. Repressed contents, unlike those suppressed, are withdrawn from the control of consciousness and function independently of it; in fact, as Depth Psychology has shown, they lead an active underground life of their own with disastrous results for both the individual and the collective. . . The complexes of unconsciousness which have been shut away from daylight by repression undermine and destroy the world of consciousness. . .."

In his acclaimed book *Das Böse oder die Versöhnung mit dem Dunklen Bruder* (*The Evil or Reconciliation with the Dark Brother*), Schwery (2008: 37) offers a path to reconciliation with our dark side: "Jung realized that my shadow side is part and exponent of the dark side of humanity in general, and if my shadow is antisocial and greedy, cruel and evil, poor and miserable and his growing occurs as a beggar or animal in me, then behind my reconciliation with it stands the reconciliation with the Dark brother of mankind in general, and as I am in it and am part of it myself, I accept with him the whole part of humanity, which is as my shadow my associated neighbor. We are to love this shadow, as Jesus said, and to love it as I love myself. . .While the idea of the old ethic is focused upon the rejection of evil, of the shadow. . . the model for the new ethic is the union of opposites as the goal of a long journey. . ..This new ethic does not focus on being good, but rather that one accepts the shadow and the good in his hermetic vessel, which means in his conscious soul, without a need for consent or judgment."

For Schwery, reconciliation begins with the distinctive recognition as taught by Buddhism: I am not evil, but I have evil as an expression of a part of my person. What I have, I can let go of. What I am, I cannot. It is about the recognition of evil, of which I can let go. We can liberate ourselves through awareness, recognition and inner growth. Schwery (2008: 44) cited Paulus: "So I come up with the law, that evil is present in me, even though I want do good." Concerning the risk of disorientation, Schwery (2008: 43) has the following comment: "In practice we see over and over again how many people, especially the religious, endeavor to be a better person. But if we scratch the surface of this facade of religious correctness, we soon discover deep uncertainty, a lack of self-esteem and self-acceptance. The quest creates an urgent need for love and acceptance, and at the same time the dangerous desire to cover the narcissistic wound with religious goodness, but the root of the problem never heals, to the contrary, it is exacerbated."

Designation of the Evil

Schwery (2008: 48) continues: "Following the detection of the dark brother as an autonomous entity, it remains to give this entity a symbolic name. The creation of this symbol affords us the opportunity to take a non-rational entity and give it form. . . The designation of the shadow with a symbolic name such as Dark Brother prevents us from becoming one with the shadow, allowing us to differentiate ourselves from it. Only if this succeeds is it possible to grasp it and deal with it head on. Jung noted that the psyche has a tendency to personalize and dramatize the shadow, resulting in it being experienced as dreams, daydreams, hallucinations and visions. Our Dark Brother, our shadow is a vital issue, one which we must face directly. As a next step, we should try to see him not as a moral, but as an energetic problem. The shadow is usually very vital, and as such it is hindering active or suppressed energies. But each vital energy which cannot develop naturally, is negative and destructive. . .Rather than doing, just let go, and be."

No longer is the masculine "Doing" the answer to the problem of the shadow, but rather the merciful feminine "Being." Out of this feminine perspective arises that serenity, which finally leads us to awareness and the ultimate redemption of our Self.

Balancing the Anima and Animus

The terms *anima and animus* were first mentioned by Jung. Harmonizing our masculine and feminine energies is a condition for individuation. In the Eastern Hemisphere, these energies are referred to as *Yin* and *Yang.* An imbalance negatively influences our transformational process. A man who has not yet integrated his *anima* is predominantly controlled by his masculine side, making him more susceptible to immoral, unethical behavior as he is without his harmonizing female attributes. The anima refers to the unconscious feminine dimension of masculinity which can often be forgotten or repressed in daily life. In order to progress psychologically toward greater internal balance and harmony, it is necessary for a man to recognize, connect with, and embrace this latent element of his character. The man who has connected with his feminine anima displays tenderness, patience, consideration, and compassion.

The *animus* is the unconscious male dimension in the female psyche. Due to societal, parental, and cultural conditioning, the animus can be often inhibited, restrained, and suppressed. On the other hand, some societies and cultures, including our Western way of life, ruthlessly impose masculine ideals as prerequisites for excelling, succeeding, and getting ahead in life, even for women. All of these external elements can contribute toward a negative animus which reveals itself in a woman's personality as argumentative tendencies, ruthlessness, destructiveness, and insensitivity. However, integrating a positive animus into the feminine psyche can result in strength, assertiveness, level headedness, and rationality. To allow the process of transformation to make us whole, we must all first encounter and then work to embrace our internal anima or animus.

In our modern society, we have lost our connection to our soul. Through transformation by individuation, Depth Psychology can help us to build bridges to our soul allowing it to act as the guide to our spirit. Where is our soul?

Our Soul Is Not in Us, We Are in Our Soul!

We, our body, and our mind are in our soul, and our soul is part of the world's soul. With individuation, we can experience this world soul and our connection with it, along with the entire spiritual dimension of the universe.

Transformation by Religion, Meditation, and Awareness

Spiritual Teachings

Religion is of great importance to many. It served me well, giving me a grounding in and an appetite for further explorations in spirituality. After some loss of confidence in Christianity, I turned to Zen Buddhism, extensively practicing Zen meditation. Ironically, this led me back to a further consideration of Christianity. Religious practices serve to give orientation and support during all stages of life. They afford an opportunity for growth which will lead us to experience God. Many spiritual teachers promote the study of a variety of religious doctrines. However, it is preferable to study religious doctrines under the direction of a master who has had direct experiences of God. Most priests or ministers are only able to ask you to blindly believe in God. This is a major shortcoming of contemporary Christian religions, as many people are, wisely, not willing to blindly believe without questioning. It is the mystic part of religions which is able to prepare us for transformation. Master Eckhart (Woods 2011) is an excellent guide for transformation through Christian religions. The method of Christian contemplation which includes a meditation on a prayer, a picture, and a sentence or a word is a rewarding practice which can lead to powerful revelations. The inner mystical dimension of Islam is Sufism and, in the Jewish religion, the Kabbala.

To be a whole person, to extricate ourselves from our childhood's pronounced egocentric and egoistic socialization, we must entertain a daily practice of exercise in which we practice letting go of our ego. Then, as an act of grace, the maturation of our essence is allowed to flourish within us. Practices such as meditation, prayer and contemplation, judo, kyudo (archery), aikido, and yoga as well as many other pathways to the experiencing of our essence are valuable. Since when we attempt to practice alone we often quickly lose interest, it is preferable to receive instruction and encouragement from a teacher. It is also important that our practice is undertaken frequently, every day if possible. In time, we will find that through our efforts, we recognize a transformation within ourselves, which is the first, most important, and crucial step toward transforming our society!

> When you change, the whole world changes! (ZEN)

Or, as Buddhists pledge:

> Sentient beings are numberless. We vow to save them all!

Meditation as a Daily Practice

Meditation masters of numerous disciplines teach that once we have focused upon an object and have observed our thoughts and emotions, we need to let them go, to dismiss them. In so doing, we are able to become one with the reality which cannot be contained by thoughts or words. Then, in addition, they ask us to let go of the focus as well! As it was only a tool to assist us in initiating the mindfulness exercise, it is no longer necessary. We were the subject; the focus was the object. When we overcome this duality of subject and object, there is no difference between us and the focus. This leads us to a better understand of what is meant in Zen Buddhism when it is said that subject is object and object is subject. The perceived duality is gone. As duality is the cause of our suffering, our suffering is also gone. After some time, we do not watch our thoughts anymore. They are no longer important to us. We are one with all of the universe which is boundless and infinite. We are part of it, a wave in the vast ocean connected with all the other waves. It is important to continue our discipline and to maintain the momentum of our practice for as long as is necessary. It may take years before we eventually experience the totality of wholeness and oneness.

The following summarize the sequences in a Zen meditation practice:

- Longing to feel the end of our suffering
- Self-responsibility
- Selecting a guide – a master for our spiritual path
- Exercising mindfulness – setting our sails!
- Selecting our focus
- Calming our restless mind
- Observing our thoughts
- Allowing our focus to part
- Having our focus disappear
- Staying without thinking, without any emotion
- Becoming ONE with ALL

If we wish to welcome peace, silence, balance, serenity, kindness, charity, compassion, perseverance, harmony, and happiness into our life, mindfulness is the key. Living mindfully in the present, fully embracing the here and now will give our life new meaning. When we can quiet all of the external and internal “noise” around and within us sufficiently that we can meditate, we experience how immensely blessed we really are!

Often we concentrate mindfully during meditation on a particular focus, but we forget that this is only the first step of meditation. The second and even more important step is to release the focus, and relax. A Tibetan Rinpoche recently observed a group of scholars during meditation and noticed that they were diligently practicing mindfulness. He declared:

Do not meditate, just relax!

Everyone immediately began laughing, which relaxed them into the correct spirit for meditation.

Becoming Aware of Our Experiences

If at this time in your life you lack the resolve and discipline to meditate, instead try entering into a greater awareness of those experiences which interest and fulfill you, ones in which you can practice mindfulness. In time you will find that meditation comes calling, asking for a second chance! We have the daily opportunity as part of our work, music, art, enjoyment of nature, dance, experiences of illness, unexpected encounters, love. . .. . .the list is as endless as life itself, to practice greater awareness. Our entire daily routine can be used to facilitate our meditative practice. The result is a life full of equanimity, serenity, humor, compassion, harmony, humanity, and a love for others which values and promotes individual dignity. A mindful person will never harm others or the environment, and will find inner peace in both private life and professional life. I call it ***Living in the Golden Wind***, which is the title of my transformational book (Meyer-Galow 2013).

We often embark along a spiritual pathway but then abandon the walk too early. It requires discipline, strength, and perseverance to maintain the path of practice and exercise, especially for those living in misery and for those who are suffering and are focused upon finding the necessary energy to go on with their lives. But it is especially important when we feel oppressed to embark on the wonderful human adventure of exploring, with full awareness, the wider dimension of our presence. It may involve a recollection from our childhood or perhaps a completely new exploration waiting to be fully experienced. Only then, through the awareness of our true, natural potential, can we confidently move forward, allowing excitement and passion to structure and embrace the rest of our life.

There are many opportunities to practice experiencing greater awareness. Even our daily work routine and an unexpected illness are important opportunities where we can practice growth. Recognizing these opportunities, according to Duerckheim, greatly increases our likelihood of being able to get in touch with the original ground of our Being. If we are not mindful of our experience in these important events, we lack an understanding of our interconnectedness and may consequently lose a major part of our vitality and opportunity for growth. We all enter into numerous realms of experience. When we experience them with awareness, we find that they become gateways to a better quality of life.

Awareness Through Nature

Most of us have numerous opportunities to allow our senses to take in the sights, sounds, aromas, and calming sensuality which spending time in nature encourages.

But for some children, teenagers, and even adults, urbanization coupled with today's fast-paced world makes it increasingly difficult to have meaningful access to the riches which nature provides. Those who have grown up in a world focused upon computer games, television, and mobile phones live with the insidious lure of allowing these limiting technological trappings to become a substitute for the transformational possibilities inherent in nature. It is important that we encourage our children, grandchildren, and ourselves to experience the wonder and natural majesty of the outdoors and to enjoy its therapeutic effect upon our body, mind, soul, and spirit. Our ego demands the type of relaxation and revitalization which is uniquely experienced in the serenity, beauty, and peace of nature. Our original source of Being knows that nature is the ideal place for experiencing the increased awareness which leads to meaningful, deeply satisfying inner growth. When immersed in nature, as we hike in its silence, we regain an awareness of our fundamental connection with the roots, the trunks, the branches, and the leaves of the trees.

When I walk in nature, I do not only notice my walking, I experience my Self in nature as a person walking. The difference is that it allows for my Self to radiate through my ego. A wonderful enlightenment then carries me through the entire day. When we enter into nature with mindfulness, the resulting expansion of our inner awareness encourages our natural experience to prepare us for those other, perhaps more unnatural daily commitments awaiting us. The Zen Master and Benedictine Monk Willigis Jaeger, my current teacher, reminds us that it is only through listening attentively while experiencing nature that we are able to be transformed into another dimension!

Awareness Through Music and Art

Music encourages us to be entirely present in the moment allowing us to experience and enjoy the fullness of presence, whether we play a musical instrument or not. Bernadette Böll, an expert in music therapy, told me when I began piano lessons in the Spiritual Center of Duerckheim in Todtmoos/Ruette, Germany, that when playing music as a meditation, we must allow ourselves to let go of the experience of the music so as to be able to experience our Self in the music. As this process proceeds, we become, more and more, a whole person.

For the pianist and conductor Daniel Barenboim, silence in music is of great importance. It is the silence between the notes which creates the music. Buddhists call it emptiness. The actual reality of "silent emptiness" from which everything originates is what I refer to as the *Golden Wind*. If possible, do not only listen to music played by others, but try to practice it on your own instrument of choice, perhaps your voice. Evolution has given sound the highest priority. It has magical healing abilities. Let the vibrations of the sound of the music peacefully enter into your stillness.

Art arises from deep within the inner world of the artist. As such, it is a manifested expression of spirituality. Spiritual art guides us within, creating a connection between the inner and the outer world. Art and science are nourished by the experience of mystery. Albert Einstein believed that art is only authentic when it is initiated by a mystical quality.

Awareness Through Sports

Sports and music complement one another wonderfully. In the first third of life, most of us strive for performance and perfection. In the second third of life, relaxation and joy become predominant. In the third triad of life, one has the option of participating in sports as an exercise for inner maturation. Any activity, including all types of recreation, may be practiced as a meditation. Through recreation, we have the opportunity to re-create ourselves. Eugen Herrigel in his book *Zen in the Art of Archery* (Herrigel 1953) accurately and masterfully describes the mindful attentiveness necessary for this sport. His experience was that all necessary techniques need to be overlearned so that the necessary skills and arts flow from the unconscious. With respect to archery, this means that the archer and his target are no longer separate, but rather become one reality, interconnected. This state of unconsciousness is achieved only when he is completely free from his ego and at one with the perfection of his technical skill. This is something completely different from any progress that could be achieved in normal archery.

Awareness Through Dance

For millennia, dancing has played an important role in the life of humans in all cultures. When dancing, every single movement requires complete mindfulness. We find that the more we practice a dance, the more that it is no longer us who controls the various steps, instead the dance takes over and we become one with the dance. Every dance can be meditative if, as the dancer, we are receptive to being open to the unknown.

Awareness Through Others

Meeting and having meaningful encounters with wonderful people who are secure in their individuality is immensely important. The encounters may be planned or unexpected. In the latter case, the moment will suddenly and unexpectedly be filled by the presence of another, and it is up to us to seize the moment. It is an opportunity to step outside of our ego-centeredness and listen to another person with utmost awareness and compassion.

I remember a Zen session conducted in complete silence. In that silence, I felt a great connectedness with all of the other participants. It was a most wonderful dialogue in stillness. Sometimes we have encounters with difficult people with whom we do not feel a particular connection. Their egocentricity may be an invisible but palpable barrier. While admittedly difficult, such encounters are excellent opportunities to practice empathy and compassion.

Awareness Through Disease and Suffering

Each disease has its own specific character, challenge, and opportunity for our lifelong process of learning. We need to "decode" its meaning. Illness and disease stretch us in our examination of the extent to which we are able to let go, to step back from our "control center," and to give up our ego-centeredness.

Suffering is always a call for increased awareness and change. Moment by moment, the practice of mindfulness is both demanded and required. The German quantum physicist Hans Peter Duerr told me that in accordance with his experience, we should not deliver ourselves to medical doctors unconditionally, but rather to the Cooperative Background Field. In other words, we must be constantly aware that a universally shared energetic field exists behind, around, and beyond us at all times. There is no break in it, there never has been and there never will be. It extends both backward and forward into infinity. When we are in perfect health, active, busy, and doing well, too often we do not make time for consideration of our condition of Being.

There are two sides to the human condition. It consists of both health and disease. When we are not in touch with the Cooperative Background Field, that field which includes perfect health, we experience dis-ease. Christians may call this field God, but many people today, given the revelations implicit within observations in the field of quantum physics, speak rather of the original essence, energy with immortal nature and being. Duerr, from the point of view of quantum physics, and Schwery, from the point of view of Depth Psychology, are of the opinion, one which I share, that to trust in our concept of God and to have faith and confidence in Him is quite limited. As long as we are healthy, we practice prayers, rituals, or Christian contemplation or perhaps expand our awareness through some of the activities previously described. Becoming fully aware of ourselves in all our activities is a necessary preparation for successfully facing future diseases and eventually our death, the ultimate form of letting go. Our complete presence, being fully aware and living in the here and now, is an essential prescription for every experience in our life. Only then does our powerful potential for self-healing have an opportunity to manifest itself.

In our experience of disease and death, we are confronted with the intuitive knowledge that we must relinquish control. We finally open to the spiritual dimension of our humanity and leave behind our psychosomatic trappings. As a patient, especially when we are hospitalized, it is easy to feel alone, distant from our friends, family members, and all that is familiar. These feelings originate from our ego's separation from our divine origin. Alleviation of these fears which accompany a life-threatening disease is only possible when we reconnect ourselves to our inner source of being. When we are in a situation where we are distraught with anxieties and fears and feel alone, it is beneficial to try to make our loneliness meaningful. To be alone does not need to feel like isolation, it can be the liberating, expansive feeling of being one with all!

While we may appreciate and benefit from the achievements of modern allopathic medicine and research, it is also wise to remain cognizant of the limitations of medicine including all of its inherent hazards and inevitable side effects. It is important to recognize that there are "costs" for any "cure," especially when the cure necessitates medications or procedures which may result in an inhibition of our awareness, our ability to discover real inner satisfaction, balance, harmony, and peace of mind. In the case of any disease, our system is disturbed not only somatically but also mentally, psychologically, and spiritually. Every "dis-ease" is a manifestation of a present reality. Should we fight against a disease with which we are diagnosed? Not necessarily. That must remain a personal decision. But our body is not a battlefield. We need to make peace with all of our cells, both the healthy ones and the unhealthy ones. The most effective healing process is created by an inner peace contract, an agreement in which we lovingly welcome all the cells and their ongoing activities in our body. Illness is always an opportunity to grow through entering into the larger circle of the cosmic holon, as Duerr used to say. In his book *The Secret of Instant Healing*, Kinslow (2008) describes meditation exercises which assist us in getting in contact with the zero-field. Illness can provide an excellent, if difficult, opportunity for accelerating our learning processes. Its imposed self-reflection encourages a more intimate awareness of ourselves.

Awareness in Daily Life

Our daily life allows for a myriad of important, powerful opportunities for increasing our awareness. If we live each and every moment with full mindfulness, then each moment encourages and supports our inner growth. All activities: waking up, brushing our teeth, washing our face, sitting, walking, standing, writing, reading, shopping, driving, waiting, looking, hearing, smelling, tasting, feeling, putting on our shoes, greeting people, and shaking hands may all enhance our personal growth if done consciously with the recognition of joyful purposefulness. It is entirely up to us whether we allow all of these moments to become automatic, devoid of conscious attention, or whether we choose to enjoy these necessary tasks, appreciating them as growth opportunities for expanding our awareness of our Self.

Transformation by Quantum Physics and Natural Science

Almost 100 years after Heisenberg's quantum physics, we have a far better understanding of the nature of reality. Particles, waves, and energy are recognized as quantum fields. Duerr (Ropers et al. 2012: 53) states that quantum physics makes a definitive case for a universal spiritual connection and that the reality of our world is that it contains an infinity of potential realities, possibilities which are to be determined by us. We live in a much larger world than that of which we are generally aware. With our consciousness and our ability to deliberate action, we have climbed to a new stage in evolution. We are now able to perceive the world in two quite different ways. Not only as something outside of and detached from our Self but also from the inside, because all of us, like all of the rest of creation, not only constitute but also continually recreate this world!

According to Duerr (Ropers et al. 2012: 27), there is a permanent acting process which creates reality in each and every moment. The field is empty, but it has the potential to construct our world, to manifest an infinite variety of possibilities as reality. Everything is interconnected within the field. When we act as an individual, we influence the field and through it everyone else and all of creation. As responsible individuals, we must take this into account when making decisions. If not, we act irresponsibly and ultimately our efforts will fail. The interconnectivity of life is the backdrop against which all of our efforts either come to fruition or fail.

Duerr (Ropers et al. 2012: 12) has clearly expounded upon the message that may be extrapolated from the extraordinary findings that have arisen from the study of quantum physics in modern times. The knowledge which has been gained from the unprecedented observations resulting from comprehensive experiments examining the quantum nature of matter and energy leads us naturally and seamlessly to personal transformation. While he describes himself as an atheist who does not believe in a personal God, Duerr does recognize a universal principle, one which may also be called divine. Quantum physics offers us a profound insight into the interconnectedness, creativity, non-duality, and nonlinearity of all of creation.

For Duerr (Ropers et al. 2012: 21), "making living livelier" is the ultimate purpose and result of the process of transformation. Our rewards come not from simple cooperation but rather from our unique contribution toward the creation of a new dimension. Duerr promotes the process of a loving dialogue with others as the medium for co-creation of a new and mutually beneficial understanding of the nature and purpose of our existence.

Natural science has a greater immediate and potential capacity than religion for influencing the transformational process. The physician Thomas Campbell explains in his trilogy, *My Big Toe-Awakening-Discovery-Inner Workings* (Campbell 2007), which is a unification of philosophy, physics, and metaphysics, how mysticism is demystified by applying the findings of natural science in order to achieve an extended consciousness.

The physician Burkhard Heim (von Ludwiger 2013: 5), a scholar and student of the founder of quantum physics, Werner Heisenberg, developed a physical-mathematical structure which may be called the "world formula." He assumes 12 dimensional levels of the consciousness of Being. With our limited consciousness, we are stuck in the four common dimensions with which we are familiar. Our efforts toward transformation may lead us beyond these four dimensions to experience our unconscious. The tenth dimension is of special importance, because it is here that our Higher Self resides. It is the egoless, fully awakened form of our existence. The two dimensions above it are spiritual dimensions. In the 11th, all of the aspects of our soul are united, and the 12th dimension represents our pure Being and our Not Being. Duerr (Ropers et al. 2012: 14) calls this the quantum-physical background field, which while actually empty, has the characteristics and capacity to create reality in each and every moment. This model leads us toward a greater realization of our soul being our guide to our spiritual dimension, as previously acknowledged by Jung.

Transformation by Epigenetics

Genetic research is becoming increasingly helpful in guiding us to a greater understanding of our nature. This is especially true of the discipline called epigenetics which studies how environmental factors influence our physiological and phenotypic traits at the cellular level. According to Roth (2014), traumatic experiences of a personal nature may leave a permanent "signature" on our DNA through a brain-derived neurotrophic factor (BDNF) by a process called methylation, which occurs in the hippocampus and amygdala. Certain genes may be switched off, and when this occurs, post-traumatic stress disorders (PTSD) may result. Interestingly, PTSDs *only* result from personal interactions. Similar stress damage of a nonpersonal origin does not lead to methylation. As this methylation caused defect directly affects our DNA, it will be passed on from parents to their children, from one generation to the next. It becomes a genetic inheritance! This is a clear and worrying example of how negative "environmental" factors may leave their permanent mark upon us, actually becoming a part of our physical, material reality, making it more difficult to achieve the internal growth necessary for personal transformation.

Fortunately, it is also the case that *positive* experiences create imprints not only in our psyche but also in our genes. We have the ability to positively influence the epigenetic structure of our children. Epigenetic influences begin in the embryonic phase of the development of a child. Parents who love their developing children, and express this love both explicitly and implicitly, can have a dramatically positive effect upon the developing embryo. An integral approach, employing meditation and positive experiences as well as a full range of positive and life-affirming thoughts and affirmations, affords a powerful epigenetic opportunity for enhancing the growth and healthy development of the developing child. The perfect preparation for subsequent transformational work!

Blockages to Transformation

Our integral transformation can easily be disturbed by diversions and distractions or even completely derailed by severe blockages of our individuation. Diversions are an enticing fork in our life's path; they offer the false promise of a shortcut to bliss. Beckoning to us, they appear more and more attractive as our life becomes more and more stressful and overwhelming. We are enticed by the promise of finding release from our stress and having our desires fulfilled. But diversions are imposters; they need to be unmasked and disenfranchised. While they do not necessarily keep us from arriving at our destination, they will make our trip longer and more arduous. Radio, television, computer games, mobile phones, e-mails, Facebook, Twitter, and even exotic holidays which promise us an escape from drudgery into nirvana all entice us away from the genuine search for inner peace. Unlike virtual reality, the genuine search for inner peace in our real life cannot be clicked on or off or purchased for the price of an airline ticket to some exotic paradise. It is our life's journey! By unknowingly following diversions, we regress into our shadow whose tentacles, encouraged by our ego, then gain an even firmer grip upon us as we venture further and further into denial. We risk losing sight of our spiritual center which in turn increases the ease with which we can continue to be diverted from our ultimate destination, which is reunification with our divine essence. The endless progression of problems in our life and all of our suffering and distress are symptomatic of our ego's insatiable appetite for diversions.

If we agree that there is an urgent need based upon the experience of Depth Psychology to achieve stability through the development of personal inner growth, we must also be diligent against succumbing to *distractions* which can short-circuit our pathway to a greater awareness of our divine potential. Being distracted is the opposite of being focused. We can allow a distraction to occur purposefully, or we can find ourselves unwittingly distracted by allowing someone else's intent to envelop us. The focus which we can achieve through the gateway of mindfulness and awareness is then lost. The result is dissatisfaction and restlessness, which in turn hinder our ability to experience our divinity.

Conclusion

As my master Willigis Jaeger has often repeated, it is the sad truth that many well-meaning disciples meditate for years and years without ever experiencing personal transformation of their limited consciousness. My experience is that an integral approach to transformation offers a far wider range of possibilities for extending limited consciousness. An excellent example is the program of the Rütte Center for Initiatic Therapy in Rütte Todtmoss, Germany, which offers Zen meditation, Christian mysticism, therapies based on Depth Psychology, music and dance, the Japanese fencing sport kendo, body relaxation techniques, guided meditative painting, and meditative sculpturing with clay. It is also beneficial when we challenge ourselves to experience an expanded awareness as we practice mindfulness in our numerous everyday experiences. In this way, the integral transformation process acting in our personal lives may begin to extend our limited consciousness, guiding us forward toward reclaiming our birthright to becoming a whole person, integrated in body, mind, soul, and spirit.

Transformation of Limited Consciousness in Professional Life

Transformation of our personal limited consciousness is an essential condition for transformation of our professional life. When we undertake a personal transformational process, we will, as a consequence, also extend the limited consciousness of our professional organizations.

What is the purpose and the nature of transformation in the marketplace where business organizations have to earn money, generate an acceptable return on equity, and increase the value of their stock in order to remain solvent and satisfy their stakeholders? What is the value of adhering to moral principles and ethical business practices in the satisfying of corporate goals? How does the transformation of limited consciousness in our personal life affect the transformation of limited consciousness in our professional life? Are the two at odds, or is the possibility of corporate success in fact enhanced when the responsibility for the achievement of corporate goals is entrusted to individuals who have at least begun a process of personal transformation?

It is common for those of us who have struggled up the corporate ladder of "success" to have completely separated from our original sense of the supernatural with which we are born. When we are suffering from a personal, internal disconnection, but do not know why, we are rendered unable to pursue a course of action which will reestablish our wholeness. The need to build essential bridges to our soul which can lead us to our unconscious, wherein lies the necessary energy and creative potential to begin the expansion of our severely restricted consciousness, remains unrecognized and thus unfulfilled. How can we undertake a corporate transformation which involves educating, facilitating, and guiding employees toward increasingly moral decisions and ethical practices if we are personally destabilized and weakened? It is all the more difficult when we are also suppressing our dark side, repressing it into the shadow out of which it then again and again bursts forth, expressing itself in a fashion which is self-destructive, societally inappropriate, ethically indefensible and ultimately, professionally damaging.

Often it takes a painful experience of failure, a serious life crisis in order to “shake us up” and help us to find our way back to reestablishing the essential connection to our psychic and spiritual dimension. This turning point in our life presupposes an initiation in the form of a personal revelation. Only as a result of this insight can our inner growth develop, allowing us to integrate our dark side into our Self, and by so doing bring it under our control. To become accomplished in this growth may take daily meditative exercises over many years, but it is only when this integration has occurred that we will increasingly embrace sustainable ethical practices and moral actions, not simply because we recognize the value in doing so, but because we cannot do otherwise. Collective change and transformation must be undertaken by individuals within the collective who have realized their Self or are at least committed to becoming a completely holistic person. They must fully understand the value of a personal balance of body, ego-consciousness, soul, and spirit, as well as how their personal transformational journey is intricately interwoven with real, measureable, sustained success in the corporate world.

We are the only sentient beings who have a consciousness and are able to expand that consciousness by transformation. This incredible blessing carries with it the responsibility for improving both ourselves and the corporate world in which we participate. Our journey of transformation makes this possible. In order to effect desirable changes in the attitudes and decisions of the entrepreneurs and managers in the business world, we must both speak their language and demonstrate empathy toward their various, often complex, and conflicting demands. We must also present powerful, compelling business cases to clearly illustrate the corporate value of our suggestions.

Many senior managers have, or are well, on their way to having severe psychological challenges including burnout, depression, excessive anxiety, and debilitating fear. They only continue to be competitive in their positons by resorting to temporary compensations and projections. They suffer in a world where volatility, uncertainty, complexity, and ambiguity (VUCA) have never been so rampant and where disruptive innovations destroy old, often stable, technologies in the process of creating new, often unstable, ones. The expression VUCA was introduced by the US Army College (Stiehm and Townsend 2002: 6) with the term gaining popularity in the 1990s. It is now frequently used in literature pertaining to the world economy

(Johannsen 2006). We are ourselves more and more volatile, uncertain, complex, and ambiguous, and as individuals, we project these qualities onto the collective. We are the reason for this dilemma, but for the large part, we neither realize nor accept this reality. Our comfortable world view is that it is always others who are responsible. But it is our responsibility as individuals to change and improve the world in which we live. The nature of this change inevitably necessitates growth which may only be achieved through personal transformation.

The Power of One

When you change, the whole world changes! (ZEN)

Each of us who is committed to the process of personal transformation must act as a catalyst for others who continue to suffer from a lack of realization of the Self, encouraging them to begin their own personal transformation process. We must be proactive in our encouragement, presenting and disseminating information, such as this handbook aspires to do, facilitating support groups composed of a mix of colleagues who are at various stages along the transformational journey, and searching out those who have already put in the necessary time and effort to initiate significant inner growth and who are now willing and able to offer specific practical suggestions to others who continue to struggle. Only then will the collective begin to slowly change, because the change that is necessary in the many is only exemplified by the few individuals who have undertaken the difficult process of psychological and spiritual maturation.

When I spoke with Duerckheim concerning my own traumatic personal and professional crisis in 1985, he encouraged me to understand and accept that wherever I work in our society, and especially in the economy, that whatever responsibility I assume, the blessing of my work will always depend upon my depth and maturity as achieved through my personal transformation. We frequently expect change from others, including groups, societies, and institutions, but the challenge lies in that only individuals can witness their inner world, not collections of individuals, regardless of their best intentions.

Further, he added: “Only an individual can witness his inner world, not a group, not an institution, not a society.”

In his commentary on the Aion Lectures, Jungian author Edinger (1996) states convincingly that the Aion of Aquarius will generate individual water carriers. This means that the psyche will no longer be carried by religious communities but instead it will be carried by individuals with expanded consciousness. This is the idea C.G. Jung puts forward in his notion of a continuing incarnation, the idea that individuals are to become the incarnating vessels of the Holy Spirit on an ongoing basis.

It is not sufficient to “talk the talk,” to be a corporate missionary preaching the need for change through personal and subsequent corporate transformation, rather what is needed for enlightened individuals is to “walk the walk” by:

Managing differently!

When we are successful managers, our colleagues will notice. They may even begin ask us for advice or even pay the ultimate compliment of beginning to copy us. In this manner, the transformation of our entire company will be accelerated.

It is my observation that the majority of managers today are resistant to change. The majority are either completely content with the status quo or are too fearful to attempt changes. The innovators must become our target group for transformation. It is not easy for managers who promote innovations to gain acceptance from others. Change is generally feared. It may fail. Only when we have gained the respect and confidence of our colleagues as a result of demonstrating an effective and secure management approach will others trust our judgment when it comes to encouraging future innovations. What do the business cases which can be made for changing direction, cases that call for innovative actions which can be expected to encourage the type of transformation which will positively influence the entire company, have in common?

The New Sustainability and Personal Responsibility

The greatest common predictor of success is when the transformation is supported by a new definition of sustainability.

As previously introduced, Duerr's (Ropers 2012: 19) benchmark for a new concept of sustainability is:

Making Living Livelier

When someone engages in the Buddhist "wheel of life," it is not sufficient to simply maintain the status quo, but rather there is an obligation to improve life. This is very challenging, with enormous practical consequences when applied, but the positive personal, societal, and economic results are worth the effort. It is essential that **responsibility and sustainability** be enshrined as combined goals and practices within the framework of transformation in the economy. Only through the acceptance of these two attributes is the power to change individuals, companies, and the environment possible. Too many companies continue to view their employees as expensive commodities and treat them accordingly.

Sustainable Corporate Responsibility (SCR)

This refers to the responsibility experienced at the level of the collective, the sum of the individuals within a corporation, and works top down from the chairman to the board of directors to the CEO and so on down through all levels of employment. Like individuals, a company also has an identity and a mask, what Jung refers to as the persona and the shadow. On the outside, trying always to create a good impression the mask reflects empathy and competence, while everything unpleasant, irresponsible, or deceptive is forced into the shadow. For some, the shadow is integrated and controlled, but not for many. Just like egocentric individuals, many companies behave as if they are stuck in a state of childlike socialization, self-centered and inflexible. Of course, there are ethical managers who continue to manage responsibly even under duress, but these are much too infrequently encountered and appear to be in the minority. Current media outlets more often inform us of those who freely live out their dark side, making ego-centered decisions which result in following reckless and irresponsible business practices. Balance sheets are manipulated, supervisory bodies are either not informed or misinformed, discussions are undertaken with competitors regarding pricing, market shares and distribution of customers and markets are manipulated. At the extreme, bribery, perjury, deception, lies, and corruption are employed, often causing personal and environmental harm, all for individual gain at the expense of the company, and all too often without a guilty conscience due to the lack of a moral compass. My observations and experiences lead me to believe that in the last 20 years, ruthlessness has increased appallingly. Mutual trust has disappeared and the differences and difficulties which inevitably result are now more often dealt with by the courts.

Meaningful Personal Engagement

During my years as a senior manager, I developed a model for sustainable personal leadership. In the model, individual responsibility for **sustainable leadership** has five vectors. They may be considered transformational processes. The following four vectors are focused upon yourself, your boss, your team, and your colleagues:

1. Within oneself
2. Below oneself
3. Above oneself
4. Horizontal to oneself

The final vector is directed toward all outside stakeholders such as customers, suppliers, competitors, stockholders, and the community at large:

5. Outside of the company

If we are serious about applying the elements of the described transformational processes, we must assume responsibility for the following five developmental programs:

1. ***Developing Ourselves***

This process was the content of the Personal Transformation section. There are two very important questions to be considered when interacting with others:

- What is my dark side, my shadow which I have to integrate in order to avoid having others feel hurt?
- How can I help to make other’s lives livelier?

2. ***Helping Others to Develop***

The effectiveness of our style of leadership is crucially dependent upon the status of our internal development. We must model effective leadership by helping those for whom we are responsible to move toward the new sustainability. The real challenge for company executives is the promotion of our employee's personal development. Individual employees are the key to transformation.

Psychological harm creates the same impulses in the brain as if it were physical harm. If you abuse another person psychologically, it is as if you have beaten and injured this person, causing both physical and emotional harm. When individuals are not valued, physically, psychologically, and emotionally, their consciousness is likely to be directed against the company.

There is a powerful and encouraging trend occurring. It is estimated that almost 30% of the younger generation, those between 20 and 35 years of age, the so-called millennials, wish to improve upon the work life experienced by their parents. This shift in values is changing the basis of responsibility in the economy dramatically. Their priorities include a work-life balance; flexibility and freedom; community and cooperation; opportunity and gender equality; participation, integrity, and transparence; self-realization; social responsibility and sustainability, authenticity, and diversity. Many companies still trapped in the so-called old economy are experiencing difficulties in being competitive in hiring the best new employees and subsequently in operating efficiently.

Soren Gordhamer, author of the book *Wisdom 2.0: The new movement toward purposeful engagement in business and life*, along with leaders from ZYNGA, PayPal, Google, Microsoft, LinkedIn, and CISCO, and others, organized and participated in the first Wisdom 2.0 Conference in Mountain View, California, with great success. Many conferences followed with the numbers of participants steadily and encouragingly increasing. The common theme of these conferences has been that mindfulness provides the entrance into compassion and spiritual development. Gordhamer (2013) makes a powerful case for mindful awareness being able to change employee's mindsets in a most positive and welcome fashion. These companies are now supporting the inner growth of their employees with great success. There is an intense desire by those of the younger generation to work within a company that takes their values seriously. Those companies which accommodate this desire are the winners. They attract the most talented employees and, as a consequence, enjoy the greatest productivity. At present, this paradigm shift is occurring only within companies, the true measure of its success will be whether it has an influence on the larger market place.

Those stuck in the old economy must change or they will become impotent in the economy. Some companies are now offering training in mindfulness because it is "in," with the sole intention of enabling employees to better concentrate on their work. This is admirable but shortsighted. Sustainable leadership must focus upon inner growth with an orientation dictated by and directed toward the person being led, taking into consideration the individual's irreplaceable personal strengths and contributions. Therefore, there cannot be a single leadership style. Each individual's distinctive contribution makes the difference.

3. ***New Sustainability: Supervisors***

When a supervisor progresses along a path of inner development, the benefits will include greater employee cooperation and contentment and greater corporate productivity. If supervisors are inflexible, adhering to a "top-down" management style, enlightened employees are considered a risk because supervisors see their inner strength as a potential threat to their tenuous hold on power. In this situation, any meaningful progress toward increasing productivity will be frustratingly slow for employees and supervisors alike. Patience is paramount. Improvement in the development of mutual respect and tolerance is never complete; it is a dynamic process always remaining a work in progress. Innovative change is a significant challenge!

4. ***New Sustainability: Colleagues***

Colleagues are either friends or competitors, and in any group of employees, their progression toward maturity will vary considerably. Since all employees must be expected to contribute to the success of the company, a wise approach is to facilitate a team spirit with your colleagues where inclusion and mutual support are priorities, as opposed to exclusion and competition. In an environment where compassion and empathy are encouraged, employee satisfaction and productivity will blossom.

5. ***New Sustainability: Outside Partners***

A manager who has progressed in inner growth becomes the ideal person to interact with customers, suppliers, shareholders, analysts, politicians, union members, and all other direct and indirect stakeholders in the company. The individuals who constitute all of these factions will understand that this manager is someone special, different from those representing companies which appear to be constantly struggling with human resource issues. They will observe that a manager with inner confidence makes living livelier for everyone with whom this individual interacts, and in time, they begin to understand what sustainability means to this company. As trust in the manager's reliability develops, the business gains a progression of important advocates which can help it to successfully move forward.

Organization and Structure

Even in a modern and democratic society, many corporate organizational structures and operational processes remain inspired by a military model. Too often, the particular model which a business has adopted is credited with its apparent success, without really investigating the actual nature of the underlying core strength of the company. The result may be that profitability is inadvertently being used to justify habitual practices which do not prove to promote long-term sustainability. To investigate the sustainability of any organization, we must distinguish between its structural and substantive expertise, the organizations rank, and level. Rank refers to the hierarchical positioning of personnel and distribution of responsibilities within the organization. Level refers to Duerckheim's (1954) concept of spiritual maturity, that which is in accordance with Jung's individuation. (Jung 1959). In order to best ensure the success of an organization, and the sustainability of that success, reorganization within the organization must be made with full consideration of, and in accordance with, both the rank and the level of maturity of the individuals being repositioned or promoted.

A reasonable assumption is that the higher we climb in rank and the greater the resulting breadth and depth of our inner experience, the greater the progression of our maturation, especially from mid-life onward. Ranking highest in the organization is the chairman of the board. The person filling this position has hopefully also achieved the greatest inner maturity. When this is the case, the chairman will ensure that the executive board is populated by individuals with high levels of wisdom, compassion, and maturity. The executive board members will then fill leading managerial positions with people who are "essential," those who have pursued and attained significant inner growth. In most cases, it is not yet possible to hire sufficient numbers of individuated people who also have managerial expertise, but at the very least those hired into leadership positions **must**, through their authenticity, be able to win the hearts of their employees by being consistent, compassionate, and empathic. They must manage with soul. An employee who has embarked upon a path of maturation through transformation will slowly but steadily make personal and professional choices which will lead to positive changes in both personal and professional life. It is an important responsibility of those entrusted with top management positions to facilitate this growth.

Among board members and top executives, there will always be competition for better fiscal results and greater individual recognition by the supervisory board. Unfortunately, a manager who is functioning at a "low" level, employing intensely ego-centered dynamics, can still generate good short-term results by utilizing suspicious, often unethical, practices. However, in today's transparent world, it does not take long for the imposter to be detected. A manager at a "higher" moral level, one who has undergone substantial inner growth, will always win in the long run. Tolerance, serenity, and confidence will produce an advantage over unethical, short-sighted competitors. Quarterly and yearly results remain important, but increasingly the question of how these results were achieved, especially whether it was in a sustainable fashion, is becoming the greater focus of evaluation. The promotion of immature managers from low levels to higher ranks has catastrophic consequences for any corporation!

Integration of the Dark Side

For too long, "ethical management" has consisted primarily of ordering others to do "good." This "old ethics" demanded that we either isolate and repress our dark side or deny its existence altogether. In the "new ethics," as espoused by Neumann (1990), recognition is given to the fact that we all must be fully conscious of our dark side so that by integrating and controlling it, we are able to limit its ability to control us. There is no doubt that the economic process is dependent upon the enormous energy generated by the dark side. We will not find this in textbooks on economic theories and will only rarely hear it stated in discussions of economic management, but from the point of view of Depth Psychology, it is crystal clear that our dark side supplies the vital energy which drives innovation and the passion necessary for increasing power and profit.

It is perfectly acceptable, desirable, and even necessary that young people continue with the development of their ego-consciousness well into mid-life as long as they do not harm others or the environment. These ego-centered, knowledge- and performance-oriented young adults who are oriented toward recognition, success, and material wealth are driving the economic process, keeping it vital, competitive, and innovative. These driving forces are not a priori bad. Properties which are a necessary consequence of the maturation of the individual do not necessarily harm their fellow human beings. But attributes such as evil cunning, greed, deceit, meanness, egotism, and selfishness are specifically intended to damage others and therefore cannot be accepted as an engine for the economy. This is the standard for the determination of which personal attributes are likely to foster rather than harm sustainability, helping us to determine which are acceptable in the economy.

The ethicist Peter Knauer (2002: 28) wisely observed: "'Bad' is only bad when it damages others." Or as I was told by Schwery, Jung restated this concept as: "To be only good is bad!" What is being recognized in these statements is that when we suppress and repress the "not good," it will suddenly and unexpectedly emerge from the shadows and overpower us. What is essential is that there are mature supervisors who limit the actions of the expression of the dark side by the ego-consciousness of the younger employees. If this occurs in a top-down, traditional hierarchical fashion, there will be limitations imposed upon those egocentric behaviors which may well be detrimental to the competitive success of the enterprise. It is therefore the responsibility of managers at the higher levels to allow the "good" and the "bad," the light and shadow side of the younger employees to unfold in a way that is to the benefit and not to the detriment of the environment, the company, the employees themselves, and all other stakeholders. Experience will teach all of us that as managers, it is essential that we become aware of our own dark side and learn to handle it. We must be able to detect when our dark brother or sister within us wants to take over as the director and be on guard that we never agree to the enticing offers but rather follow the intuitive, quiet but firm, wise guidance to which we all have access through our deepest intuitions.

Mergers and Acquisitions, Splitting, and Divestitures

Decisions around these corporate strategies have a major impact on companies. While they may be enticing short-term possibilities undertaken with initial enthusiasm by aggressive managers, they often result in a loss of both long-term viability of the companies involved and even more importantly the loss of ethical and moral credibility which may have taken years or even decades to establish. These strategies are generally undertaken by managers who lack the awareness which accompanies personal transformation.

Mergers and acquisitions must not be born out of the ego-centeredness of individual executives but must be decided upon and implemented in accordance with the principles of sustainability, ethics, and morality, with an important criteria being whether the decisions will result in value-enhancing and life-enhancing opportunities for everyone involved. The advice of management consultants and investment bankers must never be followed blindly. Their corporate priorities may often be diametrically opposed to that of a client company and of all of its numerous and diverse stakeholders. It takes a unique expertise along with an inner maturity in order to decide upon whether to accept or reject what other "experts," with their corporate agenda, propose. By the time their advice proves to be disastrous for your investors, the experts are long gone. Many acquisitions and mergers fail to pay dividends. My educated guess is that it could be as high as 50%. They are very risky undertakings! When they do fail, many people suffer. Examples are rampant all over the world.

Why is the failure rate so high? Too often companies invest in businesses which are not in alignment with the purpose and competence of the investing company. Mergers may also result in new organizations which no longer honor ongoing transactions, promises, and bonuses which were previously agreed upon. Greed for excessive profits sets the stage for immoral behavior and unethical practices. Who ultimately pays the price for shortsighted, immature, and irresponsible corporate decisions? Employees, taxpayers, and all other stakeholders. Individual sectors of a company are often sold off for too low a price because they are no longer considered core business and are perceived as a liability of which the company wishes to divest itself. The selling company is harmed and its stakeholders disadvantaged by the failure of management to demand and receive a fair return for the sale of the sectors involved. When a decision is made to sell off certain activities, some of the business and the employees attached to the transferred business will often become the responsibility of the owner of the new company. The selection of a purchaser must be very carefully considered, with thoughtful deliberation given to ensuring that the best interests of the employees who will be affected are addressed. This is an example of forward looking, proactive ethical behavior in the corporate world which encourages sustainable business practices. Unfortunately, all too often, the divested business is simply sold to the highest bidder!

Splitting and divestitures of assets lead to a loss of established identity within the workforce. They present the opportunity for previously hard-earned good will to be lost and considerable reputational damage to be done when formalized or informal promises are broken. Management can lose a positive reputation which it may have taken years to foster. Once trust is lost, the motivation of the remaining employees can plummet as they begin to fear that they too may be sold off, without regard for established agreements and promises made.

Sustainable Supply Chain Responsibility

The flow of raw materials, products, and services into a company is called a "supply chain." Modern supply chains are highly interconnected and complex. A single company can influence a wide ranging and diverse supply chain. This sphere of influence is increasing with the expansion of globalization. The supply chain is like an octopus with tentacles which can extend over the entire world. The conditions of production undertaken by the suppliers, and by those supporting the entire chain which leads all the way back to the factory, need to be guided by ethical guidelines. When companies are guided by ethical practices which encompass sustainability and respectful treatment of the environment and of their personnel, the motivation of the various players all along the supply chain is greatly enhanced. The power within these chains is vested in the largest players, especially the ones who dominate certain industries, materials, or applications. This power brings with it an increased responsibility for these companies and their management to ensure fair and equitable treatment of everyone who is a link in the chain.

Sustainable Customer Relations

Only a company which is itself in ethical balance can properly handle caring for its customers. My corporate experiences in Germany lead me to the observation that marketers and suppliers who are consistently kind, generous, open, honest, understanding, and empathetic are extremely successful in the marketplace. Their numerous satisfied customers reward them with their loyalty. The secret of many successfully innovative companies is proximity and convenience. When customers have easy access to a company's products as well as personal, knowledgeable, and reliable service, they will remain loyal and be reluctant to switch to a new vendor. A corporate effort to focus upon customers, enhancing their experience by making them feel valued, is the royal road to business success! In this way, by including customers in your own transformational process, you also enhance their transformation.

Sustainable Environmental Responsibility

For the Dalai Lama, true religion always embraces transcendence – a recognition of the wholeness and the perfection of all of creation. He often speaks compassionately about our world, about its ecology, the need for sustainability, and, sadly, about our lack of environmental awareness. Compassion refers not only to our fellow human beings but embraces our responsibility to all of creation. The rapid pace of modern life, including our rush to employ technological advances regardless of the consequences, has resulted in the loss of our connection to nature, which was both a major source of joy in our lives and possibly also the most reliable guarantee of a successful, sustainable livelihood.

Responsible corporate transformation must always include the goal of sustainable environmental responsibility.

Gifts from Within: Intuition, Creativity, and Innovation

In addition to previous suggestions of avenues for transformation toward greater ethical awareness and moral practices, intuition is another powerful resource for transformation. However, a precondition for being able to trust our intuition is that we must have achieved considerable inner maturity. Intuition, when tempered by maturity, is a powerful source of creativity!

Managers have an obligation to participate in the creative process of decision-making. Decisions of immediate relevance and those which will have an important future impact can be made with far greater assurance of positive outcomes when we are on a pathway which is leading toward inner growth, allowing us to be able to work in the world around us creatively. When we undertake transformation in this fashion, the entire company is transformed. Our leadership style is a powerful determinant of our company's innovative potential. As managers are we open, receptive, and trusting of ideas which arise intuitively, or are we crippled and limited by only relying upon our intellect, our ego-consciousness? Companies which lack the ability to generate reliable innovative ideas are destined to fail. Short-term cost cutting and misguided half-hearted efforts at one efficiency initiative after another are egocentric in origin and doomed to failure. Being able to reliably act upon our intuition is what gives us a competitive edge. A shotgun approach at attempting to find efficiency targets which work destroys creativity. Employees are left feeling vulnerable, fearful that their jobs will be eliminated during the next attempt at greater efficiency.

Innovations are dependent upon intuitions, but intuition comes from the Latin *intueri*, "to turn inward." Meditation is an excellent method of accomplishing this inward vision. Meditative practices lead us into ourselves, allowing intuition and inspiration to arise from our unconscious, often quickly and unexpectedly.

Another Gift from Within: Resilience

Resilience is a gift available to all of us who allow our inner growth to develop. When we follow an integral approach to transformation, we become more resilient to the myriad temptations for immoral actions. We also become more resilient to burnout, depression, and numerous psychological and physical disorders. The many and diverse publications on the market which address burnout and depression are evidence of the suffering that our fast-paced, impersonal, egocentric high-tech world society is experiencing. The term "resilience" originates from the field of physics. It refers to the elasticity of a material, from Latin *resilire*, "to recoil."

Dorst (2015: 13) writes, "The word resilience has become increasingly important in many areas of psychology, psychotherapy, counseling and coaching in recent years. We can understand resilience as a kind of psychological immune system, which includes internal stabilization and healing powers. Resilience is the answer to the questions:

- How can people overcome difficult life crises and traumas without any lasting damage?
- How can children and adults continue to grow despite the adverse conditions of life?
- How can people maintain their mental and physical health and find joy in life?"

How can we achieve resilience? Scientists and therapists are now mostly of the opinion that we can deliberately build up resilience with our mind. A break from work, changing the nature of our work, or working less are recommended as a beginning. If at the same time we employ relaxation techniques, sports, and healthy eating, the effects are enhanced. This all sounds very positive, but are we actually looking in the wrong places for the cause of burnout? Are we ignoring the underlying cause while only tinkering with the symptoms? The causes have traditionally been sought in the outside world, our inner world once again being ignored. It is far easier to ascribe blame to factors outside of ourselves than to a lack of exploration of our inner reality.

Burnout may be initiated by outside factors. But my extensive experience in the business world, along with my spiritual insights, leads me to the belief that the underlying reason why those factors result in a breakdown can be found within! I believe that burnout is caused by the implosion of our ego. When our ego collapses due to personal traumas, health issues, professional failures, and a barrage of numerous other pressures from the outside world, most of us have not developed the internal resilience to be able to withstand the collapsing of our ego. This has become an endemic problem. Internal growth is a necessary prerequisite for healing, but we most often ignore this immensely satisfying and effective remedy and rely instead upon the outside world for answers to our inner dilemma. Undertaking psychological or spiritual training while being receptive to transforming ourselves and our workplace will inevitably increase our resilience to stress as a result of the consequent growth of our inner maturity.

Summary

Embarking upon an integral approach toward transformation from limited consciousness to an extended consciousness in our professional life is supported by transformational efforts in our private life. Only individuals who have personally experienced progress in transformation will be able to assist in the transformational processes of their colleagues and business enterprises. We cannot delegate this task. It is not a job for outside consultants who have not experienced a personal transformation. We must personally lead those who we wish to follow us.

It is encouraging that respected spiritual leaders are beginning to inspire more and more companies to employ mindfulness and compassion as part of their corporate identity. The Vietnamese monk Thich Nhat Hanh has guided CEOs of some of the world’s largest technology companies in the art of mindfulness and compassion, and the Buddhist master David Steindl-Rast sometimes speaks at the Wisdom 2.0 conferences.

All efforts at expanding our awareness while engaged in our everyday activities will reward us with numerous opportunities for inner growth. When we embrace transformation in our personal and professional lives, others will notice and will follow. They will begin to see the wisdom in Hans Peter Duerr’s advice for transformation:

Make Living Livelier!

Cross-References

▶ Activating the Corporate Soul
▶ Enabling Innovation with Human Values: A Recipe for Transformation
▶ It's Not What You Do, It's Who You Are
▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
▶ Self-Awareness in Personal Transformation
▶ Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership
▶ Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology
▶ The Neurobiology of Personal Transformation
▶ The New Leader as Spiritual Hero: The Way of Awakening
▶ The Truth about Transformation: One Person Can Change the World
▶ Transformative Leadership

References

Adler G, Hull RFC (1967a) Collected works of C.G. Jung, vol 8. Princeton University Press, Princeton, p 505
Adler G, Hull RFC (1967b) Collected works of C.G. Jung, vol 16. Princeton University Press, Princeton, p 352
Aurobindo S (1993) The integral yoga. Sri Aurobindo Trust, Pondicherry
Campbell T (2007) My big toe: awakening discovery inner workings. Lightning Strike Books
Dorst B (2015) Resilienz (Resilience). Patmos Verlag, Ostfildern
Duerckheim GK (1954) Durchbruch zum Wesen (Breakthrough to essence). Max Niehans Verlag, Zurich
Duerckheim GK (1984) Von der Erfahrung der Transzendenz (About the Experience of Transcendence), Herder Verlag, Freiburg, Germany
Edinger E (1996) The Aion lectures: exploring the self in C.G. Jung's Aion studies in Jungian psychology by Jungian analysts. Inner City Books, Toronto
Gebser J (1986) Gesamtausgabe (Collected works). Novalis Verlag, Steinbergkirche
George A (2003) The epic of Gilgamesh. Penguin Classics/Penguin Group, New York
Gordhamer S (2013) Wisdom 2.0: the new movement toward purposeful life engagement in business and life. Harper Collins Publishers, New York
Herrigel E (1953) Zen and the art of archery. Pantheon Books, New York
Johannsen B (2006) Get there early. Sensing the future to compete in the present. Berrett-Kohler Publishers, San Francisco
Jung CG (1959) The archetypes and the collective unconscious. Princeton University Press, Princeton
Jung CG, Adler G (1973) C.G. Jung Letters I, vol 146. Princeton University Press, Princeton
Jungian Center for Spiritual Sciences. www.jungiancenter.org. New York
Kinslow F (2008) The secret of instant healing. Hay House Inc., Carlsbad
Knauer P (2002) Handlungsnetze–Über das Grundprinzip der Ethik (Action Networks–About the Basic Principle of Ethics), Books on Demand GmbH, Frankfurt/M., Gernaby
Kramer EM (1992) Consciousness and culture: an introduction to the thought of Jean Gebser. Praeger Frederic, New York
Mc Kenna S (1992) Plotinus: the enneads. Paul Brunton philosophic foundation and Larsen publications, Burdett
Meyer-Galow E (2013) Living in the golden wind. Verlag Frieling und Huffmann, Berlin

Neumann E (1990) Depth psychology and a new ethic. Shambala Publications, Boston
Owens L (2012) C.G. Jung and the red book. MP3 download. www.gnosis.org/redbook
Ropers R et al (2012) Was unsere Welt im Innersten zusammenhält. (What our world keeps inside together) Scorpio Verlag, Berlin/Munich: Germany
Roth TL (2014) How traumatic experiences leave their signature on the genome: an overview of epigenetic pathways in PTSD. Frontiers in Psychiatry, Lausanne, Germany
Schwery W (2008) Das Böse oder die Versöhnung mit dem Dunklen Bruder (The evil or the reconciliation with the dark brother). Publisher Koenigshausen und Neumann, Wuerzburg
Shamdasani S (2009) The red book (Philemon) of C.G. Jung. Philemon Foundation/W.W. Norton&Co., New York
Stiehm JH, Townsend NW (2002) The US army war college: military education in a democracy. Temple University Press, Philadelphia
Von Ludwiger I (2013) Das Neue Weltbild des Physikers Burkhard Heim. Komplett Media Verlag, Grünwald
Watson RA (2002) Cogito ergo sum: the life of Rene Descartes. David R. Godine, Boston
Wilber K (2000) Integral psychology: consciousness, spirit, psychology, therapy. Shambala Publications, Boston
Woods R (2011) Meister Eckhart: master of mystics. Continuum International Publishing Group, London

Improvisation and Transformation: Yes to the Mess

Frank J. Barrett, Julie Huffaker, Colin M. Fisher, and Didier Burgaud

Contents

F. J. Barrett (✉)
Graduate School of Business and Public Policy, Naval Postgraduate School, Monterey, CA, USA
e-mail: fbarrett@nps.edu

J. Huffaker
Fielding Graduate University Fellow, Santa Barbara, CA, USA
e-mail: julie@deeperfunner.com

C. M. Fisher
University College London, London, UK
e-mail: colin.fisher@ucl.ac.uk

D. Burgaud
Head of Consulting – Qualintra, Geneva, Switzerland
e-mail: D.Burgaud@qualintra.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_6

Abstract
The field of organizational change has chiefly been studied from a teleological perspective. Most models of change emphasize action that is rational and goal oriented. What often gets overlooked and under theorized is the continuous, iterative nature of organizational life, the unplanned and serendipitous actions by and between people that lead to new discoveries and innovation. Recent research on organizational improvisation seeks to explore this area. In this chapter we will address two questions – what is the experience of improvisation and what are the conditions that support improvisation to flourish in organizations?

In the first part of this paper, we look at the phenomenology of improvisation, the actual lived experience of those who improvise in the face of the unknown or in the midst of chaotic conditions. We will explore the strategies that some professional improvisers employ to deliberately create the improvisatory moment. We will then look at the dynamics of organizational life and explore the cultural beliefs, organizational structures, and leadership practices that support improvisation. We will draw primarily upon the model from Barrett (2012) that focuses on the how the nature of jazz improvisation and the factors that support improvisation can be transferred to leadership activities. This falls in the tradition of others who draw upon arts-based metaphors, including jazz music and theatrical improvisation, to suggest insights for leadership and ways of organizing.

Since this is a book devoted to individual transformation as well as organizational transformation, we will also touch on the topic of how improvisation is a developmental project and explore the potential for improvisation to lead to personal transformation. We will attempt to move back and forth between both themes – organizational and personal transformation. Ultimately the two topics are not separate. Any significant organizational transformation begins with an improvisation. And any meaningful improvisatory move by a person is potentially a moment of self-discovery and an identity-shaping event.

Keywords
Improvisation · Organizational improvisation · Jazz · Theatrical improvisation · Leadership · Leadership practices · Innovation

Introduction

Over the past two decades, improvisation has moved from fringe exploration into mainstream organizational literature. Initially viewed as a dysfunctional phenomenon, improvisation later was considered a more beneficial – if subversive – practice, then intentional strategy. Study of organizational improvisation has appeared across diverse disciplines, including organizational innovation (e.g., Barrett 1998, 2012; Brown and Eisenhardt 1998), change management and technology change (e.g., Effah and Abbeyquaye 2014; Orlikowski and Hofman 1997), creativity (Fisher and Amabile 2009), and organizational learning (Miner et al. 2001; Vendelø 2009). Organizational improvisation also appears in the new product development, project management, and organizational adaptation and renewal literatures (e.g., Eisenhardt and Tabrizi 1995; Leybourne 2009; Crossan et al. 1996).

Organizational scholars have shown that improvisational culture, structures, and processes can proactively create change and innovation in response to internal and external triggers (e.g., Brown and Eisenhardt 1998; Charles and Dawson 2011; Ford 2008; Orlikowski and Hofman 1997). Improvisation now has attention as a valuable strategy (Cunha et al. 2014; Hadida and Tarvainen 2014) with attention focused on how to do it well (Vera and Crossan 2005; Vera et al. 2014). Following Montouri (2003), improvisation is the existential, phenomenological experience of living in a complex world.

Some scholars argue there are untapped insights for organizational improvisation available through consideration of theater improvisation and jazz (Kamoche et al. 2003; Weick 1998). Without full understanding of improvisation in contexts designed for its success, they warn, scholars run the risk of "grafting" aspects of improvisation, which is inherently change-oriented, onto traditional organizational concepts designed to explain order (Weick 1998).

The literatures on theater improvisation and jazz also have the advantage of making process transparent so that the act of creating, rather than merely the final product, is focal. Looking at the process of improvisation, including the fits and starts, the corrections, and retrospective sense making, gives us a fresh view into the process of transformation.

The Experience of Improvisation

The Draw of Routines

Routines are useful on both the organizational and individual level. The sociologist Robert Merton (1940) outlined how modern bureaucratic organizations rely upon routines in order to function. Building on Max Weber, Merton writes that modern organizations are formal, rationally organized structures with clearly defined patterns of activity that serve to realize a previously defined function.

> Formality is manifested by means of a more or less complicated social ritual which symbolizes and supports the 'pecking order' of the various offices. Such formality, which is integrated with the distribution of authority within the system, seeks to minimize friction by largely restricting (official) contact to modes which are previously defined by the rules of the organization. Ready calculability of others' behavior and a stable set of mutual expectations is thus built up. Moreover, formality facilitates the interaction of the occupants of offices despite their (possibly hostile) private attitudes toward one another.... specific procedural devises foster objectivity and restrain the 'quick passage of impulse into action. (Merton 1940, p. 560)

Restraining the "quick passage of impulse into action" is a way of saying that formal structures in modern bureaucracies seek to drive out improvisation. What they gain in predictability and reliability, they give up in "on the spot" responsiveness. Over time, no wonder certain individuals develop what Merton called the "bureaucratic personality," accustomed to closing out parts of experience that do not fit ready-made categories, the tendency to develop stereotyped behaviors that do not adapt to the exigencies of changing contexts. Over time it becomes increasingly appealing to shut out parts of the world for which a ready-made skillful response is not available. Such maladaptive responses can lead to what Veblen called "trained incapacity" (in Burke 1984).

Maladaptive responses and loyalty to outworn routines can impede organizational learning. Further, reliance on routines may be impossible as organizations embrace post-bureaucratic structures, in which "systems are interdependent across firm boundaries, performance is disembodied from ownership of assets, production and communication change rapidly" (Kellogg et al. 2006, p. 22). A post-bureaucratic world prioritizes uncertainty, speed, adaptation, rendering futile the bureaucratic search for predictability and routine.

But what about the effect on individuals? What is the cost to the individual who feels comfortable living in securely routinized structures? Here we turn to a nineteenth century philosopher who noticed the trends in modernity, specifically the temptation to live predictable lives of conformity. Soren Kierkegaard was alarmed by those who live lives of conformity and develop a compulsive rigidity that blocks off parts of reality. Such people are too fearful to be open to the possibilities of experience. This is the "immediate man," (sic) the one whose life is marked by automatic and uncritical conformity. As they avoid their own uniqueness and interiority, they live inauthentic lives:

> the immediate man . . . his self or he himself is a something included along with "the other" in the compass of the temporal and the worldly. . .. Thus the self coheres immediately with "the other," wishing, desiring, enjoying, etc., but passively; . . .he manages to imitate the other noting how they manage to live, and so he too lives after a sort. In Christendom he too is a Christian, goes to church every Sunday, hears and understands the parson, yea, they understand one another; he dies; the parson introduces him into eternity for the price of $10 – but a self he was not, and a self he did not become . . .. For the immediate man does not recognize his self, he recognizes himself only by his dress, . . . he recognizes that he was a self only by externals. (Kierkegaard 1849/1954, p. 184)

The immediate man, like the bureaucratic personality, is securely embedded in triviality, lives safely within the security of social rules, is lulled by daily routines, is threatened by anxiety of alternatives, and develops a compulsive character. This person is sheltered by necessity and becomes a slave to conformity by living safely within the predictability of social rules. By failing to cultivate their own interior life, they lose their own uniqueness, the genuine mystery at the heart of who they are, and the authentic emotions and yearnings that remained unexplored. And herein lies the tragedy: getting sucked into standardized activities is tantamount to the loss of self. According to Kierkegaard, this person has not lived. To shape an authentic life on the other hand is to be fully alive, to make leaps of faith without guarantee of predictable outcome, to make commitments toward creating a desired future without predefined or full awareness of where one's actions will lead.

The Excitement and Peril of Unlearning Routines

Routines and rules are useful on so many levels. However, as we mentioned, often in organizations we get caught up in routines that have outlived their usefulness and block the flow of good ideas or good performance and drawing on Kierkegaard, individuals who over rely on routines may be cutting themselves off from an authentic life. We can learn from actors and jazz improvisers who work assiduously to guard against conformity and automatic reliance on routines, strive to get themselves to pay attention to what's happening in the moment, to respond to what is in front of them. They emphasize the need to master the art of unlearning the habitual enactments and seductive routines that have become automatic. They challenge themselves to explore the very edge of their comfort level, to stretch their learning into new and different areas. They work to become more alive, alert, and open to a horizon of new possibilities, sometimes deliberately disrupting their own comfort so that they can pay attention in the moment.

The saxophonist Sonny Rollins was devoted to unlearning outworn routines. He wanted to break himself of the habit of playing what he had been hearing himself play, so for 3 years he went to the Williamsburg Bridge near his home in the lower east side of Manhattan, found a place under the surface of the bridge where he could be alone, and played his saxophone. Each time he heard a phrase that sounded like one of his familiar routines, he stopped, waited a moment, then played something he hadn't heard before. In fact, here's how he talked about his approach:

> As soon as I hear myself playing a familiar melody I take the mouthpiece out of my mouth. I let some measures go by. Improvising means coming in with a completely clean slate from the first note. . . the most important thing is to get away from fixed functions. (in Hamilton and Konitz 2007, p. 103)

Musicians and theater actors monitor the edges of their competence and deliberately explore the limits of their capacity. They throw themselves into actual playing situations "over their heads," stretching themselves to play in challenging contexts. Musicians must also do other things to "trick" their automatic responses so that they do not continue to play well-worn phrases that are predictable and comfortable. Saxophonist Ken Peplowski describes how musicians welcome surprise and willingly abdicate control. He says that

> we have to risk sounding stupid in order to learn something. . .We are always deliberately painting ourselves in corners just in order to get out of them. Sometimes you consciously pick a bad note and try to find a way to get out of it. The essence of jazz is to try to put three to eight people together while they're *all* trying to do this at the same time. (Peplowski 1998, p. 560)

There is a peril in letting go of the certainty of control. When we break open the conventions that we habituate, the known world of certitude is ending. Such disruptions might of course trigger urges that stifle improvisation – the urge to increase control, especially when fear and the voice of shame are prominent.

Improvisers report that they often have to battle with the inner anxiety of losing control, worrying about having enough or being enough. But it would be good for us to remember what improvisers in theater and jazz know that there is another peril to guard against: that living in a mode of fear, protection, defensiveness, and resistance robs us of vitality and creative possibility.

Considering jazz musicians and theater improvisers, how can we apply these provocations to our own lives? How can we stand in a place of wonder? How can we surrender stock responses to awaken fresh perceptions and novel responses, sensitive to emergence and surprise? How can we welcome the liberation of living with this openness to the unknown future?

Unlearning demands faithfulness to the moment and a continual surrender. As Stephen Nachmonovitch wrote: "Surrender means cultivating a comfortable attitude toward not-knowing, being nurtured by the mystery of moments that are dependably surprising, ever fresh (Nachmanovitch 1990, p. 21)." When we are open to the possibility of disrupting habits and entertaining new responses and innovative solutions, we can begin to ask nonstandard questions; we are better able to notice disharmony not as something to be eliminated but as a trigger for new discovery, able to look at the anomalous as a possible way forward rather than a variance to be eliminated. We are able to respond generatively to an unfamiliar situation not of our own choosing.

Infinite Games and "Leaping in"

To embrace the unfamiliar and unexpected, we must examine our own assumptions about the purpose of the work and organizations we are a part of. These assumptions can be thought of as a kind of "game." James Carse reminds us that there are two kinds of games – finite games and infinite games. Finite games are played to win. They involve instrumental activities in which players obey rules, recognize boundaries, master the challenge, and defeat the opposition. Sports activities such as football, marathons, Olympics are finite games. Business strategies designed to crush the competition are finite games. Political races are finite games. Wars are finite games. Players work within the given, fixed rules and boundaries with the purpose of asserting power and victory, thus bringing the game to an end. The player does not expect to be transformed through the act of playing. Finite games are serious.

Infinite games on the other hand are playful. Playing and living as if in an infinite game is not being constrained by rules and boundaries; it means playing around *with* the given boundaries and constraints themselves for the purpose of continuing the game. While finite players seek to assert power, control outcomes, predict action in advance based on what's happened in the past; infinite players love surprise, possibility, unpredictability, and chances to reframe the meaning of the past as the unexpected future emerges. Infinite players expect to be changed themselves, in unexpected ways, through the act of playing.

> Because infinite players prepare themselves to be surprised by the future, they play in complete openness. It is not an openness as in candor but an openness as in vulnerability. It is not a matter of exposing one's unchanging identity, the true self that has always been, but a way of exposing one's ceaseless growth, the dynamic self that has yet to be. The infinite player does not expect only to be amused by surprise, but to be transformed by it. (Carse 1986, p. 23)

What's important for our purposes here in relating to improvisation is to remember that both finite and infinite games are modes of relating to uncertainty. Finite players cope with uncertainty by imposing rules and shortening time horizons. Infinite players imagine distant horizons, welcome surprise, and unexpected futures. The infinite player is an improviser. He/she is like a gardener:

> A gardener, whose attention is ever on the spontaneities of nature, acquires the gift of seeing differences, looks always for the merest changes in plant growth, or in the composition of the soil, the emerging populations of insects and earthworms. So will gardeners, as parents, see changes of the smallest subtlety in their children, or as teachers see the signs of an increasing skill, and possible wisdom, in their students. A garden, a family, a classroom – any place of human gathering whatsoever – will offer no end of variations to be observed, each an arrow pointing toward yet more changes. But these observed changes are not theatrically amusing to genuine gardeners; they dramatically open themselves to a renewed future. So, too, with those who look everywhere for difference, who celebrate the genius in others, who are not prepared against but for surprise. (Carse 1986, pp. 154–155)

The infinite player, the gardener, the improviser have a unique approach to what is deemed knowledge. Improvisers and infinite players project forward, attend to alternative paths that open up, catch an intuitive grasp of what's possible. They "know" by acting "as if" a given scenario is likely and stretching into the anticipated "not yet" future. They "know" by seeing and feeling what a future might be like as they leap in.

Striking a Groove: Accessing Flow through Letting Go

Ironically, even though at least initially one would expect that the letting go of ego triggers fear, the suspension of ego and surrender to the moment can trigger experiences of transcendence. It's interesting to listen to the experiences of those who improvise, the hint of transcendence in their experience, as if they are being uplifted, in a state of flow, overcoming previous identity constraints. When they discuss these experiences of surrender, they speak in spiritual terms, as if the ego was not making a measured decision. They speak about being attuned to their surroundings. Some resort to poetic language and metaphorical constructs as they try to capture the embodied feeling of attunement with one's surroundings. Consider the way jazz musicians talk about hitting a groove. The attunement that they achieve pulls them to new heights; they speak of playing beyond their capacity. They speak in metaphors that relay a sense of ecstasy and joy: waves, surges, sailing, gliding.

> The first time I got the feeling of what it was to strike a groove, it was very similar to how your body is left after an orgasm; you really lose control. I remember that I was playing and grooving and it felt so good, I just started grinning and giggling. (Jazz drummer in Berliner 1992, p. 389)

> When you're really listening to each other and you're performing together, it's like everyone is talking to each other through music. When groups like Dave Brubeck's or Miles Davis's or Art Blakey's play, they have good conversations, group conversations. When that's really happening in a band, the cohesiveness is unbelievable. Those are the special, cherished moments. When those special moments occur, to me, it's like ecstasy. It's like a beautiful thing. It's like when things blossom. When it's happening, it really makes it, man. (Curtis Fuller cited in Berliner 1992, p. 389)

> Relating fully to every sound that everyone is making not only keeps the improvising spirit going, but makes the experience complete. To hear it all simultaneously is one of the most divine experiences that you can have. (Lee Konitz cited in Berliner 1992, p. 389)

The lucid apprehension of groove is not the understanding of the cognitive mind, rather the musicians feel and sense this connection in their bodies. Saying "yes" is an openness and readiness to attune, to resonate with whatever is happening. When they strike a groove, they are *not* consciously thinking, reflecting, or deciding on what notes to play. They seem to aim for a surrender of control, a suspension of rational planning that allows them to open up to a deeper synergistic connection. Further, when this occurs, they seem to be able to play beyond their previously learned capacities.

Players talk about these moments in sacred terms, as if they are experiencing something out of ordinary time.

> When the rhythm section is floating, I'll float too, and I'll get a wonderful feeling in my stomach. If this rhythm section is really swinging, it's such a great feeling, you just want to laugh. (Emily Remeler in Berliner 1992, p. 389)

Not every improvised "yes to the mess" is as pleasurable. Here's a dramatic example that happened a few years ago, a response to the demands of the situation prior to the decision processes of a rational ego.

In 2007 on a subway platform in New York, Cameron Hollopeter, a 20-year-old student collapsed with a convulsion. A few people tried to help him but he stumbled from the platform onto the subway tracks. A 50-year-old construction worker, Wesley Autrey, waiting on the platform with two young daughters, rushed to help him. Suddenly the headlights of a train appeared. Without hesitation Autrey jumped onto the tracks, pushed his body against Hollopeter so that his body was below the level of the tracks. The train was unable to stop. Several cars ran over the men and missed them only by a few inches. The train finally came to a halt and the two men were lying beneath the train. Undoubtedly assuming the two men were crushed to death, they heard the passengers on the platform screaming. Autrey yelled that they were okay and asked that someone let his daughters know that he was okay. Eventually they were extricated from under the train, covered with grease and soot and bruises, but both were unhurt. Autrey was deemed a hero by the press and other

New York City politicians for his unselfish caring act. In interviews later Autrey insisted he was not a hero: “I don’t feel like I did something spectacular. I just saw someone who needed help.” (Buckley 2007).

Clearly this was an improvised action; a situation that summoned a novel response on the part of Autrey. He had never rehearsed this scenario. How do we make sense of this improvisation? A conventional rational decision-making framework would assume that Autrey assessed the situation, considered alternatives, weighed the consequences, then finally made a decision and committed to action. However, this is an unsatisfactory depiction. Autrey was fully embodied in the situation and responded to the demands of the moment, rather like responding when someone throws a ball at you with no warning.

For some, improvisation is a full-bodied risk, a life of intense practical involvement. Such images fly in the face of image of the individual as “in control” or detached observation or planner. We don’t have a rich vocabulary for talking about life as marked by excitement and peril or describing those who live with passionate affirmation – intensely caring, loving, fearing, living in wonderment or fear. This is partially endemic to language itself. Language is by nature symbolic, a placeholder for more immediate experience, biased toward detached reflection. Our language strains and groans under the weight of capturing the meaningful “now.” The present moment, when lived fully, cannot be captured by words. Our language seeks to grasp at the ephemeral, but since the articulation is retrospective, the rendering will always miss the mark. How does one depict a transcendent moment in which one was lost in activity, attentive to the demands of the situation, responding as the moment requires, unaware of chronological time, not paralyzed by introspection or self critique? We are condemned to telling retrospective narratives and because narratives are sequential we end up reinforcing the fiction that we knew what we were doing all along.

Autrey was not engaging a controlling ego. The arrow went in the other direction – the situation was such that it drew out a certain kind of action and called for a response on the part of Autrey. The circumstances were a call, a draw, pulled him to respond in an unrehearsed, spontaneous way. To say that the situation calls for a response places the core of activity not inside the head, but rather the embodied presence of one who is attentive to what the situation is eliciting. There’s a way in which during action Autrey is not a willful agent. Nor can we say that he is operating out of habitual routines. Perhaps we could say that the mind-body of Autrey was attentive to what the situation called for, drawn immediately without deliberation or weighing of risk, to respond to Hollopeter’s distress. He experienced the environment in terms of what demands were being made with an implicit “yes to the mess.”

What Autrey experienced is what jazz improvisers experience, theater improvisers, Xerox repairmen tinkering with a recalcitrant machine, designers running an experiment and tweaking a prototype. They experience a heightened awareness of their surroundings and what the situation is calling for. Their implicit “yes” makes them attentive to opportunities for action, maintaining a sustained responsiveness to the demands of what is occurring. In a sense, it’s not that activity is flowing from the person. Rather, activity flows through him or her. This is Kairos time, not chronological time.

This kind of "yes" that is an erasing of boundaries and an egoless affirmation to the situation is reminiscent of this poem by Reiner Maria Rilke:

I believe in all that has never yet been spoken.
    I want to free what waits within me
    so that what no one has dared to wish for
    may for once spring clear
    without my contriving.

May what I do flow from me like a river,
    no forcing and no holding back,
    the way it is with children.

Then in these swelling and ebbing currents,
    these deepening tides moving out, returning,
    I will sing you as no one ever has,
    streaming through widening channels
    into the open sea.
    REINER MARIA RILKE, Book of Hours I,12

Learning to Say Yes to the Mess: Developing Affirmative Competence

Keith Johnstone (1987), a foundational improvisational theater director, teacher, and de facto theorist, observes that humans are quite skilled at suppressing action to avoid risk in the moment of spontaneity. The *Yes, And* rule of improvisational theater, or the practice of *accepting all offers* made, helps improvisers overcome this. Anything a player does is an offer. *Accepting* builds on your fellow player's offers by developing the action. *Blocking*, on the other hand – which Johnstone considers an act of aggression – prevents action from developing. Johnstone describes blocking as a well-honed skill people use often in day-to-day life to keep control and stay safe. Accepting offers requires transcending seeming contradictions to find new, generative connections. Accepting others' offers, or practicing *Yes, And*, is what makes good improvisation look telepathic. At the same time, *Yes, And* increases psychological safety. When all players accept each others' offers, each can take risks with confidence. Players know they will be supported; others will *Yes, And* to make them look brilliant and transform what initially look like mistakes into a generative part of the story (Johnstone 1987).

Human beings are at their creative best when they are open to the world, able to notice what's needed, and equipped with the skills to respond meaningfully in the moment. Improvisation grows out of a receptivity to what the situation offers and thus the first move, this "yes to the mess," is a state of radical receptivity.

This yes can be a passionate engagement. Especially if in the presence of a vital, responsive conversation partner, expansive possibilities could ensue. Improvisers speak and act with the awareness that speech and action are porous, that words are not exhausted at first hearing; that one can leave things open, ambiguous, and still to be discerned. They approach activities as an infinite game rather than a finite game in which the goal is to seek closure. Improvisers don't know what the future holds, but act "as if" they are living in a present that is open, contingent, and ambiguous out of which various futures might emerge, "as if" life is an infinite game. For some it is not easy to become comfortable with the notion that they do not need to see all of the implications of their words before speaking. Improvisers cherish this experience; they learn to push and probe in indirect ways, to impel each other to think further about what's possible. Improvisers learn to trust that others will continue the narrative they started, embellishing another's nascent half-formed thought through the prism of their own, distinct experience. Improvisers strive to overcome the desire to want clear explanations, to have clear words that fit categories that are pre-determined and controlled.

Achieving full immersion in the moment may also be accomplished through the discomfort of being in over your head, a deliberate strategy often used by Miles Davis:

> See, if you put a musician in a place where he has to do something different from what he does all the time, then he can do that – but he's got to think differently in order to do it. . .He's got to take more risks. . . .Because then anything can happen, and that's where great art and music happens. (Davis and Troupe 1990, p. 220)

Full immersion in the moment is a full-bodied commitment. Artistic improvisers sometimes speak of these moments as if the controlling ego is suspended, as if they are not weighing options, making choices but simply living into the moment. Pianist Keith Jarrett describes his desire to see everything in the moment as new: "I'd like to be the eternal novice, for then only the surprises would be endless." Pianist Kenny Werner admonished students to avoid being "too dominated by their conscious minds. One must practice surrendering control." (Werner 1996, p. 10). The violinist Stephen Nachmanovitch described the experience of improvising as "disappearing," writing "In this state, body and mind are so intensely occupied with activity, the brain waves are so thoroughly entrained by the compelling and powerful rhythms, that ordinary self is left behind and a form of heightened awareness arises" (Nachmanovitch 1990, pp. 52–53).

What's it like to live like this? What if one met life with an attitude of openness, the capacity to stay in the trouble, welcoming uncertainty, anomaly, failure, change, risk, chance, newness, and the unknown with the tacit hope that the impossible may happen – even at the heart of collapse?

The image of the autonomous, confident strong manager does not completely resonate with this image. Rather this is an image of a vulnerable and inquisitive person, dependent on others, relying on them to retrospectively make sense of what might have seemed incomprehensible or anomalous or even downright foolish.

Getting Past Defenses to Re-Discover and Re-Create Ourselves: Improvisation as the Enactment of Wonder

While expertise and competence might be necessary to respond skillfully, they also can be obstacles when they trigger shame repertoires. Past success triggers an inner judging voice that says “you did it well last time, let’s see if you can do it as well this time.” This voice paralyzes.

Imagine the first time Martin Luther King experimented with the notion of marching from Selma to Montgomery; the moment an avowed Nazi, Oscar Schindler, mused about protecting a few of his Jewish employees; the instant when Branch Rickey wondered out loud how he might bring Jackie Robinson into an all White baseball league. All of these gestures were improvisations that faced overwhelming odds and defied rational deliberation. Every first attempt was imperfect. Every gesture was fragile and precarious and the risk of failure was lurking on the edge of awareness. And yet to celebrate improvisation is to celebrate the miracle of the human spirit; the moments when the usual impediments of fear and shame are bypassed, at least temporarily, one can entertain the flicker of possibility that energizes and invites expansion and embellishment.

In these examples (and other less dramatic ones), it’s not so much that they were pursuing an idea as the reverse: The idea was pulling them. They were under the grips of an image and able to extend these temporary inclinations, these fleeting glimpses to experiment with unlikely, unpredictable, and unprecedented actions. They could entertain and extend these brief glimpses of what must have seemed just out of reach.

Improvisation need not be so dramatic as Martin Luther King, Oscar Schindler, or Branch Rickey. Imagine a couple locked in seemingly intractable conflict when one partner suddenly, on the spot, speaks in a new, gentler way to his spouse about some thorny problem. This is a small, incremental, and novel move that might just open up a new pasture for the course of the conversation, if not the trajectory of the relationship. These are potentially identity shifting, turning-point moments. People are re-discovering or re-creating themselves in these pivotal moments, situational cues that must have been pulling them forward into action, perhaps like the end of the Great Gatsby – “a light so close that he could hardly fail to grasp it.”

At this point, a personal story. It’s probably no secret that academic faculties at research universities do not always get along, especially when they have to negotiate and influence one another to arrive at decisions, especially in meetings for tenure and promotion or the hiring of new faculty. Discussions can become fractious and contentious and over time some members begin to anticipate resistance from one another, so come to meetings well-armed with rationale to defend their positions and undercut anticipated challenges; over time views become hardened, resentments start to accumulate, and any semblance of friendship decays. With that as background I, the first author (FB), would like to share one experience that illustrates this notion of simultaneously creating and discovering a new identity following a micro improvisation.

Professor Karl Evans (a pseudonym) has been a faculty colleague of mine for 20 plus years. Over the years, we have held different views regarding the direction of our faculty. We have had a contentious, embattled relationship. Whenever we have to make decisions for new hires or decide on a tenure case or whenever we meet as a group to discuss school policy, he and I butt heads, sometimes rather strongly. We seem to disagree on everything. And a few years ago, it became personal. He and

I each began to say unkind things about one another to our other colleagues and the stories spread as rumors are wont to do. At one tenure deliberation, we were as usual on opposite sides and he made very charged comments in response to one of my observations and again our exchange became heated, ending with a personal insult from each to the other. I left the meeting tense and angry and for several days went over his comments in my head, 1 day even obsessing for several minutes as I was exercising on a stationary bike in the gym.

I distinctly remember 1 day when I heard about something disparaging he had said about me to another colleague. Oh how my fantasies took over as I considered creative ways to get back at him, what I could say to hurt his pride and lower his status in the eyes of others. Several months passed and we had no other faculty meetings (thankfully). Then 1 day I noticed at the end of one of our long halls what looked like an older, feeble man hunched over. A few moments later, I began to walk down the hall and I looked up and saw that the man was walking with a cane and his arm was in a sling. He had a large bruise on his forehead and was hunched over. It took me several minutes to process the image and acknowledge that this was Karl. I even had to ask, "Karl?" After he nodded, I asked how he was doing. I learned that he had been diagnosed with a neurological disorder, had trouble with stability, and was prone to falls. He has been struggling to stand in the classroom or walk with confidence. Something happened in me at that moment. Without hesitating, I walked up to this hunched over man, hugged him and kissed him on his forehead. I whispered "I'm so sorry." At that moment he began to choke back tears. I walked with him to the elevator with my arm around him for stability. As he got on the elevator I said to him, "I know you and I haven't always gotten along, but I'm very fond of you." Then he fell in my arms and began to sob.

To say that this was an unprecedented exchange between us would be a grand understatement. And it stuns me even now as I recall how some veil just lifted at that moment. When I hugged him and kissed his head, I was doing something I had never in my entire life done with any man, let alone one with whom I had held such resentment. What was happening here? Some conversation of gestures of central significance began to transpire between us. On the surface it appears that I was seeing firsthand his physical difficulties and simply responded with empathy that one would express toward any one in need. However, more was opening up. I suddenly started to recall positive things other colleagues have said about Karl over the years. I remembered the time that he stepped up as an acting chair at a moment when the school needed new leadership. I remembered the time he helped a junior colleague go through personal difficulties. These past memories all came to me in a flash. In retrospect, I had developed a "trained incapacity" so that I did not notice the nuances and vulnerable side of my colleague. I had been living within the gossip of trivialities, living in the safe predictability of holding a stereotype of Karl, ignoring other parts of him for which I could not imagine any alternative scenario in which I could interact safely and vulnerably with him.

But there was even more to this improvised act because it instantly created a new repertoire of possible futures. Suddenly, I "know" that something different is possible between us. There is a silent acknowledgement that we care about one another.

I "know" that Karl is more than an enemy hiding in wait. In fact, I "know" that he won't attack me at the next faculty meeting. I "know" that I will not take his remarks personally, and he will nod in affirmation at a few of my comments, an unusual gesture for him. I will ask him questions of clarity rather than challenging his assumptions.

This new "knowledge" is a rapid building-up of missing pieces which are beginning to create a future pathway, a new image each of us holds about one another, of a new openness between us. Karl "knows" – without definite prior experience – that I will be more approachable; specifically, he knows that I will not be defensive when he asks questions; he "knows" that I will not challenge his assumptions at the next faculty meeting. And acting with those background assumptions, he and I both actually create the kind of relationship we instantly imagined as possible.

But there is another dynamic unfolding: I was able to experience a tenderness in myself I have never experienced. I now "know" that I do not have to perpetuate hostility, that there is a disarming warmth and vulnerability inside of me that I had never previously experienced in this way. And it all started with one spontaneous gesture, a move that happened so quickly I did not have time to ponder or consider how embarrassing it looks for one male colleague to kiss another on the top of his head. It was a move I made without any conscious deliberation or choice.

This is one way in which improvisation is related to personal transformation. We can discover (and create) new facets in ourselves, reservoirs of untapped potential by leaping in and acting in unexpected ways that upend role constraints. That's the world of improvisers – living your life as if it is an infinite game; leaping into the unknown without any guarantee of what will happen, discovering the future as you are co creating it, looking back on what has happened and making sense of what was unexpected, creating a new sense of who you are and what you're capable of next.

Improvisation is a testimony to human freedom. We commonly think of freedom as the right to make choice between alternatives, as if the mind is a container that "has" ideas, contains intentions, possesses capabilities, and acts upon the world. This view of freedom emphasizes plans, intentions, control, and the ability to shape the world in an intended, desired direction. But the notion of freedom we are suggesting is different. We are proposing that the freedom of improvisation connotes an openness and receptivity, an openness to being captured and taken over rather than seeking to enact control. In this sense, improvisation is a transcendent move, an effort to go beyond the given, to exceed established rules and familiar limitations, to be open to noticing a redefinition of the current order. And there is an additional risk inherent in this – the risk of disclosure. When humans initiate new action, they are disclosing themselves to the world, disclosing their uniqueness as persons, risking being seen as different. The disclosing of unique identity as an actor is the opposite of the anonymous role typifications that bureaucracy seeks. Acting on the edge of what is known or acceptable, an improviser risks disapproval, condemnation, rejection, shame. This is courageous in the sense that one may move to the edge of what is acceptable. As Hannah Arendt noted, when one initiates a new action there is no way to predict what the consequences will be, and that is what makes us distinctly human – the capacity to initiate what was previously deemed unimaginable and unprecedented:

> It is in the nature of beginning that something new is started which cannot be expected from whatever may have happened before. This character of startling unexpectedness is inherent in all beginnings . . . The fact that man (sic) is capable of action means that the unexpected can be expected from him, that he is able to perform what is infinitely improbable. And this again is possible only because each man is unique, so that with each birth something uniquely new comes into the world. (Arendt, 1958, pp. 177,8)

Humans are capable of a new beginning, can create deeds that might inspire others to move in unanticipated positive directions to create unprecedented futures. Arendt's language is dramatic: "startling unexpectedness," "infinite improbability." These are words often associated with wonder, awe, and miracle. To say that we can introduce the totally unexpected is to suggest that improvisation is the enactment of wonder.

In the next section, we begin to address how this relates to organizational life and implications for leaders who seek to deliberately create conditions for creative improvisation. How might we deliberately reject the draw of routines for the excitement and peril of unlearning? What does it look like to reject a finite, zero-sum approach in favor of an infinite game – not only to ensure continued play but to expand what's possible? How might we access flow through letting go of control? What flourishes when a commitment to getting past defenses to rediscover and recreate ourselves is practiced?

Improvisation and Emerging Ideas about Organizational Leadership

While the individual experience of improvisation is compelling and well-worth understanding, it is important to acknowledge that the process of improvisation is inherently social. Improvisation occurs *in response to*. Consultant Henry Larsen, who uses theatrical improvisation with organizations, describes spontaneity as "making sense together, paradoxically by staying with the situation and by acting surprisingly into it, searching for mutual recognition." (Larsen 2006, p. 56). It is this openness to act surprisingly into the situation that enabled our first author to rediscover and recreate himself in response to fellow faculty member Karl Evans, to which Karl in turn recreated himself just as spontaneously.

This process of "making sense together" in a situation as people act "surprisingly into it" is transformation in action. One of the reasons improvisation comes with a sense of risk is because it breaks existing social patterns, abandoning the security of being able to predict how others will react. As existing patterns of interaction shift, so do the feelings, perceptions, and desires of those involved. These shifts interact to drive new, alternative futures.

As we make our way from the individual experience of improvisation to life in organizations, the inherently relational nature of improvisation becomes particularly interesting. One of the first things we run up against is the traditional conception of the individual, "heroic" leader.

The first 100 years of leadership science fixated primarily on the individual. Leadership was generally defined as something an individual with formal authority was or did – their characteristics or behaviors. Most leadership models emphasized centralized, top-down command-and-control (Avolio et al. 2009; Northouse 2013), the very opposite of what we associate with improvisational dynamics. So what might leadership look like in an organization optimized for improvisation? Scholars have suggested formal position holders might use forms of shared (Pearce et al. 2009) or servant leadership (Greenleaf 2002). Beyond solely taking the lead, these forms include distributing authority and supporting others' leads based on what is required in the moment to benefit group and goal (Wageman and Fisher 2014; Wang et al. 2017).

The leadership dynamic people most often associate with improvisation, however, is the social process of co-creation (Crossan 1998; Crossan et al. 1996; Vera and Crossan 2004). How could any concept of leadership rooted in the individual hope to capture the actions, feelings and perceptions alive between people creating responsively with each other and the situation? Today, as organizations seek new ways of thriving in a complex, interconnected, and continuously changing world, study of leadership is expanding well beyond the individual, "heroic" approach (Denis et al. 2012).

Emerging areas of leadership study suggest that we can think of leadership as more process than person. For example, scholars in the area of relational leadership define leadership as a social process through which new coordination, goals, behavior, and change emerge (Uhl-Bien 2006; Uhl-Bien and Ospina 2012). Envision a group problem-solving process where diverse perspectives are surfaced and assumptions are deeply explored so that novel solutions emerge (Fisher et al. 2018). Complexity leadership is a collection of models that address living, dynamic systems and how they change. In this view, leadership is any organizing activity that changes the rules of interaction and propel people to establish new patterns – patterns such as unifying in groups, generating new ideas, and converging diverse perspectives (Hazy and Uhl-Bien 2013; Lichtenstein and Plowman 2009). Yet another framework proposes defining leadership by the outcomes we have long tasked individual leaders with producing: direction (where we're going), alignment (how we'll fit our work together to make progress), and commitment (how we'll sustain dedication to working for the good of the whole). The Direction, Alignment, Commitment (DAC) framework broadens our understanding of who and what contribute to producing these three outcomes by including all interactions, behaviors, systems, and processes that create DAC (Drath et al. 2008).

We can readily see how any of these new approaches to leadership might capture the process of co-creation more holistically than the traditional "hero" model. What are the shared beliefs and practices a group uses to figure out where they're going, how, and why? Taking direction from a traditional top-down leader is just one way.

In an improvisational system, multiple members together produce direction through the way they develop action. They make spontaneous, original contributions; interpret their own and each other's offers retrospectively; and build on each other's ideas. Members produce alignment by letting themselves be changed and adhering to flexible structures that ensure a coherent tune or story. Shared purpose and progress around solving a problem or creating something new, combined with seeing one's handprint on group direction and decisions, function as self-perpetuating sources of commitment. Individuals may hold different amounts of authority and spans of responsibility, but leadership clearly is not the function of any single, formally designated member.

Through the DAC lens, for example, creating leadership happens through a number of interaction patterns, behaviors, and processes enacted by multiple members. Leadership clearly is not the function of any single, formally designated member but emerges through a social process among many.

Here's one example from a mid-sized catering company called Tasty Catering outside Chicago. In this story, which unfolded during the recession of 2008–2009, leadership emerged as the result of multiple improvisations in response to each other.

After months of belt tightening and budget pruning, the leadership team recognized the time had come. They had to lay off staff in order to further reduce expenses. The kitchen team – the company's biggest labor pool – would absorb the cuts. The CEO called together the kitchen team captains, asked them to identify five people, and said he'd be back in an hour to get the names.

When he walked back in, MariCarmen, a quiet woman who had immigrated from Morelia, Mexico, stood up. She told the CEO she had two questions for him. "Are we family?" she asked. "Will this company survive?"

The CEO was taken aback, but answered honestly. He explained why he believed that if the country survived, the company would, too. He assured MariCarmen they were all one Tasty family – "not Walter, Gutierrez, Velazquez… we are all one family."

MariCarmen took in what he'd said and nodded. "Then," she declared firmly, "we're not going to fire anybody." As the CEO later described, his heart started "beating 100 miles an hour" and his face "turned red." After a long pause, he asked, "Well, MariCarmen, what do *you* think we should do?"

MariCarmen calmly and patiently explained that everyone in the kitchen was valuable. After months of trying, no one could find another job – not at grocery stories, car washes, nowhere. If everyone in the kitchen reduced hours to 25 per week, she reasoned, they could still earn enough to make sure no family would starve. The solution would ensure that Tasty kept its entire crew so a strong team was in place when business improved. The reduction also provided savings equivalent to laying off 7 staff, which should help the company recover even faster.

Recounting the story, the CEO described that in that moment he "wanted to kiss her for caring so much about our company." On the spot, he decided to take what was left of the company's emergency reserve and established an Employee Assistance Fund for families of those working 25 h a week to use if needed. He declared,

> … I want every family here, everybody that's working 25 hours a week, I don't want money to be a disruptor in your life. Borrow money… and we'll lend it to you at 4% or 3% or whatever it is. You take as much money as you need, and you can pay it back when you want. If you want to wait till summertime when we're in overtime, pay it back in summertime. Pay it back at $10 a week, I don't care. But *solo familia… no fiesta*, *no cerveza. Solo famila.* Only family.

Driving in to work the next morning, the CEO was nervous about what he might walk into. Would staff show up? Would they be resentful of the cut in hours, adding a morale issue to the pile of concerns he had on his plate? But as he walked through the kitchen, the energy was palpable. People were whistling cheerfully, working briskly, and clocking out as quickly as they could. Everyone felt a stake in the company's success, and everyone was taking initiative to support success. Ultimately, not only did Tasty make it through the recession with all desired staff, but the company acquired several competitors in the process (Huffaker 2017).

Looking through a traditional lens on leadership, we might point to the CEO as the one providing "leadership" here. Less traditionally, but still placing leadership in the individual, we might identify MariCarmen as the "leader," because she took matters into her own hands by refusing the status quo and proposing a potent alternative. We suggest either interpretation is inadequate to capture the unfolding process.

When we look at the story with improvisation in mind, we see multiple conditions that led to a series of improvisations through which organization members co-created a new way forward. First, MariCarmen deliberately disrupted her own routine of not challenging authority. She took a risk when she spoke up to the CEO – what she later described as a "moment of bravery:"

> I've had two jobs before, but they weren't as intimate or as personal. I wasn't as emotionally invested as I am here. It was the first time I had the bravery or the gumption to speak with a supervisor… I didn't know how he'd react. I thought that maybe he would just fire me because I was protesting and questioning him, because I was confronting him.

MariCarmen's resistance disrupted the CEO's routine of being obeyed as he executed company plans. His own fears and defenses piled on as he turned red, flush with anger and anxiety. His willingness to say yes to the moment meant that rather than blocking the mess and insisting on having his way he let go and allowed an opening. In his vulnerability, he accessed a flow state from which an option beyond what he could consciously plan emerged. As the CEO described,

> And then for some reason, and God only knows what that reason is, I remembered Peter Drucker who said, 'when in doubt ask your front-line employees,' his spirit came into me, I says, "MariCarmen, what do you think we should do?" Because she was certainly articulate, that she'd thought it out and she'd communicated with her teams.

When MariCarmen proposed all stay on at 25 h, the CEO was willing to be changed. He saw the brilliance of her suggestion. Without thinking, he responded with a Yes, And by creating the Employee Assistance Fund on the spot. This innovation not only helped staff weather the recession but over time was seen as a significant example of how the company cared for all staff, which in turn prompted staff to go above and beyond to give back to the company.

Both MariCarmen and the CEO were engaging in "infinite play," and treated reality as contingent, shifting their approaches as circumstances unfolded. Although MariCarmen and her coworkers (along with everyone else in the company) had input into the plan that called for laying off five people, she shifted her approach when it became clear no one could find another job. The CEO, too, allowed himself to be changed as new possibilities arose.

The impact of these improvisations extended well beyond the kitchen. Other formal leaders, for example, realized that staff were a source of valuable ideas. As the recession worsened and the company's circumstances changed day-to-day, team leaders established a regular practice of crowdsourcing ideas from staff during the daily company lunch.

If we view "leadership" only as something enacted by an individual "leader," we prevent ourselves from recognizing and creating adaptive systems capable of this type of ongoing transformation. And if we expect people to abandon comfortable routines and say yes to the mess, to be attuned to the pull of the situation with no guarantee of outcomes, then we must consider the kinds of relational-organizational practices that support getting past defenses to recreate ourselves through potentially risky behavior.

Organizational Beliefs and Practices that Support Improvisation

In social organizations, especially bureaucratic ones, too often compliance trumps creativity. Caution is the default orientation, as people learn to avoid incurring wrath of a controlling manager and live within the safe space of standards, guidelines, protocols that insulate one from risk. We propose a few principles and practices that allow improvisation to flourish in organizations. (For a fuller exploration of these principles, see Barrett 2012).

Errors as a Source of Learning: Performing and Experimenting Simultaneously

Improvisers know that when people are encouraged to try something new, the results will be unexpected, and "unexpectable," including errors. They maximize learning by nurturing a mindset of enlightened trial and error that allows them to take advantage of errors to offer new insights. Innovative cultures create a psychological comfort zone, one in which it is safe for people to talk about errors and what can be learned from them. Failures become occasions for learning. As Miles Davis once said, "If you're not making a mistake, it's a mistake."

Leaders at every level need to do what jazz musicians do – anticipate that when people are encouraged to try something new, the results will be unexpected, and "unexpectable," including errors. Innovative cultures maximize learning by nurturing a mindset of enlightened trial and error that allows managers to take advantage of errors to offer new insights. This involves creating a psychological comfort zone, one in which it is safe for people to talk about errors and what can be learned from them. Researcher Amy Edmondson defines psychological safety as group members' confidence they are respected and accepted. Members believe they can show up fully as themselves, without fearing loss of identity, status, or future prospects. Psychological safety leads to greater innovation and development (Edmondson 1999). This is in part because in workgroups with high psychological safety, failures are occasions for learning.

Cultures that value creativity and improvisation make it safe to try and test, work through ideas, see their consequences of their experiments. They nurture leadership that provides the kind of psychological safety that supports inquiry and experimentation. They nurture leaders who refuse to allow "getting it right" to drive out learning that emerges from experimentation. Leaders realize that they have to lower status so that it becomes safe for people to talk about mistakes.

Minimal Structure and Maximal Autonomy: Balancing Freedom and Constraints

To support improvisation, organizations create flexible structures – an organizational design that has both sufficient constraints and just enough structure and coordination to maximize diversity. Jazz bands and innovative organizations create the conditions for guided autonomy. They create choice points to avoid getting weighted down with fruitless rules, while also maximizing diversity, inviting embellishment, and encouraging exploration and experimentation. To foster innovation, leaders hedge against the trap of "too much consensus," giving people freedom to experiment and respond to hunches. The underlying assumption is that when people disagree, they're both right. Thus, such organizations tolerate and encourage dissent and debate.

Jamming and Hanging Out: Learning by Doing and Talking

In jazz, learning and ideas for innovation take place in jam sessions, the creative equivalent of conversations in nineteenth-century coffeehouses. It is here that musicians get innovative ideas and learn how and whether their playing is up to par. For rookies and semi-outsiders, these sessions are where they learn what it takes to think and act like a jazz insider. Organizations need to create similar room for jam sessions as Steve Jobs so deeply understood. They need to deliberately design for serendipity, to encourage happy accidents and unexpected discoveries. The key to this in organizations is opportunistic conversations. Great insights occur in the context of relationships and exchanges, as people share each other's work and ask questions (often naïve questions).

Taking Turns Soloing and Supporting: Followership as a Noble Calling

We put so much emphasis on leadership today that we have forgotten the importance of followership, what jazz musicians call "comping," or accompanying. In organizations, followership – supporting others to think out loud and be their best – should be an art more fully articulated, acknowledged, and rewarded. Leaders need to model and support the practice of taking turns as leaders and supporters, just as great jazz players do. Followership can be a noble calling, but organizations need to let it flourish. The practice of taking turns soloing and supporting can invite leadership as a process between organization members.

Given the *moment-to-moment contingency* of improvisation settings and the considerable number of possible directions at any given moment, no single player's actions ever "fixes" what will happen in the future. Remember the theater improviser's *Yes, And* rule: they must accept as reality everything introduced by a fellow player and build on it. As each player adds new information, the possible combinations expand exponentially.

Improvisers become adept at creating these supportive partnerships, helping one another develop good ideas without worrying who gets credit. In a safe environment, actors can play with status, support each other to shift status, and give up the desire to control the future or win a point. To step outside of a preferred status is a vulnerable move. When status is disrupted, transformational possibilities open up. Letting go of trying to be the smartest or the person who deserves credit for an idea allows one to be changed by what one sees or hears. You do not have to hear or see with the agenda of maintaining your status and are free to respond to accept offers. Maintaining relational connections allows one to overcome the fear of failure that drives us to suppress action. In jazz and theater improvisation, it is imperative that players are free to accept rather than block offers.

Provocative Competence

Finally, what is the role of leadership in fostering a climate in which improvisation might lead to organizational transformation? We call this provocative competence. Provocative competence (Barrett 2012; Bernstein and Barrett 2011) involves nurturing a double vision, a very special leadership skill that helps people break out of competency traps. Practicing provocative competence requires, first, that leaders discipline their imaginations to see a person's or group's potential even if it is not being fulfilled in that moment. Leaders also can introduce an incremental disruption that demands that people leave their comfort zones and attempt new and unfamiliar actions. Duke Ellington and Miles Davis were masters of provocative competence; they understood that it was an art form in itself. Leaders in every sector would do well to heed the lesson.

Improvisation as a Process of Transformation

In contrast with change models that emphasize action that is rational and goal-oriented, the study of organizational improvisation explores the ongoing, iterative, and impromptu actions by and between people. Sitting at the center of improvisation, these actions lead to discovery and innovation. This chapter looked at individual and organizational transformation through the lens of improvisation.

The firsthand experience of improvisers involves deliberate cultivation of the conditions for individual transformation. There is a deliberate breaking of routines, a stepping into the unknown, and valuing of disharmony as a path to discovery. When individuals say "yes to the mess," they do the opposite of white knuckling their way back to predictability: They embody openness, receptivity, and immersion in the present with ego suspended, opening a channel to intuition. Their experience of this flow, or "groove," is both full-bodied and transcendent. Whether stretching or being stretched into this space, while there, people recreate themselves through the alchemy of spontaneity and as – more than having ideas – ideas have them.

The organizational conditions for improvisation include beliefs, practices, and structures that propel individuals into situations where they are likely to transform and increase the degrees of freedom people have as they engage in those situations. "Onstage," performing and experimenting simultaneously turns even well-rehearsed execution into a disequilibrating experience, which cracks open moments of spontaneity and invention. The verve for willingly stepping in and embracing this type of experience is enabled by the cultivation of psychological safety within the group. "Offstage," people have a less formal container to engage spontaneity through learning by doing and having opportunistic exchanges. In both of these contexts, a balance of freedom and constraints means individuals have room to exercise more imagination and autonomy as they engage in the adventure of the moment.

Looking through the lens of improvisation allows for a shift in the role of positional leaders and even how we define leadership itself. The improvisational practice of taking turns soloing and supporting dovetails with emerging concepts of plural leadership such as shared and servant leadership – and, even more radically, practicing leadership as an intrinsically social process. These forms of leadership are associated with equipping organizations to thrive and adapt in continuous change. The practice of provocative competence, whether individual or systemic, propels unlearning routines and engaging in spontaneity. Throwing people in over their heads, as the discussion of the individual experience of improvisation shows, creates the conditions for individual transformation.

Improvisation *is* a process of change. By deliberately fostering the mindsets and practices of improvisation in organizations, we just may create the optimal conditions for individual and organizational transformation.

Cross-References

- ► Collective Virtuosity: Lessons in Personal and Small Group Transformation from Classical Chamber Musicians
- ► Creating a Flow Organization to Lead Into the Future
- ► Personal Transformation: The Next Big Risk
- ► Transformative Leadership
- ► Whole System Transformation with Music

References

Arendt H (1958) The human condition. University of Chicago Press, Chicago

Avolio B, Walumbwa F, Weber T (2009) Leadership: current theories, research, and future directions. Annual Rev Psych, 60(1), 421–449

Barrett FJ (1998) Coda – creativity and improvisation in jazz and organizations: implications for organizational learning. Organ Sci 9(5):605–622

Barrett FJ (2012) Yes to the mess: surprising leadership lessons from jazz, 1st edn. Harvard Business Review Press, Boston

Berliner P (1992) Thinking in jazz. University of Chicago Press, Chicago

Bernstein E, Barrett F (2011) Strategic change and the jazz mindset: exploring practices that enhance dynamic capabilities for organizational improvisation. Res Organ Chang Dev 19:55–90

Brown S, Eisenhardt K (1998) Competing on the edge: strategy as structured chaos, 1st edn. Harvard Business Review Press, Boston

Buckley C (January 3, 2007) Man is rescued by stranger on subway tracks. New York Times

Burke K (1984) Permanence and change: an anatomy of purpose. University of California Press, Oakland

Carse J (1986) Finite and infinite games: a vision of life as play and possibility. Random House, New York

Charles K, Dawson P (2011) Dispersed change agency and the improvisation of strategies during processes of change. J Chang Manag 11(3):329–351

Crossan M, Lane H, White R, Klus L (1996) The improvising organization: where planning meets opportunity. Organ Dyn 24(4):20–35

Crossan M (1998) Improvisation in action. Org Science 9(5):593–599

Cunha M, Clegg S, Rego A, Neves P (2014) Organizational improvisation: from the constraint of strict tempo to the power of the avant-garde. Creat Innov Manag 23:359

Davis M, Troupe Q (1990) Miles Davis: the autobiography. Picador Books, London. Troupe, 1991:220

Denis J, Langley A, Sergi V (2012) Leadership in the plural. Acad Manag Ann 6(1):211–283

Drath W, McCauley C, Palus C, Van Velsor E, O'Connor P, McGuire J (2008) Direction, alignment, commitment: toward a more integrative ontology of leadership. Leadersh Q 19(6):635–653

Edmondson A (1999) Psychological safety and learning behavior in work teams. Adm Sci Q 44(2): 350–383

Effah J, Abbeyquaye G (2014) How FOSS replaced proprietary software at a university: an improvisation perspective in a low-income country. Afr J Inf Syst 6(1):9–25

Eisenhardt K, Tabrizi B (1995) Accelerating adaptive processes: product innovation in the global computer industry. Adm Sci Q 40(1):84–110

Fisher CM, Amabile TM (2009) Creativity, improvisation and organizations. In: Rickards T, Runco MA, Moger S (eds) The Routledge companion to creativity. Routledge, New York, pp 13–24

Fisher CM, Pillemer J, Amabile TM (2018) Deep help in complex project work: guiding and path-clearing across difficult terrain. Acad Manag J. https://doi.org/10.5465/amj.2016.0207

Ford R (2008) Complex adaptive systems and improvisation theory: toward framing a model to enable continuous change. J Chang Manag 8(3–4):173–198

Greenleaf R (2002) Servant leadership: a journey into the nature of legitimate power and greatness 25th anniversary edition. Paulist Press, New York

Hadida A, Tarvainen W (2014) Organizational improvisation: a consolidating review and framework. Int J Manag Revs 17(4):437–459

Hamilton A, Konitz L (2007) Conversations on the improviser's art. University of Michigan Press, Ann Arbor

Hazy J, Uhl-Bien M (2013) Changing the rules: the implications of complexity science for leadership research and practice. In: Day D (ed) Oxford handbook of leadership and organizations. Oxford University Press, Oxford, UK

Huffaker JS (2017) Me to we: how collaborative leadership culture developed in an organization. Dissertation, Fielding Graduate University

Johnstone K (1987) Impro: improvisation and the theatre. Routledge
Kamoche K, Cunha M, Cunha J (2003) Towards a theory of organizational improvisation: looking beyond the jazz metaphor. J Manag Stud 40(8):2023–2051
Kellogg K, Orlikowski W, Yates J (2006) Life in the trading zone: structuring coordination across boundaries in postbureaucratic organizations. Organization Science 17(1):22–44
Kierkegaard S (1849/1954) Fear and trembling and sickness unto death. Doubleday Anchor, New York
Larsen H (2006) Risk and "acting" into the unknown. In: Experiencing risk, spontaneity and improvisation in organizational change: working live. Routledge, Abington-on-Thames pp 46–69
Leybourne S (2009) Improvisation and agile project management: a comparative consideration. Int J Manag Proj Bus 2(4):519–535
Lichtenstein B, Plowman D (2009) The leadership of emergence: a complex systems leadership theory of emergence at successive organizational levels. Leadersh Q 20(4):617–630
Merton RM (1940) Bureaucratic structure and personality. Soc Forces 18(4):560–568
Miner A, Bassof P, Moorman C (2001) Organizational improvisation and learning: a field study. Adm Sci Q 46(2):304–337
Montouri A (2003) The complexity of improvisation and the improvisation of complexity: social science, art and creativity. Human Relations 56(2):237–255
Nachmanovitch S (1990) Free play: improvisation in life and art. Penguin, London
Northouse P (2013) Leadership: theory and practice. Sage, Thousand Oaks
Orlikowski W, Hofman J (1997) An improvisational model for change management: the case of groupware technologies. Sloan Manag Rev 38:11–21
Pearce C, Manz C, Sims H (2009) Where do we go from here? Is shared leadership the key to team success? Organ Dyn 38(3):234–238
Peplowski K (1998) The process of improvisation. Organization Science 9(5):560–561
Uhl-Bien M (2006) Relational leadership theory: exploring the social processes of leadership and organizing. Leadersh Q 17(6):654–676
Uhl-Bien M, Ospina S (2012) Advancing relational leadership research: a dialogue among perspectives. Information Age, Greenwich
Vendelø M (2009) Improvisation and learning in organizations – an opportunity for future empirical research. Manag Learn 40(4):449–456
Vera D, Crossan M (2004) Theatrical improvisation: lessons for organizations. Organ Stud 25(5):727–749
Vera D, Crossan M (2005) Improvisation and innovative performance in teams. Organ Sci 16(3): 203–224
Vera D, Nemanich L, Vélez-Castrillón S, Werner S (2014) Knowledge-based and contextual factors associated with R&D teams' improvisation capability. J Manag. https://doi.org/10.1177/0149206314530168
Wageman R, Fisher C (2014) Who's in charge here? The team leadership implications of authority. In: Day DV (ed) The Oxford handbook of leadership and organizations. Oxford University Press, Oxford, UK, pp 455–481
Wang L, Han J, Fisher CM, Pan Y (2017) Learning to share: exploring temporality in shared leadership and team learning. Small Group Res 48(2):165–189. https://doi.org/10.1177/1046496417690027
Weick K (1998) Improvisation as a mindset for organizational analysis. Organ Sci 9(5):543–555
Werner K (1996) Effortless mastery: liberating the master musician within. Jamey Aebersold Jazz, Inc., New Albany

Check for updates

Activating the Corporate Soul

Ruediger Fox

"When we treat man as he is, we make him worse than he is; when we treat him as if he already were what he potentially could be, we make him what he should be"
Johann Wolfgang von Goethe

Contents

Abstract

Having transitioned from a locally confined endeavor to a complex nonlinear dynamic system, our global economic environment increasingly requires organizations to constantly transform. But more and more often traditional change projects fall short of expectations as huge amounts of energy are burned in fighting internal resistance or employees' disconnect in the process. Transforming companies from inside instead of enforcing change from outside can lead to a

R. Fox (✉)
GCH-Institute (Hamburg/Zell am Moos), Zell am Moos, Austria
e-mail: Ruediger.fox@t-online.de

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_23

much more lasting impact but requires a new evolutionary level of leadership that transcends our traditional mental models of management.

Soul-driven Leadership is able to activate the core elements of the Corporate Soul through an inclusive process, setting free the necessary self-stimulating inner drive for integral change to happen. It helps a collaborative culture to emerge and aligns the organization towards a common purpose, making transformation "exothermic" and sustainable. Through a process of "Merging the Souls," it can even ensure that in acquisitions and merger processes, relationships are rapidly rebuilt "below the waterline" so that a new organization can instantly pick up momentum.

Keywords
Acquisition · Agile · Autonomy · Corporate soul · Merger · Merging the souls · Organizational transformation · Soul-driven leadership · Trust · Values

Overheating Organizational Transformation?

In a world where movement is valued much more than presence, where change has overtaken the positive connotation of consistency, and where speed has become the master scale for success, some terms that were previously used only in a selective manner are almost omnipresent nowadays.

In this spirit, we tend to use the notion of transformation – in line with the Latin roots of the word – in a rather undifferentiated sense to mean any process whereby something changes its form from one state to another. Predominantly focusing on the outcome, we rarely look at some of the specific differences that characterize the process itself during the transition.

However, looking closer at various kinds of transformations, we can generally distinguish between two classes that fundamentally differ in their origins: one type is based on an autonomous process that only needs an initiating trigger to then perpetuate, independent of any external influence – whereas the other type vitally depends on an intentional creator and his/her continuously directed intervention.

This differentiation is well known in physics and chemistry, manifested for example in exothermic vs. endothermic reactions, and has in its abstract form, in terms of human identity, been one of the fundamental questions of philosophy, religion, and science for centuries. However, the secularization of our daily realities, together with a highly evolved human sense of self as an all-powerful shaper of its environment, has pushed this quest beyond our regular awareness.

We seem to unconsciously assume that the nature of the transformation is dependent on its context – whether it originates from a singular impulse and then naturally emerges in the presence of an appropriate space for evolution – or responds to an outer force continuously applied to an unsatisfactory status quo with a determined intention to overcome inertia.

Observing a caterpillar pupate and reappear in the form of a butterfly, based on the fact that we are unable to identify any outside influence permeating the cocoon, we most naturally conclude that such a transformation is driven by some sort of "magical" inner programming – one of the yet to be fully decrypted secrets of evolution that is the outcome of millions of years of mutation and selection.

On the other hand, looking at things that are human-built, our most obvious assumption is that a form of outer drive is also needed to further chance its composition, inner functioning, behavior, or shape. Although this is rather logical for any inanimate element in our human world, it seems that we extend this general supposition to any form of human built organization and derive all our leadership strategies from that basis.

Particularly in an industrialized world that has reached an unprecedented level of speed of change, it seems obvious that any transformation in this context requires an external force and guidance in order to ensure a timely adjustment to the constantly evolving realities. Even assuming that some inner sense for survival might trigger certain autonomous initiatives, the apparent generally slow speed of evolution seems by its sheer nature to be insufficient to ensure our timely adaptation to such a dynamic environment.

Consequently, organizational change nowadays has become a topic that is strongly related to the avatar of an active and powerful leader (and his/her executing troops), either in its original authoritarian manifestation of early military-like systems, in its pacesetting version in the highly competitive environment of the past decades, or in a more inclusive form of transformational leadership that has become the latest evolutionary variant for cutting edge management.

What is common for all manifestations of this kind of leadership is a high focus and dependence of the process on the personality of the leader him−/herself, as much as on a managerial system that enables the active and controlled propagation of influence top-down into the behavior of the organization.

But despite a continuous stream of sophisticated program management tools and an increasing army of external consultant support, it would appear that this widespread approach for organizational transformation has reached the limits of its capabilities. With the growing size of companies and a rising frequency of necessary changes in direction, more and more organizational transformation processes are failing as they either overstretch the ability of the organizations to collectively adapt and follow or are slowed down by a rising level of active organizational resistance until they come to a complete stop.

Furthermore, an increasing frequency of such change projects tends to expose the employees to an emotional rollercoaster. As a result of the induced centrifugal forces, people either hold on even more strongly to what they had known in the past or – with shrinking adhesion – they let things go, resulting either in dramatically rising levels of presenteeism, or high levels of fluctuation, especially with frustrated talents leaving the organization.

As a result, the more a transformation is enforced top-down, the more it leads to a fast dissolution of the change energy the further down in the organization the change process penetrates, leaving many projects with little sustainable impact and nothing but a high bill.

Challenging Our Mental Models

Rather than pushing even harder on the accelerator, it might therefore be wise to look at the fundamental assumptions that are at the roots of this approach in order to evaluate them in the current economic context and eventually seek for potential alternatives.

To begin with, it can be presumed that the strategy for driving organizational change from outside is not a subjective preference of individual managers or a wish to voluntarily invest an extraordinary amount of their energy. It results instead from the tacit collective assumption in business that an organization is by default unable to autonomously develop the capabilities required to adjust to a changing environment from inside.

Looking at the conditions for change to happen in an organizational context, three fundamental prerequisites can be identified: the creation of sufficient drive for movement within the organization itself, the choice of the right direction, and the need for alignment of the entire organization on this path.

All three of them are assumed in traditional management thinking not to be accessible without an appropriate external intervention. Our traditional mental models of employees are very straightforward on all those criteria:

- Humans in a work context are generally presumed to be driven mainly by the external rewards they receive in return for their performance; in the absence of such a motivator, they are expected to fall back into passivity as their default mode.
- Furthermore, employees are assumed to have the need to be directed and guided through clear hierarchical structures. As a natural consequence of performance based organizational selection processes, the level of competence to give appropriate guidance is expected to increase with the level of hierarchy – expecting the best results from subordinates when they follow their leadership.
- And lastly, organizational alignment appears to depend on consistent control due to the complexity of most organizations and a strong work-sharing practice – but mainly due to a fundamentally assumed lack of reliable commitment.

On this basis, most organizations are built on hierarchies where leadership decides on the right strategy and drives change through a process of a systematic induction of those strategies top-down into respective targets that can be tracked and surveyed – in line with the philosophy expressed by Robert S. Kaplan and David Norton (1996), the inventors of the Balanced Scorecard, which states that “you can only manage what you can measure.” In the recent decades, this has become an unquestioned mantra of modern management.

But while this leadership strategy was the secret to success in a world where we could base our executive business strategies on an almost Newtonian predictability of the future, where process robustness was the key efficiency standard for eliminating waste through lean thinking, and where we aimed predominantly for transactional performance, it is increasingly becoming a hurdle for agility in a globally connected world.

In an interrelated dynamic and complex system environment where relevant framework conditions drastically change almost daily, even the most sophisticated strategies will be outdated long before their consistent implementation. As a result, failure is less and less often an outcome of a wrong direction chosen initially but rather the result of the inability to respond rapidly and adjust to unpredicted situations on the way.

Furthermore, the complexity and the high variability of the needs to respond appropriately to the reality increasingly hinder us from specifying the required processes in advance in sufficient detail and precision. Organizations that attempt to manage their business through rules and regulations are more and more often likely to fail, as they tend to burden themselves with unbearable levels of administration. By the time full implementation has taken place, the prerequisites have already changed and therefore might call for quite different reactions than the ones specified.

Lastly, in a world where the Digital Revolution now follows the Industrial Revolution, not only are mechanical activities being transferred to machines but more and more administrative processes are also becoming digitalized. While this leads to a shrinking scope for factual differentiation, the pressure to excel and innovate remains. Thus, the key success factors for organizations are increasingly becoming those remaining activities that can never be standardized: the ability of their members in the areas of cognitive performance.

Yet while we all recognize that innovation as much as the ability to maneuver within a world of interwoven networks are becoming key for success, the associated prerequisites in competences like creativity, or the ability to shift from fierce self-focused competition to collaboration by emphatic balancing of mutual interests, can neither be taught nor tracked by any controlling system.

Organizational Transformation from Inside

The inability of farsighted strategies, optimized processes, and tight control to build sustaining organizational resilience in the future is obvious, and consequentially, the current approach of driving organizational change from outside is reaching quite naturally the limits of its efficacy. At the same time, the vital need for organizational transformation to cope with the dynamics of today's environment remains unchanged.

In the absence of impactful external means, it might therefore be wise to question the initial mental models of human behavior in an organizational context that have led to these strategies and investigate whether in reality organizational transformation, similar to other transformation processes, could alternatively be driven from within.

In line with the identified three prerequisites for change, this quest can be broken down to the same core questions that are relevant for externally induced transformation to happen: What *inner* factors could drive an organization to move forward? What *inner* lodestar can guide an organization to choose its direction? and What *inner* guardrails can align all individuals of an organization into a common direction?

To begin with, questioning the first assumption that people mainly work for their financial income, the outstanding work of Viktor Frankl (2006) has already provided us with sufficient proof that beyond any material motivation, one of the most powerful drivers for human motivation is man's search for meaning. While this is generally accepted and can easily be observed in such industries as social services or the arts which are known for their high level of personal engagement and low level of income, unfortunately most of today's organizations completely lack any potential in this regard.

This has been caused by two factors that became the core pillars of the economic success story of the past century: extensive work sharing in conjunction with specialization and the reduction of the notion of success exclusively to financially quantifiable short-term performance criteria.

In the search for increasing efficiency, most activities in today's working life are broken down to individual tasks and consolidated in such a way among the organizational members that through maximizing repetition, a steep learning curve can be achieved. While this Tayloristic system has led in the past 150 years to an unprecedented increase in transactional efficiency, the connection between the respective task and the overall purpose of the organization has become largely lost.

Lacking this connection to the overall organizational mission, work from the perspective of the employee has necessarily shrunk as a consequence to its mere function of providing the means for living and has resulted in a pattern of individuals striving to achieve this task in the most efficient way possible. The apparent correlation between performance and financial compensation that is one of the core assumptions of today's leadership is therefore not a fundamental part of human nature but the self-induced result of a disconnect between most individual work-related activities and any meaningful function in a higher context.

With organizations becoming increasingly aware of this shortfall, attempts have been made in recent decades to mask this deficiency through powerful vision statements. But in most cases, the effect has been rather limited, as these statements are rather generic in nature and – explicitly or implicitly – still focused ultimately on the maximization of financial results. Consequently, they rapidly came under the obvious suspicion that they were only nicely disguised attempts of the leadership to further increase performance to the sole benefit of the shareholder – not much to hold on to in a search for meaning within a work context that on a factual basis represents for most people more than half of their waking hours.

In order to provide meaning in a form that could activate an inner drive, such a vision would need to comply with three essential criteria: the ability to transcend purely organizational interests and targets, an ambition that is coherent with the essential values of the majority of the members of the organization, and the possibility for individuals to relate to it in a way that each separate task can be understood as an impactful contribution in the larger context.

To fulfill those factors, the organizational activity must be first of all understood within the next higher level of system complexity. Only in the larger social and ecological context can a reflection about purpose credibly transcend the sphere of self-focus. While this reaches far beyond the traditional definition of organizational responsibility, it is a vital prerequisite for the creation of meaning. Solely on this basis can the organization understand its overall activity, reaching out towards a positive purpose that is able to resonate with its members' concepts of meaningfulness.

Rather than dictating the mission of the organization top-down, only processing a reflective exercise through an intensive and inclusive internal process can ensure that the purpose aligns with the specific cultural context of the entire organization, so that its impact is able to unfold. At the same time, such a process also helps to reestablish the relationship between individual activities and the larger context. From its start onwards, it will initiate a healing process for the broken connection between work and purpose.

Yet having identified a purpose of the organization that is able to attract the full autonomous buy-in of all its members, a twin process is needed to also allow the second necessary criteria for transformation to emerge: the ability to step back from prescribed fulfillment of tasks and activate an autonomous inner capability of all organizational members to make the best possible decisions in the light of a highly dynamic context.

The increasing striving for "Agile Organizations" as the latest cutting-edge denominator for the next level of organizational efficiency is being marketed as the perfect turn-key solution for this challenge. Derived from "Scrum," an iterative and incremental software development process to confront increasing system complexity and requirement dynamics, yet, this new management trend is foremost an acknowledgment of the fact that the current method of hierarchical leadership has reached its limits of efficiency and is unable to cope with the dynamics of the outside environment.

But it appears rather naïve and wishful thinking to claim that by simply loosening the structures, organizations that have been led for decades through instruction and control will instantly develop the ability to autonomously act in a self-driven, agile way, as some mainstream management consulting suggests (Aghina et al. 2015).

Despite its linguistic similarity, agility is by far not the opposite of stability, and learned helplessness will not disappear overnight only by enlarging the maneuvering space. Eliminating traditional rigidity in a process-driven and controlling environment will above all initially create instability.

Until an organization is able to relearn taking independent action within the newly gained autonomy in a systematic way, the sudden lack of explicit guidance will instead lead to passivity, as any self-initiated decision-making is traditionally associated with taking the risk of making mistakes – which in turn is directly related to the concept of penalty in our hierarchical organizations.

As a consequence, one of the primary conditions for the functioning of autonomy is the establishment of a bidirectional culture of trust: trust by the supervising function of the ability of the individual to choose and also make the right decision, as well as trust by the individual that he/she will be protected in his/her decision-making by the higher hierarchies so that whatever the outcome of any of his/her well-intended decisions, he/she doesn't run the personal risk of being penalized.

While this doesn't sound complicated, it is important to recognize the sequence of events in this trust-building process as part of the human nature. In any hierarchical relation, a relationship built on trust always needs to be initiated by the higher level in an authentic way in order to first create a safe environment that allows trust of the employee in the newly gained autonomy to gradually build up. Consequentially, the process of building a bidirectional culture of trust is sequential with two distinct phases, starting with a leadership initiative of those in power that creates the foundation for the reciprocal reaction to gradually emerge.

For leadership that has been trained to control (and quite often is exposed to a system of control and punishment itself), this requires a fundamental shift in mindset, especially under circumstances when accountability cannot be delegated at the same time as autonomy. Therefore, creating a culture of trust primarily demands the preparedness of leadership to cope with uncertainty, to openly acknowledge appropriate competence in others even on a lower level of hierarchy, and to bear the risks of mistakes occurring despite best intentions. The latter one is particularly fundamental, being a core factor in the evolutionary process of nature, but it requires a shift toward trusting the process and its actors as a collective, rather than relying on the execution of determined incremental tasks.

Only on such a basis will newly created autonomous spaces allow the emergence of an overall understanding of the individual roles within the organizational purpose, and the volition that can motivate each member of the organization to autonomously orient him−/herself towards the best possible direction and activate an inner drive to even walk the extra mile.

Organizations that are able to relate individual activities to a common "higher purpose" – beyond the direct organizational goals – and enrich a loosened hierarchical rigidity with a culture of trust can activate an inner drive that guides transformation in the right direction. They will also exceed by far what traditional monetary motivators and hierarchical structures can achieve, as by shifting from extrinsic to intrinsic motivation, they are able to initiate a phase shift from a mindset of demonstrated performance to an ambition for authentic engagement.

Having in this way identified an alternative path to initiate drive and ensure direction in an organization, only one more factor is required in order to initiate transformation from inside: the ability to align the organization on a joint journey.

Insofar as the identification of a purpose that transcends the shareholders' interest and a leadership style that is built on trust already represent a challenge to our current management mindset, creating an aligned culture needs a further principle shift in what we have learned so far to be naturally associated with the role of the individual in a striving organization.

Based on initial models of economy and the practical analogy to the early discoveries of Charles Darwin, competition and the survival of the fittest has become inseparably associated with organizational success. After the initial focus on the outward-facing relationships with the economic environment, gradually this strategy was also embraced as a core factor of success for the inner functioning of an organization. Promotion based on best competence, bonus schemes that award positive results and penalize mistakes, as well as comparative feedback across teams are only a few selected symbols of this mindset.

What has been overlooked so far is that a process of selection out of the best available alternatives is only one of the secrets of success of natural evolution. Two more forces are required in order to avoid stagnation and ultimately extinction: the capability to innovate by creating completely new alternatives as well as the ability to cooperate. These have been largely underestimated in an organizational context due to their much less aggressive nature.

While the first one is closely associated with the possibility of making mistakes and forms part of the trust culture described previously, the latter one has especially been seen as rather contradictory to competition and as such has been considered as the weaker option. But recent research in game theory has clearly proven that cooperation, while it might not be the most successful short-term strategy in individual interactions, is by far the winning strategy for sustaining success in the long run (Nowak and Highfield 2012).

And it is the massive increase in the speed of interactions through new means of connectivity and the uncontrollable influence of social media feedback that has transformed our environment in a way that what had long-term implications some decades ago has become the new short term: social as well as economic interaction accelerate in an unprecedented way and force us to establish relationships that are able to sustain such a high frequency of interactions over time.

While we need to rapidly shift our learned evaluation process of “taking the best for me” in relational interactions to cooperation in the light of this new situation, the weakest point of this strategy is the risk taken by whoever offers collaboration who may find that his/her counterpart has not shifted to the same approach yet and will attempt to cheat in order to achieve the best short-term outcome for him−/herself.

Although this remains a big risk in game theory within loosely related systems, the transparency and longevity of *organizational* relations provide the ideal ground for a collective shift in this regard. By determining a common framework of potential actions collectively through the establishment of a robust foundation of shared values, a strong culture of cooperation can be built on solid grounds that are not exposed to the constant risk of defection.

Consequently, a common set of shared values is the third element for transformation from inside to occur. It will allow active cooperation between the members and keep the entire organization aligned towards a joint movement.

However, a key prerequisite for this is again a wholehearted buy-in of all members of the organization into those values. A top-down educational process of predefined value codices might achieve a certain level of superficial compliance, but it will not by far be enough to build a solid basis for cooperation to emerge naturally. What is needed instead is a joint and inclusive process for any organization to identify its core values in order to ensure that the concept of superficial compliance is replaced by authentic commitment.

In summary, if we are prepared to leave some of our mental models of human behavior in an organizational context behind – namely the need for a pure focus on shareholder value and the notion of ego-focused competition as the sole strategy to success – organizational transformation does not necessarily need to be enforced from outside. Instead, we can access the alternative option to initiate transformation from inside and even get the chance to achieve much more sustainable results.

All that is needed is to identify the three core elements of an organization that lead to this transformation process from inside and accompany the organization in the process of living them in its full expression: a shared purpose that transcends the organizational goals, the appropriate conditions for the collective volition to emerge, and a foundation based on core values that are uncompromised by its members.

The Anatomy of the Organizational Soul

In religions, mystical traditions as well as in philosophy, the uncarnate essence that characterizes a specific living being is typically designated as its "soul." It comprises moral, spiritual, as well as philosophical convictions that influence thinking, decision-making, and action, independent from external factors.

Like individuals, also organizations have lasting, nonexplicit traits that are shared by the majority of the collective, often vaguely denominated as culture. Independent of their assumed origin – a timeless impulse from the founding idea, a collective learning process during history, or the merging of convictions of its recruited members – they are characteristic for that specific organization, determine collective mental models, generic decision tendencies and actions and therefore represent the "Soul" of the organization.

Due to the specific but timeless nature of the above described three essential elements of an organization that enable a transformation from within, a shared purpose, the core values and the collective volition can be considered as the key ingredients of what can be described as such an "Organizational Soul" or "Corporate Soul":

- The **Purpose** of the organization is an ambition outside and above the organization itself. It shifts the focus from what the direct organizational outcome is to what it does to relationships within and beyond its scope and defines a role within the next higher system in which the organization is embedded – one that transcends the organizational interests and relates its mission to a greater good. If an organization has a purpose, it is aligning to the needs of society, to the needs of the ecological environment, and perhaps to the needs of even higher orders of complexity. As such, it offers meaning and meaningful action to all members of the organization.

  On this next level of complexity, the purpose of a car manufacturer would be elevated towards the advancement of sustainable human mobility; the one of a food company to the provision of healthy nutrition to humanity as a whole.
- **Values** shape communities. As they represent the unquestionable foundation of the organization, they allow for social cohesion to emerge and bind people together around what is most important to them. They are the cultural pillars of the community and – implicit or explicit – form the guide rails for behaviors and

decisions but also shape inner attitudes. Forging relationships between people, departments, and teams and developing a deep and true understanding of the values embedded in the collective culture is crucial to building a community.

Values in this form differentiate strongly from striking generic normative claims as they represent unique and uncompromising building-blocks specific to the organization that are shared by everybody and determine internal and external relations and characterize unique traits of the specific organization, e.g., “we care for each other,” “we lead by example,” . . .

- The **Volition** of an organization represents the subjective driver and leads to a reservoir for engagement that is not accessible by external motivational means. It propels individuals to work with passion from their heart and no longer consider work as work but rather as service for a vision that reaches beyond their self-interests. Its foundation is a context shift from enforced external direction to self-determined action to allow willpower to express itself.

  Being shared by the members, the volition is also the mainspring of team motivation. It is at the heart of a collective work-culture that inspires and encourages. Such conditions like “we thrive when we are empowered by trust” or “we thrive when we focus our determination on our purpose” describe the essence of what transforms motivation into action in the organization.

As these three pillars of the Corporate Soul are still rather abstract in nature, they need to be simultaneously translated into necessary competences and concrete action plans that reflect their tangible expression in order to be able to manifest these timeless foundations within all organizational ambitions, actions, and relations. Therefore, two more elements build the dynamic bridge to the operational reality of the organization:

- **Capacities** are the strategies that deliver the values, purpose, and whys of the organizational function. Capacities need to be built in order to translate the intangible qualities of the Soul in a way that they are able to guide an emerging reality. Capacities consist of skills and abilities, attitudes and behaviors, as well as spiritual insights and knowledge. For the organization, this means that it has to create the conditions for the individual to engage in a continuous learning process of translating the values, purpose, and volition into reality. Capacities are dynamic.

  When the experiences of acting in the current reality are connected to a deeper understanding of the values, purpose, and volition, the organization will often realize that it needs to elevate existing capacities or consider new ones.
- **Action Frameworks** are the products and services that flow out of purpose, volition, and values and are enabled by the capacities developed in the organization. It is only through our actions that a soul speaks. When the actions are a result of all the above, others will recognize the organizational ambition.

  Products and services may change as a result of increasing capabilities to engage for the purpose; new products may emerge or they may simply stay but rise in their explicit quality.

To summarize, the key elements of the integral anatomy of an Organizational Soul are the Purpose, the Values, and the Volition of the organization, as well as the core Competences and an Action framework.

As highlighted before, each of these elements of the Organizational Soul cannot be prescribed top-down in a normative way but needs to emerge from the organization, ideally through an inclusive, collaborative process in order to reflect the true essence of the collective. This is valid for its timeless elements of Purpose, Values, and Volition as much as for its dynamic expressions in the form of Capacities and Action Frameworks.

This appears to be in major contrast to a traditional leadership culture that attempts to achieve predefined results through a largely enforced top-down process. But what type of leadership is required to build such a space for transformation from inside to emerge?

Leadership Evolution

The entirety of human history is a history of leaders who have left their imprint on society, with positive consequences but often also with negative ones. What has been understood as “good leadership” or “good governance” has changed over time, although the discussion about it has never stopped. Countless theories arguing the pros and cons of each leadership style have been published, while new labels continue to be invented, attempting to reflect the respective level of societal maturity and consciousness.

What is true for society has an equal relevance for economy. A broad range of leadership styles can be identified that characterize business organizations. In a governmental context, the restriction to the national playing field and the direct dependence on the respective power constellation has led to a constant variation of manifestations, from an evolutionary progress to a cultural regression. Business leadership, on the other hand, with its constant exposure to external competition has followed a rather continuous evolution, striving for constantly increasing efficiency. Leaving fluctuations in speed and temporary periods of stagnation aside, business can be predominantly seen as a history of continuous progress, as any regression of one of its players is immediately penalized by its perishing.

With some degree of simplification, four distinct phases in this economic evolution can be identified, each phase adding one additional layer of complexity to the leadership challenge of navigating through them (Fox 2017).

For centuries in human history, economy could be considered more or less static. With the exception of occasional inventions, the main driver for sustainable success was the handover of traditional knowledge from one generation to the next. Due to the focus on maintaining and perfecting those specific skills, the corresponding organizational forms were either individual artisanal operations or small in size and largely family-based, typically led by the most experienced person in the specific domain.

With the growing urban population and the massive expansion of mass production possibilities enabled by the industrial revolution, the focus shifted towards rapidly increasing the transactional output. Due to the efficiency gains from standardization and work-sharing, new multilevel hierarchical organizations rapidly emerged that aimed to ensure consistency through high levels of control and order. Speed became the main characteristic of this phase. The pace of the individual in initially completing a predefined task, and later assuming a duty at least within the tight constraints of predefined processes, emerged as a new dimension of limited individual autonomy.

Heightened competition changed this world in the last decades of the last century and resulted in the need for multidimensional success strategies for markets, processes, and products, in a constant challenge to "win the race." Prescribed task fulfillment increasingly needed to be replaced by a process of objective setting that required finding a balance between a multitude of – partly competing – success factors. Not speed, but the need for continuous acceleration further uplifted the dominant focus for any business endeavor. While still largely segmented within functional organizational silos, this enforced a further increase in the autonomy for the employees in order to keep pace.

But nowadays, further effort is needed to maintain a leading position, especially as regularly disruptive changes do redistribute the cards overnight. In an attempt to ensure maneuverability in an increasingly complex environment, hierarchical decision processes, and individual performance are reaching their limits. Agile, cross-functional collaboration is required to further improve the organizational output. With the transition to the twenty-first century, we have left the realm of static competence, linear speed, and multidimensional acceleration and entered a level of economic evolution where performance within complex systems requires co-creative autonomy on a very new level, one that is able to activate collective engagement.

To summarize, leadership in a business context can be historically clustered in four main phases that are representative of gradually increasing levels of autonomy for the individuals within the organizational environment (see Table 1).

While this offers a helpful classification of leadership styles within the business context, it needs to be remembered that – as outlined earlier – any increase in organizational autonomy is by far not a singular step but rather a complex process of human relations within their hierarchical dependencies.

Table 1 The four phases of economic evolutions (Fox 2017)

	Economy 1.0	Economy 2.0	Economy 3.0	Economy 4.0
Phase	pre Adam Smith	19th/20th century	after 1980	21st century
Dimensions	Static	Linear	Multidimensional	Dynamic
Economic Focus	Copy	Accelerate	Win the race	Systemic lead within networks
Design Method	Repetition	Learning curve	TQM, lean	Dynamic adaptability

Conditional to a healthy emergence of autonomy within an organizational context is an appropriate respective trust relationship between the leader and the subordinate, as only on this basis can control be lifted without the imminent threat of an undesired outcome. While this trust relation needs to be mutual, the asymmetrical power relationship requires that it can only evolve in two discrete steps.

Even though the aim of agile organizations is that actions and decisions within a space of autonomy are undertaken by the subordinates, the vital prerequisite for such action to be intrinsically initiated is the credible belief of each individual that he/she has the full trust and protection of the leader (Narayanan 2012). As a consequence, an increasing level of autonomy needs to be initiated by an authentic granting of trust by the leader to the employee. Only on this basis can a reciprocal level of trust of the subordinate towards his/her supervisor emerge.

Those two steps are vital in every phase of leadership evolution. Therefore, economic history can be generally classified into four phases of increasing autonomy, each consisting of those two separate sub-steps of top-down trust granting and bottom-up emergence of trust that are necessary for the expansion of autonomy onto the next level, resulting in eight distinct evolutionary levels of leadership qualities.

For each of these levels, certain key typologies can be identified and distinguished that best describe each of those stages, albeit with a certain level of generalization, when looking at the many types of leaders across different (organizational) cultures (Fox 2017):

1. **Self-focused Leadership** (no trust, no autonomy): The self-focused leader embodies an almost dictatorial style of leadership. He/she is exclusively focused on his/her personal interests and is largely self-absorbed, expects people to serve him/her, and takes impulsive and unpredictable decisions based on a narrow world-view that excludes rather than includes the interests of others. If he/she is surrounded by others, they need to spend the larger part of their time serving him/her (and the leader's ego) personally, instead of getting the work done.

   While this style serves the needs of imminent survival, it is barely suitable for any form of organization, as it neither leaves space for autonomy where individual engagement could expand beyond simple obedience nor does it create any preconditions for a mutual trust relationship. Its sole focus is the fulfillment of prescribed tasks that quite often lack any strategic logic in the interest of the whole.
2. **Affiliate Leadership** (little trust top-down, no autonomy): The rather kin-focused affiliate leadership is characterized by, and focused on, the creation of an inner circle of influence. It generates harmony among the closest affiliates, who are treated like family members, but it lacks ambition for integration with what lies outside of the kin. The leader is seen as a caring patriarch who leads and motivates through promoting the sense of belonging, via inclusion or exclusion. Loved and/or hated by the people, the affiliate leader triggers strong emotions and identification. Rituals, tradition, and a particular code of conduct are valued dearly and often passed on from one generation to the next, with the expectancy that they will continue.

This is also what makes the organization rather slow to adapt, especially in a dynamic and increasingly complex environment. While no autonomy is granted, a certain level of trust granted by the leader to the immediate affiliates at least creates some preconditions within the kin for retrospective trust to emerge. As this trust is up to the personal discretion of the leader, it still does not form a sustainable and solid basis for the organization. Success remains therefore often limited to a local sphere of influence, while the outside world is often considered to be an adversary, which makes this organization still very vulnerable.

3. **Authoritarian Leadership** (little trust, little autonomy): The authoritarian Leader, often also referred to as commanding or autocratic, acts out of a position of unlimited power from where he/she commands and expects full obedience to the policies, procedures and goals he/she dictates. Committed to a particular ideology or target, there is virtually no lateral autonomy in the organization but a high level of pressure and control, ensuring compliance with the prescribed direction. Only the speed needed for completion leaves space for individual variation. The assumption with this style of leadership is that people need to be led by a strong hand, and that without force and intimidation, employees would not deliver, and would abuse their freedom, leaving the organization in a highly unproductive state.

   However, although it is efficient in delivering the maximum transactional performance, this leadership style determines a preset direction. While it replaces constant task control with regular progress review, the corporate culture that is based mainly on fear does not allow deeper levels of trust to build up that would foster authentic personal engagement, knowledge sharing, or innovation. Furthermore, the high level of pressure quite often puts little focus on regeneration and makes an unsustainable use of its employees.

4. **Regulating Leadership** (limited trust top-down, little autonomy): A regulating (respectively administrative) style of leadership is based on the assumption that only reliable and lean processes lead to quality and efficiency, and they need to be highly regulated. Any potential human lateral variation is eliminated as it is considered imperfect in quality compared to the best possible process design. There is a clear hierarchical organizational structure that prescribes and enforces a defined code of conduct on every level. The employees turn to the rules and processes for guidance instead of to a specific leader, and this mirrors the bureaucratic and mechanistic concept that lies beneath this style of leadership. The leader him−/herself is rather invisible and represented more through the subordinates who execute his/her will.

   High levels of auditing activities and process documentation are characteristic for such organizations, which often refer to the need for safety or the next higher authority as justification for the high degree of formalism. While the leadership style relaxes slightly towards granting trust in the employees to voluntarily follow the direction, the number of rules, regulations, and processes that replace direct task control slow the organization down, especially in increasingly complex environments. The missing space for creativity and knowledge sharing, and the constraint to linear autonomy only within the tight constraints of the processes still massively reduce its innovation performance, although job security is very high and creates a certain level of collective confidence.

5. **Pacesetting Leadership** (limited trust top-down, limited autonomy): Pacesetting (also designated transactional) leaders are highly driven by their personal ambition for success. They want more done in less time and they push the organization to keep up with their pace. Using extrinsic rewards such as high bonus systems to motivate their people, they bring the rules of the marketplace into the organization, by inducing and pushing internal competition between their employees. Alignment and identification is created in order to streamline the forces to win the race against the competition in the market.

   Autonomy is expanded in such an environment – as long as it is focused on the success of the company and as long as the employees show high levels of engagement and commitment. On the other hand, the conviction the leader has of his/her own outstanding skills and knowledge hinders him/her from granting an extensive amount of trust in the capabilities of other people. While this style of leadership creates a highly dynamic and efficient environment that welcomes ideas and innovation within the constraints of preset mental models, the level of performance pressure on the individual is extremely high and drives organizations to the limits of what they can bear. Trust is accessible to the extent that the individual employee feels recognized in its competences, but he/she remains constantly threatened by an increasing pressure to improve.

6. **Participatory Leadership** (increasing trust top-down, limited autonomy): A Participatory Leader cares deeply for all employees, making their well-being and development a major objective of his/her leadership effort. Employees are guided in a coaching fashion that aims for empowerment and self-responsibility. As the leader trusts fully in the competence of his/her people, the level of autonomy in this organization is quite high, even though the coaching attitude of the leader remains a principle directive influence. Relatedness is also valued highly, so a lot of time is invested in community- and team-building as well as in co-creative learning.

   While this leadership style is able to create the foundation for a mutual trust relationship, the decision-making typically takes a very long time and is achieved through a broad democratic involvement that aims for collective consensus. As a consequence, within an omnipresent dynamic of the economic environment, it fosters an omnipresent doubt in the sustainable resilience of the organization. While the well-being factor of the people as well as their self-confidence in this organization is normally very high, the organization itself often lacks agility and dynamism in the market place; it easily becomes overly self-absorbed as a collective, risking efficiency-loss on many levels. The leader considers him–/herself more part of the collective and leads from "behind the curtain," which can create a "leadership vacuum."

7. **Transformational Leadership** (increasing trust top-down, increasing autonomy): Transformational Leaders are characterized by their integrity, and a strong charismatic and caring personality that, once experienced, is never forgotten. This style of leadership can create a farsighted vision and is deeply committed to an overall mission that implies a higher purpose and serves a greater good. The

leader leads by example, living in the way that he/she asks the people to do, thus functioning as a role model that people look up to and follow.

He trusts all employees, considering them as competent, appreciates their expertise, and fosters their personal growth. As a result, they are granted a high level of lateral autonomy and are deeply involved throughout the entire scope of any transformation process – from the identification of the need for change to the creation of an inspirational vision to the execution of the necessary change – and as such also creates the conditions for tailored autonomy. While this organization offers a corporate culture of trust, innovation, and confidence, with a great impetus for positive change, it still often lacks continuity, as its success is strongly tied to the personality of the leader, even after he/she leaves.

8. **Soul-driven Leadership** (full trust top-down, increasing autonomy): Soul-driven Leadership combines the skills of a transformational leader with the inner attitudes and characteristics of a “Servant Leader” (Greenleaf 1977). Rather than focused on his/her own view of the ideal strategy to pursue, the leader is deeply committed to the Corporate Soul of the organization. He/she serves the greater good as well as its people through values-guided decisions and actions that display a high level of wisdom, maturity, and humility.

   The employees feel seen and appreciated and strive to contribute to their fullest capacity within their broad scope of autonomy. Ultimately by disconnecting the strategy from his/her own world-view, this leader transcends the need for leadership (and the attachment to his/her persona) altogether by creating a self-learning and empowered organization that accepts and respects the Corporate Soul as the guiding principle for all actions and decisions, carrying forward sustainable change independently from the person in power.

While any situational organizational subcontext naturally calls for a tailored style of leadership and any generalization can only provide generic guidance, one can still see that each of these styles represents a discrete developmental stage in an evolutionary process in terms of granted autonomy and the level of mutual trust and corresponds to a respective evolutionary level of our economy (see Fig. 1).

Due to the high level of autonomy required and the associated need for mutual trust to transform an organization from inside and lead it towards a sustainably self-motivated state of agility, creativity, and passion, it is ultimately the Soul-driven Leader that has the competence and skills to embrace the challenges. And it is his/her ambition to transcend leadership in its classical form that is able to create sufficient space for self-organizing systems to emerge that are the precondition for any transformation from inside.

Leading from Within

As outlined before, the main elements for an organizational transformation process from the inside aim to have the same impact as the core factors of change that are the focus of a transformation process induced from the outside: The connection to a

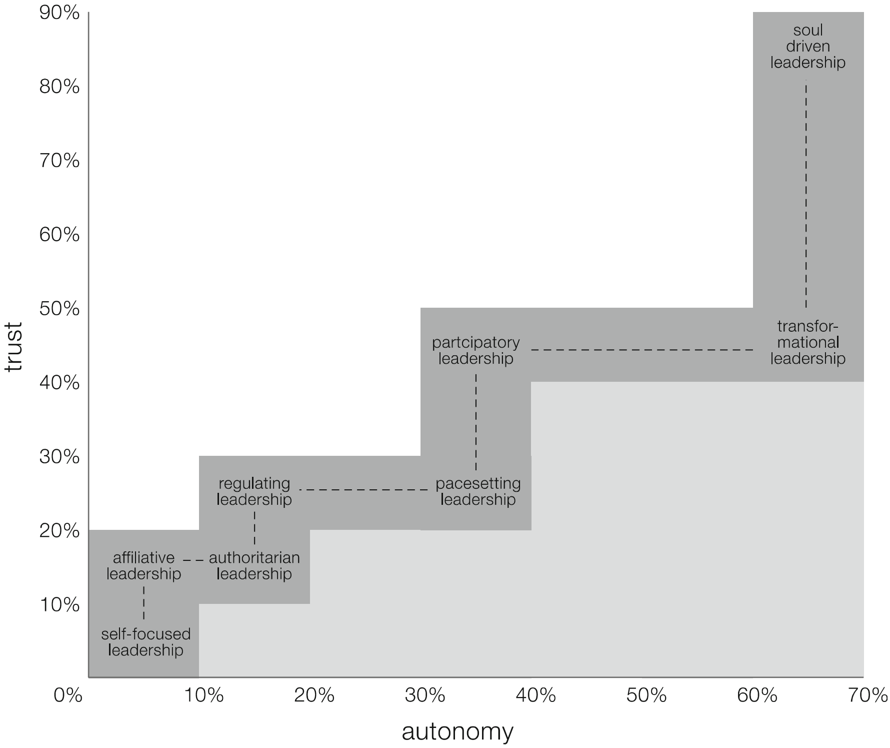


Fig. 1 Qualitative overview of the key eight phases of leadership evolution

purpose within the next higher system of complexity provides direction, the inner volition drives the organization forward and the common values align everybody on a common path.

What fundamentally needs to shift compared to a transformation from outside is the perceived "locus of causality" in the eyes of the employees for individual action. While traditional change is typically initiated by a leader and the individual can fully lean into the hierarchical order, a transformation from inside is foremost a collective elevation process of the entire organization from the bottom-up. Individuals' actions are therefore no longer motivated by a striving for compliance with predefined behaviors established by higher level hierarchies, or by an ambition to meet expected preset targets, but emerge from an inner voluntary engagement and a conviction to be able to make an impact to the benefit of the collective purpose – founded on the confidence in the permission to take appropriate action.

For most organizations that are predominantly built on a command-control culture, this shift represents a fundamental difference for both leadership as well as the organizational culture itself. While the soul-driven leader represents the ideal level of excellence in the economic leadership evolution that is able to support a transformation from inside, its competences and skills also require an equivalent high level of consciousness within the organizational culture and its members to flourish under such leadership.

Consequently, in most cases the transition from a habit of externally induced transformation to the emergence of inner transformation is not a digital switch in culture but requires a synchronized transition process that is comparable to an accelerated form of the leadership evolution described before. Step by step, trust needs to be built while autonomy is gradually increased. The speed of progress in such a process is not only dependent on the organizational size but also largely on the experienced leadership history and the respective starting conditions and can easily be slowed down, especially by the tacit presence of organizational leadership traumata.

A soul-driven leader needs therefore not only the ultimate competences to transcend leadership in a highly trust-based environment but has to integrate all previous levels of leadership skills in a healthy way in order to apply them during the transition in specific circumstances and gradually accompany the organization on the evolutionary path towards its full capability for transformation from inside through appropriate means.

Four key phases have shown to be a helpful framework to accompany such a transition step by step:

Drive: Developing a culture of authentic communication

As all internal organizational relationships are built on a mutual exchange between individuals that is highly determined by the honesty of its expression, the primary skills that need to be developed, as a prerequisite for transformation from inside, comprise a culture of authentic communication. In the light of the fact that most hierarchical cultures are foremost power-focused, internal communication though is often far from being authentic, but rather misused as a means to exercise power within a constant competitive struggle to win. The primary focus of the leader should therefore be to ensure a shift from manipulative to meaningful conversations, as this is key to enabling open and frank dialogue about the inner reality of the organization and to obtaining a collective understanding about what is needed for progress to occur.

Direction: Expanding energy towards the Corporate Soul

Once this initial step of cultural change has reached a state where it has entered broadly the organizational relationships and has also become contagious, the organization – initially composed of individuals – has reached a state where it is ready to transform into a movement. At this point, the organization needs to be guided from a rather procedural cultural change focus on authentic relations towards a more content-oriented striving where the direction of actions becomes the center of orientation. Building on the insights discovered during the identification of the organizational purpose, a more soul-oriented discussion about how it can continuously improve its manifestation in the world can emerge. Naturally, conversations around the core purpose of the organization will revert to the questions on the necessary means for its manifestation and should build the natural ability to determine the capacities and actions needed for the next incremental step to occur.

Alignment: Creating and embracing new models

After this new culture has been able to find roots, the focus can be further elevated towards a more systematic approach to the organizational manifestation. Rather than initiating a constant flow of individual actions, the leader can further elevate the discussion towards a coordinated attempt to create new, more appropriate models. This includes a process of learning to think in systems in order to properly read reality in its full complexity, a conscious dialogue to challenge existing mental models as much as a controlled process to prototype, experience, and learn from new ways on managing the existing reality.

Evolution: Elevating the perspective

Finally, the evolutionary process of cultural transformation should be completed by developing the capability of critical and honest self-reflection and as such transit into continuously improving progress. Through the evaluation of what has been done before, the organization will learn how to increasingly create meaning and learn from its actions. Once established as a regular habit, this last step will ensure that the organization will remain vigilant and gets aware of changes within their environment that open new opportunities to progress – independent of the personality of the leader.

The role of a leader in this process consequently moves from being the initiator towards being an enabler and ultimately to that of a servant to the Soul of the organization, whose final task is to create the optimal framework conditions that allow the individual to personally grow towards his/her best possibilities and to fill in his/her space within the organization. At the same time, the leader needs to accompany the organization on the path to high autonomy and mutual trust, while he/she remains the guardian of the Corporate Soul.

This not only requires a completely new set of leadership skills but especially represents a challenge for the personality of the leader. In our fast-moving economy, the pressure for short-term results is continuously increasing, preventing most leaders from maintaining a long-view on the development of their organizational culture.

Furthermore, our ambition to be able to measure results in a tangible form and directly attribute them to individual actions prevents us from focusing on creating the vital prerequisites for nonquantifiable targets – even if their importance is obvious. In the absence of reasonable measurements for innovation performance, collaboration, or the quality of client relations, most organizations instead limit themselves to transactional measures that are contained in their usual controlling tools and make decisions accordingly – often against their own convictions.

Despite numerous attempts in the recent years to include competencies like empathy, collaboration, and empowerment into management skills, the avatar of an ideal leader is still predominantly characterized by its strong fact-based analytical abilities, its toughness to take difficult decisions in a challenging environment, and its visible impact on the organization.

Training the organization to properly read the reality and trusting it to autonomously respond in the best way to a dynamic environment, refraining from direct intervention, and withdrawing from the imminent self-attribution of success, therefore requires a highly developed personality that can withstand external pressure and is prepared to take high personal risks in today's leadership environment – at least until the performance criteria for leadership success are enriched by those yet unquantifiable factors that are decisive for sustainable success in a complex and dynamic environment.

Soul-Driven Mergers and Acquisitions

The process of transformation from inside does not only expand the ability of an organization to better adapt to the dynamics of a changing environment but is also able to facilitate change beyond the familiar borders. In an economic reality where acquisitions and mergers have become a daily occurrence, this approach is also very helpful when it comes to changes of ownership and especially in the case of consolidation of previously independent organizations – one of the major root causes for organizational traumatization.

What seems to be commonly recognized in a family context, when remarriage or adoption challenges a child's personality with a complete new emotional and social context, has yet barely entered into one of the most impactful domains of corporate transformation. While acquisitions and mergers have become a huge business for many large consultancy firms, they typically focus on the tangible outside factors in such a process.

Huge effort is often invested during the due diligence process where the audit of the financial numbers and the analysis of the legal framework conditions consume a large amount of energy in the attempt to understand the core of the business. Mainly on the basis of these parameters, sophisticated implementation plans are prepared and executed by dedicated M&A-project teams that aim to achieve sufficient "synergies" in order to rapidly create financial return.

The design and composition of these plans does not differ a lot from any other transformation processes that are induced from outside – except in their high complexity, as they leave barely any domain of the organization untouched. Yet, they typically leave one of the most essential elements for future success in an increasingly complex environment out of the equation: the individual employee.

As the human factor in organizations is typically considered as the most tangible element for reducing costs, the core focus in most merger processes is the alignment and fusion of the foremost separate entities into single operational units and the release of a noticeable amount of the workforce that is considered "redundant." Ignoring the respective cultural context, these decisions are made from a predominantly desktop analysis of the organizational factors and usually limit themselves to anonymous headcount figures.

This is in no way surprising as despite frequent lip service to the contrary, the employee is not recognized in a tangible way as a valued asset in our financial reporting systems and not represented beyond his/her direct costs in our economic equations. With a consistent focus on those financial figures, typically little is undertaken “below the waterline” during these processes.

On the other side, in these instances most interpersonal relationships that have been able to build up over a long period of time become massively disrupted by such broad interventions. While this was not too relevant in a largely transactional economic system where the individual could be easily replaced, it is increasingly not the efficiency of the processes but the quality of the relationships that determine the quality of the outcome of most business endeavors. Therefore, by (unconsciously) undermining this foundation, mergers often fall short of expectations.

Those disappointments are not surprising as in the outflow of massive organizational change most relationships are shredded and need years to heal, if this process is not properly supported. This is especially true for mergers where quite often previously competing organizations are newly set up with the intended goal to harmoniously collaborate on a common task.

What would appear already to be a complex challenge when former enemies are supposed to become siblings, and new family members join an existing kin, is especially difficult in the light of an omnipresent threat posed by the underlying understanding that only a part of the previous populations will survive that process. While habitual relationships vanish on a broad scale through disruptive organizational change, fear further undermines the last remaining fragments of trust culture and prevents fundamentally new trust to build up.

Although the principle challenge of the existential threat will remain, a carefully crafted process of “Merging the Souls” during a merger process is able to reduce the negative consequences for the organization as much as for the individuals. On the one hand, valuing the past and building the new reality on a foundation composed of the timeless cores of the previous organizations can ensure that relationships are not completely disrupted – and that they can rapidly be rebuilt on the fertile soil of what was familiar in the past.

On the other hand, actively integrating the fundamental basis of the existing capacities into the future desired state will help to rapidly shift the focus to building a new, compelling reality and creating a vision of hope.

Focusing primarily on the three timeless elements of the Corporate Soul – the purpose, the values, and the volition – such a merger process from inside comprises three steps in each of these aspects: the explicit recognition of the respective soul element of each party prior to the merger, the identification of a new identity that can be composed out of those vital factors, and the implementation of this new reality into the cultural DNA of the organization through aligned action and communication.

Purpose: As most mergers typically combine individual entities that have operated in the same higher complex system, transitioning the initial purpose of each separate part into a new home is foremost a process that focuses on the analysis of the merged organization within that system and identifies the new possibilities of the combined forces to pursue a useful purpose within this larger context. Ideally and similar to the process of organizational transformation from inside, the new purpose should represent a higher evolutionary state within the next level of system complexity than the respective individual understandings that existed before.

Values: More effort is required to fuse the individual value systems into a new merged identity. As the values are the foundation for the emergence of trust and the mortar for relationships to build, it is especially essential in a merger process that while the new value system needs to embrace all previously separated worlds, the link to what has been familiar in the past remains undisrupted. Therefore, the key focus needs to be on the precise and credible translation between what was reassuring the organizations before the merger and what is supposed to become the new environment.

This is very different to processes where leadership attempts to educate their organization on compliance with an artificially composed value system in a top-down process. The merger of values needs to be driven bottom-up in order to be able to maintain the vital overlap between the personal values of each individual and the collective culture. Only by anchoring the future culture in what has been known and familiar before can the new value system appear as a harmonious upgrade to their previously known identity for everybody in the organization and can lead to a wholehearted commitment.

Volition: Finally, identifying the specific volition of each team can help to compose a tailored new organization where the respective strengths of each culture can continue to flourish while the added elements are considered as enrichment for the merged organization in their striving for manifestation of its soul. Rather than carving out generic headcount numbers, this organizational design process should be very specific for each individual area where needed capacities should be matched with the respective volition.

At the same time, its overall ambition needs to be highly inclusive regarding the specific differences in historic culture and aim for unity in diversity that values individual strength rather than encouraging assimilation. Only through such a process of "merging the souls" is a new joint endeavor able to build on both cultures in a healthy way. It will form the foundation for the new capacities so that action frameworks can be successfully obtained.

A New Quality of Organizational Transformation

While our traditional mental models about leadership lead us to believe that organizational transformation is a laborious process that needs to be driven top-down and requires a constant investment of management energy, the activation of the Corporate Soul opens the door to initiate change from inside.

This process is able to release yet unused intrinsic organizational energies and capabilities that create sufficient inner drive to continuously carry forward transformation at the level that is required today in a dynamic complex environment. At the same time, it provides sufficient guidance for organizational alignment to pursue a common target and ensures the guardrails needed for a culture of true collaboration to emerge.

Its biggest challenge is the need for a new evolutionary level of leadership that is able to contain the stretch between personal accountability and the need for unconditional trust into the process and the members of the organization, the foundation for a truly agile organization to flourish.

On the other side, once successfully implemented, the process of activating the Corporate Soul creates organizations that are largely self-guided and are able to develop a level of performance that by far exceeds any known hierarchical organizational model – in singular organizations as much as during a process of merging multiple organizational cultures.

Cross-References

- ► Creating a Flow Organization to Lead into the Future
- ► Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
- ► Self-Awareness in Personal Transformation
- ► The Transformation to Open-Heart Skills and Mindfulness in Healthcare Using the INTOUCH Model
- ► The Truth About Transformation: One Person Can Change the World

Acknowledgment "Building a vision of Hope" and "Soul Driven Leadership" are licensed under a Creative Commons AttributionNoDerivatives 4.0 International License by Refresh Interactions B.V. (soul.com). Based on work at www.findingthesoul.org and www.soul.com

References

Aghina W, De Smet A, Weerda K (2015) Agility: it rhymes with stability. McKinsey Quarterly, December 2015

Fox R (2017) Bionische Unternehmensführung. Springer International Publishing, Heidelberg

Frankl V (2006) Man's search for meaning. Beacon Press, Boston

Greenleaf RK (1977) Servant leadership – a journey into the nature of legitimate power and greatness. Paulist Press, Mahwah

Kaplan RS, Norton DP (1996) The balanced scorecard – translating strategy into action. Harvard Business Review Press, Boston

Narayanan SS (2012) Quid Pro Quo nature of leadership trust formation – a Monadic study from the subordinate's perspective. Int J Bus Manag 7(21). Canadian Center of Science and Education, North York

Nowak M, Highfield R (2012) SuperCooperators: altruism, evolution, and why we need each other to succeed. Free Press, New York

Creating a Flow Organization to Lead into the Future

Ruediger Fox

Contents

Abstract

Our traditional command-control-based business organizations seem less and less able to keep pace with the increasing complexity and growing dynamics induced by our globally connected economy. Success and resilience on this new level of societal evolution require organizational competences that are fundamentally different from transactional optimization and get rather undermined by our yet largely contest-based corporate cultures. System consciousness, corporate agility, and proactive collaboration can only emerge from an authentic collective focus

R. Fox (✉)
GCH-Institute (Hamburg/Zell am Moos), Zell am Moos, Austria
e-mail: Ruediger.fox@t-online.de

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_24

and need to be fueled by intrinsic rather than extrinsic motivation – ultimately from a place of flow. The Gross Corporate Happiness® model represents the first integral framework that integrates all the key conditions for such a Flow Organization and provides the means to identify the relevant “acupuncture points” for an effective organizational transformation. In order to achieve a lasting shift in the traditional mental models, its introduction process ideally follows five distinct phases of a “Hero’s Journey” that ensure that the change is fully embedded into the DNA of the organization: Identifying the Organizational Soul, Creating a Movement, Shifting from Control to Trust, Transforming the Organization into a Community, and Focusing Energy on a process of Continuous Evolution.

Keywords
Corporate happiness, Intrinsic motivation, Bhutan, Corporate Soul, Agile organization, Self-determination theory, Hero’s Journey, Flow, Organizational transformation, Collaboration, System thinking

A Fourth Dimension of Business Dynamics

With the dawn of the new millennium, we can no longer ignore the drastic acceleration of the dynamics in our global economy. While we are still trying our best to keep pace, some ground rules in business appear to have fundamentally changed, making it more and more difficult to follow them. Even Michael Porter’s three generic strategies of differentiation, focus, or cost leadership (Porter 1980), which have been our reliable guidance to sustaining corporate success since the 1980s, seem to have lost their cutting edge.

In more and more industries, the concepts of leaning out processes and off-shoring to low-cost countries in the pursuit of cost reduction strategies have reached their limits; lower entry barriers for imitators have melted down product lifetimes and are undermining the ability to sustain differentiation; and new emergent technologies have even started to threaten the last remaining market niches.

At the same time, driven by connectivity and globalization, almost all companies have outgrown the times in which they could consider their current businesses as part of an overseeable closed local system of limited complexity with a countable number of interrelated agents.

Until recently, we could still at least analyze most business situations from a temporarily static perspective. Depending on a handful of known key factors, we were able to simulate our likely future through extrapolated business plans and, where needed, capture potential future uncertainties through a handful of alternative scenarios.

But the unpredictability of more and more of these parameters forces us to add one additional dimension to the traditional equilibrium-oriented decision-making processes within our habitual planning cycles: the increasing unforeseeable dynamics over time.

While we have been used to predicting future developments by extrapolating the past and did align our strategies accordingly, the "butterfly effect" of small changes in one context can nowadays massively influence other interconnected systems in an unpredictable way. What is known since decades as a characteristic of any complex, nonlinear, dynamic, deterministic system has now become daily reality of business and requires from organizations a new dimension of resilience to an omnipresent unpredictability.

Adding this new dimension to Porter's strategic approaches raises the complexity for our business strategies to a new evolutionary level and requires traditional command-control-based organizations to develop a completely new set of capabilities:

- Cooperation: To remain a "differentiator," it is not any longer the established product that is the key but rather the ability to position and constantly renew a tailored service within an integral, partially emotional user context and the competence to act within dynamic networks of fading borders between clients, suppliers, and partners.
- Agility: "Cost leadership" is no longer about the ability to produce a product at the lowest direct cost, but rather the skill to efficiently moderate agile organizations that are able to handle a complex and constantly changing portfolio.
- Innovation: And a "focus" strategy can no longer be built on asset-like knowledge heritage in a specific technical domain but needs a high level of continuous innovation performance in order to keep up with the pace of emerging technological possibilities.

As a consequence, successful cooperation, efficient agility, and continuous innovation have become the new success factors of any business endeavor in order to achieve sustained resilience.

An Evolutionary Process

This is not the first time in economic history that we have been challenged to recalibrate our focus. Looking at the core domains of any business – the product, the organization, and the clients – the evolution of economy shows that the factors for success changed every time the complexity of the economic system increased. With some degree of simplification, up until now three main phases of economic transformation can be identified, each phase adding one additional layer of complexity to the economic models with which we try to navigate through them.

For centuries in human history, economy could be considered more or less single-dimensional static. The main business goal – with the exception of occasional singular inventions – was to maintain specific skills and abilities from one generation to the next. Clients had no other option than turning to the monopolistic artisanal specialists within reach, and the traditional knowledge that was needed to generate the product was the core asset. Early organizational forms were largely command based and remained simple in structure and small in size.

With the growing urban population and the recognition by Adam Smith of the need for increased supply (Smith 1776), the focus shifted – supported by the capabilities emerging from the Industrial Revolution – to boosting the transactional output of human manufacturing with the support of machines and the acceleration of the learning curve via mass production. New multilevel hierarchical organizations aimed to ensure consistency through high levels of control and order. To stay "best in class," the business focus was to continuously optimize a singular core product feature based on historical know-how: a faster car, a stronger machine, or a more far-reaching plane. Business required increasing linear speed and become two dimensional.

Heightened competition changed this world in the late decades of the last century and resulted in the need for a multidimensional strategic approach to markets, processes, and products, in a constant attempt to "win the race." Investment into R&D resources became key to constant improvement of products in a multitude of their – partially competing – features: cars needed to be stylish, fast, efficient, and full of a range of extras and apparel needed to be highly functional, fashionable, and cheap at the same time. Success required constant acceleration within a three-dimensional space of possibilities.

Infected by this external environment, competition also became the inner organizational driver within the limited spaces of individual autonomy.

But nowadays increasing effort is needed to maintain a leading position, while disruptive changes can redistribute the cards overnight. Product life cycles shorten to below traditional investment return periods, price erosion overtakes our ability to continuously generate productivity gains, client relations become increasingly emotional and volatile, and market borders lose their validity.

However, what seems like a system decline in the face of an almost unbearable level of change dynamics can actually be seen as the dawn of the fourth phase of economic evolution, where organizations need to develop new skills outside of their traditional transactional concepts and opportunities emerge in a four-dimensional realm of space and time:

- The ability to create mutually balanced relationships and collaborate within continuously evolving networks in order to maintain attractiveness in interconnected markets
- The capability of reacting dynamically and adapting to unpredictable circumstances while minimizing the required administration
- The willingness to tap into and unleash the collective intelligence in order to achieve sufficient innovation performance

Looked at closely, these skills are not unfamiliar to us – we find evidence of their being mastered in the microcosms of the booming Start-up scene.The question that emerges is whether the small size of Start-ups – merely reflecting a single-digit percentage of our economy – is the vital prerequisite for the now so urgently needed organizational skills, while those get suffocated with the increasing size of an organization. Was Nicholas Negroponte, Founder of the MIT Media Labs, right when he eloquently stated more than 10 years ago that large companies need 50% of their people to manage the others, while those being managed need another 50% of their time to get managed – leading to 25% of net efficiency versus about 90% in Start-ups (Negroponte 2005).

Or what does it take for large corporations to develop and master the competences that the global markets are asking for? How can we successfully navigate in the next phase of economic evolution?

A Historic EGO-Focus Paradigm

Confronted with today's market challenges, most organizations still strive to intensify what has proven to work in the past. Analogous to physics, increasing pressure is expected to lead to higher output, and it is assumed that tighter control will ensure the achievement of ever-increasingly challenging targets. So most companies magnify the carrots and accelerate the drumbeat of the sticks in their attempt to keep pace with the rising pressure for performance.

But what we need to realize is that perfecting our established management methods of instruction and control has tended to inflate our hierarchical organizational efficiency in the light of rising portfolio complexity, as more and more administration is needed to micromanage and track the plans.

Furthermore, our functional reporting line structures have fragmented our operations and limited the individual employee focus to specific task achievements, while at our back door, the need to have very different organizational competences is obvious:

- An authentic service attitude, insofar as working within networks, primarily requires the ability to understand the larger system complexity in order to recognize and respect needs outside of one's own microcosm and the competence to analyze multi-stakeholder situations in order to find an optimum balance of interest for all.
- Agile and efficient organizations require mature personalities who do not simply follow instructions and preset plans but act self-motivated and responsibly out of an understanding of complex situations and wholehearted identification with the larger strategic context.
- Continuous product invention is no longer the achievement of just a selected few talents; open cocreation becomes key to innovation performance not only due to multifaceted technological complexity but also due to the superiority of creativity pooling.

And all three competences, whether operating within a network for mutual benefit, or engaging in systemic decision-making, as well as collaborating in knowledge domains, have one thing in common: they require the ability to transcend the interests of a singular personal focus and seek to proactively cooperate within and beyond the borders of the organization.

While this is increasingly recognized, the core of our employee relations remains grounded in traditional bilateral work contract relationships, whose main purpose is to compensate the manifestation of formal competence in the form of individual task fulfillment with material means. This system was initially conceived on the assumption that maximizing individual transactional output (through triggering the desire to maximize personal return) would add up to the highest level of system performance. Very efficient in traditional Tayloristic systems, its main driver is the stimulation of self-centered behavior.

Even our recent attempts to embed collaborative elements into increasingly sophisticated annual target agreements only create the illusion of a change in focus. Most of such "management by objective" systems are still rooted in the concept of mutual competition and add additional fuel to the fire of EGO-focused behavior.

This is very much the opposite of what is required in the future. If we want to solve our future challenges and develop the associated competences within organizations, we need to systematically elevate the employee focus from optimizing its own microcosmos to an engagement in a higher context and disband our old mental models of mutual competition.

We need to outgrow the culture of contest and replace it with a higher form of relationship that opens the space to transcend a pure EGO-focus (see Fig. 1).

Shifting to Intrinsic Motivation Within a WE-Space

Taking a closer look at the aforementioned three key areas of competences, it becomes apparent that they fundamentally differ from any previous competences in the work context that were largely transactional focused.

After decades during which organizational efficiency was synonymous with standardization, lean management, and ultimately the replacement of human transactions through machines (Industrial Revolution) or computers (Digital Revolution), those core skills have a very different focus: the high relevance of inherent human capabilities, namely, creativity, autonomous judgment, and empathetic fairness.

Beyond their need to transcend a self-centered focus, continuous innovation, self-driven efficiency in a complex environment and working within networks all call out for cognitive performance.

While many schools of management are still searching for new strategies and tools to further optimize what has been successful in the past, we need to recognize the urgent need for a *principle* shift in our leadership priority: after designing out the human factor from traditional transactional processes, we now need to create organizational cultures that simultaneously provide the space and promote the motivation of employees to contribute with their core human competences.

Furthermore, we need to recognize the limits of some of our traditional management tools that have served until now to drive employees toward performance.

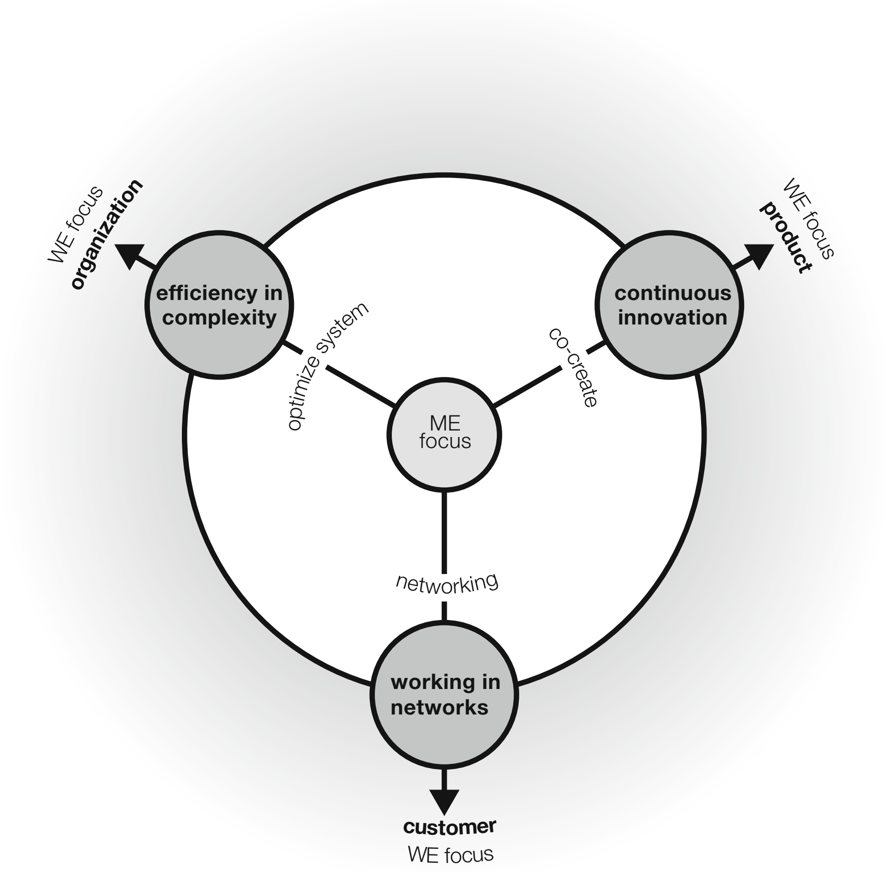


Fig. 1 All three core competence domains needed for future business success require a shift to a WE-focus

While extrinsic reward (and punishment) systems have some limited influence on transactional performance, research has clearly demonstrated in the past decades that they have a rather negative influence on cognitive skills – exactly those skills that are now increasingly determining future business success.

Creativity, autonomous initiative, and any form of internalized fairness depend strongly on inner attitudes and an inherent willingness to apply those in a context. In contrast, external reward or pressure might superficially lead to formal compliance, but actually undermines authentic cognitive performance, but rather leads to a counterproductive search for shortcuts.

For that reason, if we want to be successful in the global business world of the future, organizations need to create an environment that fosters intrinsic motivation, ultimately shaping spaces for individuals that allow reaching a state of flow within a work context. And such “Flow Organizations” need to be shaped along those three core drivers of intrinsic motivation that have been identified already by Edward Deci and Richard Ryan in their Self-Determination Theory (Deci Ryan 2002) through decades of research:

- Engaging in an empathetic relationship with the client and balancing the mutual needs within a network of partners requires a high sense of **relatedness** in order for an individual to be able to positively interact with interest groups outside of his own personal space.
- Leaving the narrow, but safe space of prescribed task fulfillment and embracing entrepreneurial responsibility within a complex system, the acceptance of **autonomy** is a prerequisite to the receptivity for empowered decision-making.
- Engaging into any form of knowledge sharing requires a robust level of self-perceived **competence** in order to recognize one's own abilities to contribute but also to be able to accept the natural limitations of individual knowledge as much as the value of open exchange and cocreation.

But in contrast to the rising importance of those organizational skills, our current reward systems, built for transactional performance and focusing on extrinsic motivational factors, broadly undermine these capabilities. Aligned along hierarchical structures and focusing on individual reward, those systems strengthen the feeling of disconnectedness to the whole; tight control and increasing pressure fuel the fear of leaving the space of prescribed transactions and embracing autonomy. Moreover, in the context of contractual trade relationships based on individual competence, any open sharing of knowledge actually equates to surrendering core ownership rights of the most valuable personal assets: individual knowledge.

As a consequence, if we want to elevate our organizations to the next level of economic performance, we need to shift our leadership focus from our traditional extrinsic toolkit onto building the framework conditions for intrinsic motivation in the work context – and ban extrinsic motivation to the place where it belongs in the knowledge industry: a hygienic factor.

And it is not only along autonomy, relatedness, and competence, the three motivational lines identified by the Self-Determination Theory, that we need to enable the cultural shift from a self-centered maximization attitude to a collective focus.

In a work context, such a collective space must be a continuum that is able to connect the personal work experience to an overall organizational context of purpose. Beyond the personal space, it is further determined by two other relational factors: the team context, defined through coworker relations, and the institutional reality of the company.

These three relational levels have been identified as essential by Vallerand in his Hierarchy Model (Vallerand and Ratelle 2002) who demonstrated that intrinsic motivation is determined not only by situational factors but also by contextual as well as global framework conditions.

Such a shift requires three vital steps within an organization: Firstly, expanding the motivational context from an individual to a collective space in order to allow each employee the possibility to connect to a shared purpose. Secondly, the purpose of that space needs to reach out beyond the pure interests of the organization, so that motivation can naturally transcend it and evolve beyond reward-driven self-optimizing behavior. And thirdly, it needs to be consistent and authentic in order to allow the individual to naturally relate his personal contribution to it and to allow the development of an aligned drive.

In contrast to a focus on the maximization of the material benefits and the competitive culture of our existing reward systems, only a common purpose of the work context that relates to a higher level of consciousness can ignite the motivational effect of a true purpose in life. Mission statements that prioritize the optimization of the shareholder return or aim at winning the race do not fulfill such criteria, as they simply shift the EGO-focus onto a collective level. In contrast, transcending the mere organizational business ambitions to move toward a meaningful function in the larger social and environmental system, one that is able to include space for collective personal growth, will inspire the employees to move beyond personal gain and will encourage them to contribute to such a purpose.

Furthermore, such a contextual space needs to be free of contradictions. This means that the work reality experienced on an individual level needs to be consistent with the interpersonal reality within the organization as well as the institutional level in its relation to the greater whole. Only then will individual goals naturally align with the targets of a team, as well as with the purpose of the company as a whole, and we will see WE-focused behavior emerge autonomously.

To summarize, elevating our organizational culture to a level that enables the development of the competences needed to succeed in the new update of our economy requires the stimulation of intrinsic motivation and its redirection to a collective focus. Only this can shape resilient organizations that radiate "magnetic" client attraction, engage efficiently in complex environments with high autonomy and little need for control, and maximize innovation performance through the open fusion of collective intelligence and creativity.

Ensuring such a cultural shift within an organization needs more than planting selective seeds and expecting the outcome to grow by itself. It requires an integral model that is fundamentally different to our previous method of leadership, one that becomes ingrained in the organization through a coherent transformation process.

A closer look at the relational space between the members of an organization and the organization itself will reveal the magnitude of the gap that has been gradually opening up as a result of increasing organizational inner pressure – and will specify the space where such transformation needs to be embedded in order to allow a constructive healing and the new culture to emerge.

The Need for an Integral Model

While our hierarchical structures keep intensifying the pressure for performance, they have unintentionally narrowed down the working relationship with the employees to the terms of the explicit physical labor contract.

But besides the tangible trade between performance and financial compensation, the relationship between each member of an organization and the organization itself also comprises a complementary element “below the waterline.”

This “*psychological*” work contract represents a truly important relationship between the employer and the employee, as it is the core foundation of intrinsic employee motivation. In contrast to the physical work contract that trades measurable deliveries mainly in the form of time (and occasionally some measurable performance deliverables) against “hard” extrinsic compensation in the form of salary and potential fringe benefits, the psychological equivalent exclusively encompasses mutual “soft merchandise.”

And while the pay-performance relationship works directionally from the delivering employee to the compensating employer and is rather stable over time in terms of quality, the power relationship of the psychological relationship is directionally reversed and is actually very dynamic. The employees’ motivation for “soft factor performance” is a *reaction* to the working conditions experienced within the organization. Furthermore, it serves as a compensatory element in case of subjectively perceived imbalance in the physical work contract.

Marginalizing the core elements of the psychological work contract, we risk employees’ identification with their companies fading and the cohesion between employees and leadership disintegrating, leading to a downward spiral toward a collective “Corporate Soul Burnout.”

Despite its obvious relevance, the knowledge about the key contributing factors in this psychological equation is largely limited. While most managers might still have clear (tacit) expectations of their employees such as boundless commitment in form of loyalty, engagement, creativity, and motivation, the necessary scope of their own contribution to this trade-off is rather vaguely identified.

In the past years, countless studies have tried to identify the relevant criteria that can provide guidance on the most important set of “soft factors” regarding employee well-being and motivation in an organizational context. Whether temporary new trend or systematic “certification” program, what they all have in common is that they are mainly empirically based on employee opinion polls. As a direct consequence of this methodology, they all suffer from a natural bias which Easterlin (2001) and others have emphatically demonstrated for this type of approach: a strong focus on the satisfying of short-term hedonistic desires and a broad negligence of fundamental framework conditions for Eudemonic well-being, which are either taken for granted or considered to be out of reach.

So in reality, even today’s best-meant concepts targeted at supporting employee motivation are built on shaky grounds – with an emphasis on short-term “fireworks” rather than on a long-term systematic creation of a deeply motivating corporate culture.

Yet selective actions in the employer-employee relationship cannot build a solid foundation for satisfying the psychological work contract. With an approach most likely inherited from the time when we were still living in the jungle, human beings do not average out their various perceptions about the environment in order to come to a comprehensive and balanced judgment of their own personal well-being. Like our ancestors in moments of threat – when they noticed the stripes of a tiger while at the same time birds were singing in the trees and colorful flowers covered the ground – we are programmed to filter out the good in order to concentrate on and respond to the potential dangers around us. When our instincts take over, we are not able to perceive a situation that contains both – good and bad or safe and potentially dangerous elements – as "in average moderately well." Instead, we instinctively redirect our focus on the threat and run.

Likewise, any major gap in the fulfillment of the employees' key needs out of the psychological work contract outweighs all other well-meant initiatives.

This means that now – more than ever with the demands of an ever-evolving economy on our backs – we need an all-encompassing theory on human motivation in the work context.

As outlined before, this theory has to not only be proved valid in the fulfillment of the relevant key domains in the psychological work contract but also needs to match the two most compelling – yet still competing – theories on intrinsic motivation at work:

- The Self-Determination Theory that has distilled the needs for autonomy, relatedness, and competence as cores to foster an environment of intrinsic motivation – which ultimately is the fertile soil for any state of flow.
- The Hierarchy Model of Motivation that claims the relevance and mutual influence of the global, the social, and the individual context on individual motivation.

Creating a space not only on the individual level but also in terms of the team and institutional reality, where competence, relatedness, and autonomy can evolve to a WE-focus, would therefore seem to represent the blueprint for the "holy grail" of leadership for the next evolutional step of our economy (see Fig. 2).

However, within the domain of organizational leadership or management, so far no model can be found that comes even close to those requirements.

Guidance from the Himalaya

In the absence of anything in the space of organizational management, it was ultimately the tight correlation between flow, as the highest form of intrinsic motivation, and happiness that inspired to searching such an integral leadership framework in one of the most systematic models in the happiness domain: The concept of Gross National Happiness ("GNH") that was introduced about four decades ago by the fourth Dragon King, Jigme Singye Wangchuck, in Bhutan. For many years a rather neglected concept, it has received much international attention in the past 5 years in the global search for new national measurement concepts "beyond GDP."

Recommended by the United Nations in 2011 as a role model for national governments, this concept accounts for the holistic well-being of citizens while aiming to catalyze sustainable growth across the nation. Instead of focusing solely

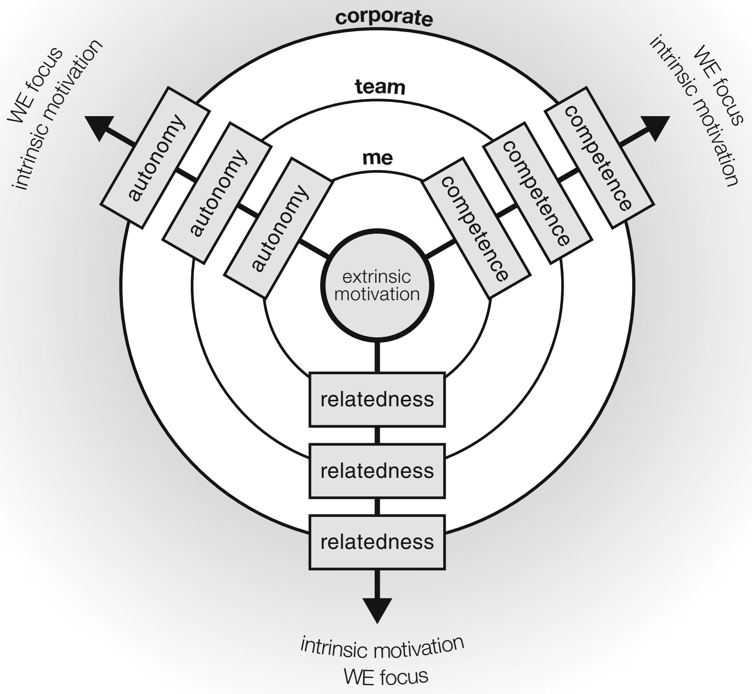


Fig. 2 For the three core competence domains to evolve, organization need to foster autonomy, competence, and relatedness on three levels

on the gross domestic product (GDP) as measurement for progress, the architects of this framework recognized that for human well-being, other aspects besides material wealth must be taken into the equation.

Specifying nine key life domains that are evaluated through 37 sub-indicators, the GNH model claims to represent a holistic view of the variety of human needs and serves the Bhutan government as a guiding instrument for their strategy process, leading the economic and social development of the country in a way that can be compared to a balanced scorecard.

The nine domains of the Gross National Happiness model in Bhutan:

1. Psychological well-being
2. Health

3. Time use
4. Education
5. Cultural diversity and resilience
6. Good Governance
7. Community vitality
8. Ecological diversity and resilience
9. Living standard

While the idea to reach out to a concept from a small state in the Himalaya in the early phase of its economic development to find a solution for our highly efficient and industrialized economic world might appear bold at first sight, the governmental challenge to lead half a million people is in reality of a similar dimension as that faced by some of our global corporations, with comparable multilocation challenges and internal cultural differences. Furthermore, independent of the level of material development, the basic elements relevant for human well-being and growth should not differ between the social world and that of business.

But most striking is the analogy between the Bhutanese striving for a high level of well-being under constrained material conditions – in conjunction with their commitment to a neutral national footprint – and the core challenge of organizational performance in a company to achieve a high level of employee motivation with limited economic maneuvering space, while limiting any consumption of assets to the company's ability to regenerate them.

From this perspective, the exploration of a leadership concept rooted in the GNH philosophy, but transferred into our modern business context, should certainly seem more obviously applicable in the search for a comprehensive model for employee motivation.

The Gross Corporate Happiness Model

Starting with the initial quest for an integral framework that is able to foster intrinsic motivation with a collective focus in an organizational context, we have already concluded that merging the most compelling theories in this context leads to the requirement of a model that is composed of nine core criteria that meet a 3 x 3 matrix – having autonomy, relatedness, and Competence as one dimension and the personal context, with team relations and the overall organizational system, as the other.

The simple fact that the holistic approach of the GNH model for general well-being is also composed of nine factors gave further motivation to evaluate the usability of the concept within an organizational environment.

For this purpose, each criteria and indicator of the GNH framework was transferred from the concept that was originally specified for a country's government into a business context. For some of them, this exercise was fairly straightforward, while others required in-depth research in order to safeguard equivalent intentions (see Fig. 3).

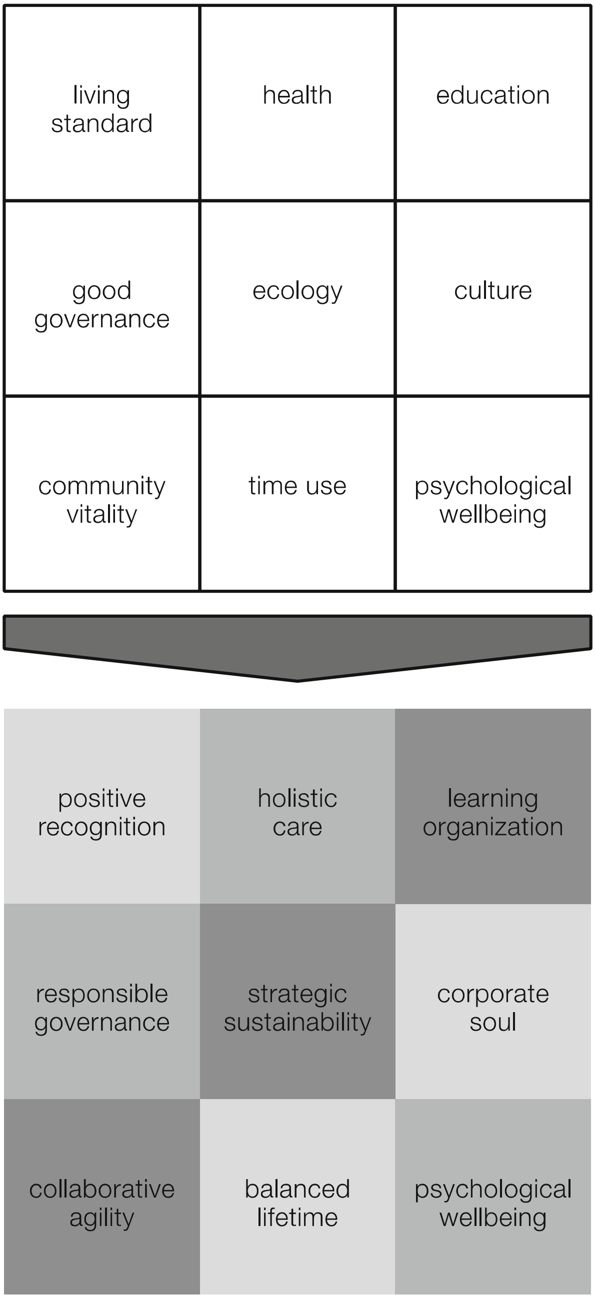


Fig. 3 Transferring the GNH model into the Gross Corporate Happiness framework

In particular the 37 individual Key Performance Indicators (KPIs) of the GNH model that in Bhutan identify the core reference values for each life domain, and their underlying philosophy, extensively documented by the Bhutanese institutions, served as a valuable source to ensure that the human concepts were conserved when identifying nine comparable domains which qualify to compose an analog concept for the business context.

This gave birth to the Gross Corporate Happiness® ("GCH") model. Analogous to its Bhutanese roots, it is composed of nine core domains that in turn specify the relevant criteria for the relationship between an organization and its members:

1. The key elements of material and immaterial **Positive Recognition** that encompass a balanced combination of financial, personal, and symbolic recognition, in conjunction with the necessary level of perceived justice and security:
   While empirical research has extensively demonstrated the limited impact of increasing income on personal happiness once it exceeds a certain basic threshold, the myth of monetary reward as the dominant motivating factor in the work context is still a widespread conviction of both employees and executives and continues to play an integral role in the majority of management concepts.

   In order to embed income into a holistic framework of recognition, money as a motivator first needs to be demystified to a reasonable level and become only one relevant factor among many, reduced to its role as a "hygienic" part in the physical labor contract.

   While the overall goal of any remuneration system remains to ensure a high level of sustainable welfare for all employees through the direct distribution of goods and benefits, at the same time it is necessary to avoid the collective race for personal income maximization, as it undermines any culture of collaboration.

   Furthermore, the impact of work-compensation systems does not only depend on the objective level of monetary benefits. Due to quite a broad bandwidth through which an individual could interpret extrinsic motivation factors out of context, the system must also satisfy the substantial justice needs of employees through perceived fairness.

   The subjective value of income is also influenced by the extent to which the employee feels that he can rely on it in the future. Two factors are relevant for this level of perceived job security. While the overall economic situation of the company and its historic resilience determines general trust in the employer, the quality and content of received feedback impacts the personal sense of security within the individual work situation.

   Beyond this, the quality of the work environment mirrors the respect expressed by the organization for the individual's contribution and complements the set of factors relevant for recognition as well as employee happiness.
2. An intensive level of **Holistic Care** that combines preventive measures and voluntary offerings for physical care and mental balance:
   Due to its strong influence on overall life expectation as much as its impact on the individual's ability to enjoy life, personal health is one of the key prerequisites for an individual's happiness in terms of duration as well as intensity.

The responsibility of any organization to support a healthy life extends significantly beyond the legal requirements for health and safety of their employees, given the facts that it is accountable for the framework conditions for an extensive part of an employee's personal life and that about a quarter of social health deterioration is dependent on "easily modifiable lifestyle factors."

In the Preamble to the Constitution of the WHO (World Health Organization), health is defined as a "state of complete physical, mental and social well-being, not merely the absence of disease or infirmity."

An organizational role that fully embraces its responsibility for the holistic health of employees without infringing upon personal space for self-determination is best reflected by the terminology of "care" described by the philosopher Martin Heidegger. He defines the optimum mode of care as a balanced combination of "intervening-dominant" measures and "precautionary-liberating" offerings in order to harmonize the conflict between intervention and self-determination rights.

Health care in the corporate context should therefore ideally reflect this approach, thus making intervention comprehensible and acceptable to employees.

3. A **Learning Organization** that determines the evolutionary speed of an organization in close analogy to the concept specified by Peter Senge (1990). It embraces the need of any organization for constant and collaborative learning in order to be able to adapt to an ever-changing dynamic environment and to address human ability and natural striving for continuous expansion of knowledge:

   Most organizations still expect the dominant part of the learning process of their employees to be completed prior to entering the work environment. The physical work contract typically reflects this mindset in the form of a documented trade relationship of individual competencies against financial compensation, and the individual is expected to focus on serving the organization by utilizing these competencies.

   This concept neglects not only the fact that due to a massive acceleration in the evolution of technology and increasing complexity, in the past decades a constant need for organizations to continuously update and expand their competencies has emerged. It also ignores human ability and natural longing to learn and increase knowledge over an entire lifespan.

   While an initial formal education might be largely completed before joining the working context, any organizational environment should provide the means to continuously grow knowledge, ideally through the open sharing of collectively gained experience.

   In order to ensure that such learning is not constrained by any collective limitation of perception, e.g., prejudices, habits, or preset solutions, a discipline of striving for an overall system understanding and a regular questioning of one's own knowledge and processes is required to keep a continuous evolution of the organization in motion, and balance phases of efficient routine with disruptive innovation.

Both the employee and the organization will benefit strongly from a culture that is able to shift from a focus on knowledge preservation, barely able to keep up with the increasingly fast changes in the environment, to a forward-looking style of learning that continuously brings forth crucial skills for realizing a personal as much as a collective vision.

4. A high level of **Responsible Governance** that determines and safeguards the individual space for action within an organization. It aims to create a culture of trust in leadership by all stakeholders through honest transparency, a high level of trust in leadership, high efficiency, and participation:
   Since its emergence in the 1990s, "Corporate Governance" has been mostly focused on the creation of standards for management that aims to protect the interests of shareholders. While this is still very relevant, the Gross Corporate Happiness model includes a much more comprehensive definition that includes responsibilities toward all core stakeholders: the shareholders, the employees, and the society as a whole.
   Firstly, the active willingness for full social and ecological transparency is an indicator for the authenticity of any organization's ambition to integrate harmoniously into society. Frameworks like the UN Global Compact and the Global Reporting Initiative or B-Corp for companies can be considered as equivalent counterparts to human rights, since they both define internationally recognized minimum standards for entrepreneurial activity.
   Similarly, the level of trust in leadership to guide the organization toward sustainable success is not only relevant for shareholders but also widely recognized as a vital factor for the engagement of employees.
   Furthermore, the performance and leanness of the administration arise from the fact that the actors involved in administration are typically perceived as the "agents" of the leadership, and their use of resources and their integrity are interpreted as a direct reflection of the quality of Corporate Governance.
   And lastly, an active participation of a higher number of parties involved in decision-making generally results in more and better solutions, ideas, and arguments by making use of collective wisdom and experience. The different perspectives, once aligned to the same purpose, can enrich each other to produce the best outcome.
5. A credible **Strategic Sustainability** strategy that recognizes the dependencies but also the responsibility for all organizational activities as well as its products and services within the larger social and environmental system – simultaneously a condition for resilience of the business model as an expression for an authentic culture of care and as a role model for the employees and the business:
   While traditional economic business models only restrict the consumption of the "Commons" – i.e., natural resources owned collectively by humanity (e.g., air, water, nature) – to the extent it is requested by law or results in material costs, the fact that our collective activities have by far exceeded the level of regeneration capacities of our planet since the last quarter of the past century has gradually made society aware of the limitation of those earthly resources.

As a consequence, aside from the collective moral obligation of business not to destroy the livelihood of future generations, business models without a consistent strategy for sustainability will be threatened from three sides with accelerated intensity: increased legal limitations from national and international bodies, increased public pressure from inside and outside of the organization, and increased risk of supply.

Core to a sustainability strategy should be foremost the minimization of resource consumption in key environmental areas (such as energy, raw materials, and water) as well as the prevention of pollution (e.g., waste, CO2) or any deterioration of environmental parameters through the organization's activities. This "ecological footprint" of an organization concerns firstly the impact of imminent organizational activities but for an integral assessment should include the entire "supply chain."

Such increasing environmental awareness of the organization can further evolve into a role model that inspires the individual sense of responsibility of the employees and also impacts activities outside of the business context.

The products or services delivered by the organization themselves also need to be a core element of its sustainability strategy – in two regards.

First of all, the extent to which they (positively and negatively) contribute to any global risks, whether environmental, social, geopolitical, technological, or economic in nature, is closely related to the overall purpose of the organization and represents a crucial part of the Corporate Soul.

Although such a positive contribution improves employee motivation through an increased sense of purpose, there is a flip side: a perceived risk that increasingly challenging ecological requirements could jeopardize the existing business model and undermine the employees' security needs. Furthermore, the irresponsible or even unethical behavior of many organizations has led many employees, managers, and workers to live a kind of schizophrenic lifestyle – betraying the very convictions that they might value as a private person and that they teach their children at home.

The acute need for action in many organizations and thus the pressure to innovate on the existing product portfolio not only represents a business opportunity but also bears the risk of inducing fear, denial, and resistance to a full commitment to sustainable engagement in the organization.

6. An active **Corporate Soul** as the timeless essence of the organization that provides a deep sense of purpose to the entire organization, guidance for all its striving, a strong reference for identification to its members, and an uncompromising value framework for all its actions (see also chapter ► "Activating the Corporate Soul" in this Handbook):
The diffuse combination of traditions, values, beliefs, and rituals within a group or an organization is often referred to as the corporate "culture." This term was initially used to describe a purposeful and creative human impact on the surrounding nature.

While such a definition would include any form of civilization or any type of submission of nature under the dictate of the human being, it is commonly understood[1] that it is the inner ethical value system that differentiates arbitrary behavior patterns from culture. Thus, independently from the context, one could describe culture as targeted actions within a value framework.

The domain of Corporate Soul adds another dimension to this. While most corporate cultures are considered random combinations of cultural elements at a specific point in time that are influenced by various time-bound factors and exposed to the dynamics of employee turnover, the concept of a Corporate Soul adds a timeless dimension to it. It contains an orientation toward a higher purpose within the next complex system at its core that is anchored in its foundational idea and gives a normative element to its future orientation.

Through these three aspects – the current cultural expression, the value system, and the relation to a higher purpose – the Corporate Soul can fulfill its primary two functions, which is to provide identification as well as a clear orientation for action to all employees. Made explicit, it becomes an emotional "home" to the employees, for whom the workplace is no longer interchangeable with any other company. Ideally, all key historical stages of the organization can be related in a logical and consistent way as evolutionary stages of a shared identity.

While it integrates existing concepts of organizational culture, vision, mission, and values, it also adds a lasting purpose for the organization at its core that goes beyond the interests of the leader and transcends the economic priorities and the material dimension of the purely functional purpose of the organization.

7. A high level of **Collaborative Agility** that emerges from a culture that has successfully replaced mutual contest with the spirit of collaboration, enables the organization to act like an interconnected organism in its ambitious striving for joint excellence, and where employees become members of an inclusive community:
   The prevailing concept of organizational efficiency – especially in business – is still based on the idea that by stimulating human self-interest, internal competition between the employees will lead to the highest outcome. This results from the assumption that the pursuit of maximizing personal benefits on the one side and the pursuit of excellence, innovation, and productivity on the other are identical twins.

   However, such a culture of contest is becoming increasingly maladaptive in an environment of rising complexity and dynamic change.

   By segregating the pursuit of economic success from the stimulation of selfishness, it becomes apparent from game theory that a much higher level of excellence can be achieved when cooperation and collaboration dominate organizational striving.

   Such an organizational culture does not only bear the potential to exceed by far any earlier managerial strategies but is also able to maximize employee motivation as it is much more in harmony with natural human needs for belonging and

[1] See I. Kant, Idea for a universal history (1784).

collective success. It strongly reduces the individual stress level as it allows his mind to relax from permanent alertness and lets him shift his creative energy from survival strategy mode to the contribution to a shared purpose.

Key for this process is a healthy social environment that supports it – often also designated as social capital. Functionally, it comprises the supportive relationships between the members of an organization that host the intended actions of the individuals, fostering the free exchange of knowledge, creativity, and innovation. In addition to a trustful baseline structure, it comprises mutual obligations and expectations, information channels, informal norms, and relational sanctions.

Only an organization where the employee can freely "breathe" and where diversity has transformed into proactive inclusion allows for the full development of his personality and enables full personal growth, a core prerequisite not only for success but also for enduring satisfaction in life for those involved.

And finally, the abolition of any form of power abuse is a necessary prerequisite for the deployment of a community culture, as it allows the organization to focus its collective energy on common goals, instead of investing in defensive internal routines and mechanisms.

8. Ensuring **Balanced Lifetime** by recognizing that the balanced use of available time is essential for a holistic positive life experience, given that work competes with multiple other areas in life for the same limited resource:
   While the focus of the other eight domains of the Gross Corporate Happiness model is to create workplace conditions that maximize employee happiness and as such enhance the work experience, it is still vital for each employee to spend sufficient time on other areas in life in order to enrich his life experience through uncommitted phases of relating and recreation.

   Recognizing work as an essential element of human life, this relates to areas of emotional intensity like family and close social contacts but also to relaxation phases for leisure and rest that serve to recharge reserves of human energy.

   In the absence of ideal time buckets for each of those areas of life, the focus of this domain is on measures that support the process of personal balancing between the three key life priorities: work activities, family and leisure, and sufficient recovery periods.

   It places special attention on the awareness level for a balance between those three areas, to reduce the stress level induced by competing priorities, by offering more flexibility and especially ensuring that nonwork periods can be fully enjoyed by protecting them from work-related worries.
9. Conditions for a healthy **Psychological Well-Being** that is determined by two fundamental orthogonal dimensions, namely, the range of positive perception and the level of arousal, as well as sufficient space for the practice of one's individual spirituality:
   Caring about the Psychological Well-Being of employees is essential, as their state of mind not only reflects their level of happiness but greatly influences their willingness to engage and the quality of their performance. Hence, an inquiry into the cognitive and situational-emotional state of the individual is a core element of

most employee satisfaction evaluations, although it is typically conducted in a linear rating.

However, there is a general consensus in the research on Psychological Well-Being at work by Peter Warr that two different orthogonal dimensions – joy ("pleasure") and arousal ("energy") – are both relevant for the determination of context-free but also context-specific mental well-being within a working environment (although the joy aspect does represent the more dominant dimension) (Warr 1999).

For that reason, the "Psychological Well-Being" indicator of the Gross Corporate Happiness model comprises a combined evaluation in both dimensions, thereby complementing common conceptions of subjective workplace well-being.

Furthermore, the level of spirituality is added, as most recent research has undoubtedly demonstrated its positive influence on Psychological Well-Being as a counterpoint to purely material-focused worldviews and desires.

What is stunning is that these nine GCH dimensions happen to reflect the need for autonomy, relatedness, and Competence, each on all three contextual levels of a corporate environment, i.e., the individual experience, the team relations, and the overall corporate space, and build a logical bridge to the structure defined earlier that would best support the organizational competences required in the future:

- The feeling of competence, stimulated through recognition (individual) and guided by the Corporate Soul (institutional) can evolve into a true Learning Organization (team) and prepares the ground for creativity and collective innovation.
- The feeling of autonomy, supported by Lifetime Balance (individual) and inspired through healthy Responsible Governance (institutional) fosters Psychological Well-Being (team) and builds the basis for trust and entrepreneurial engagement.
- The feeling of relatedness, activated by care (individual) and granted through Corporate Sustainability (institutional), allows Corporate Agility (team) to grow, which fosters the passion for a joint endeavor that is able to build networks and magnetizes client relations.

As a consequence, this Gross Corporate Happiness model manages to integrate harmoniously both the Self-Determination Theory and the Hierarchical Model of human motivation (see Fig. 4). It can therefore be concluded that the nine domains contained in the Gross Corporate Happiness model represent the key lifelines for human intrinsic motivation in an organizational context and as such form an integral "soft currency basket" for the psychological work contract.

Since its creation, the GCH framework has been empirically validated through extensive research with a number of major listed companies, representing a broad spectrum of different industries and sizes (Fox 2014); in multiple organizational settings it has proven to be an efficient and integral framework for providing the optimum environment for intrinsic motivation to emerge.

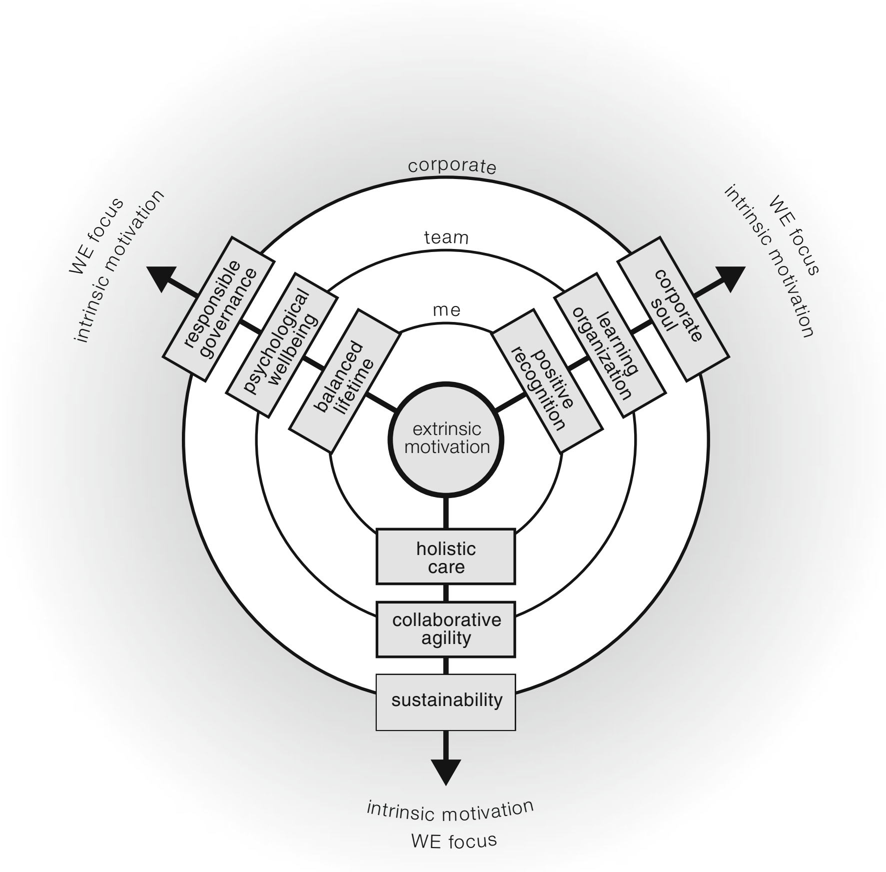


Fig. 4 The Gross Corporate Happiness framework matches perfectly the organizational blueprint for the new competences to emerge

It is the first integral leadership model of its kind, enabling even large organizations to elevate their culture on a level of intrinsic motivation and collective ambition that until now has only been known within a Start-up setting.

Furthermore, like the KPIs of its national reference model in Bhutan, the individual indicators associated with each of these nine dimensions can be largely objectified. As such, rather than referring to the questionable results of employee polls, they form a comprehensive framework that helps to identify the most relevant “acupuncture points” within the organization that need to be activated in order for such a culture to emerge.

Having now specified in detail the blueprint for a Flow Organization, adjusting an organization from a traditional command-control set-up to the dynamics of the globalized and interconnected world in such a way requires a radical redesigning and a major phase shift in the relationship between an organization and its members.

As leadership is the prevailing institution that influences the work environment, the introduction of the Gross Corporate Happiness framework and mindset requires on one side a fundamental revision of some of the core leadership paradigms that we have embraced since the initial design of early economic structures.

On the other side, especially within larger organizations, its systematic introduction should be embedded into a profound transformation process that is able to deeply embed the new mindset in the entire organizational culture, its processes, and its relations.

A Fundamental Shift in Leadership Paradigms

The shift from extrinsic motivation, i.e., activities that are initiated by a perceived "locus of causality" outside of the inner self, toward any type of intrinsic motivation is closely related to the level of activation of the underlying fundamental driver and compass for self-motivation: the individual's quest for life satisfaction.

This pursuit of happiness has existed since mankind emerged from the phase of pure fight for survival and started to develop its ability for self-reflective consciousness. Ancient philosophical concepts that attempted to identify the core parameters of happiness are documented in all cultures and include Confucian authors (e.g., Mencius, 372–289 BC), ancient Greek philosophers (e.g., Aristotle in "Nicomachean Ethics," 384–322 BC), as well as Islamic thinkers (e.g., Abū Ḥāmid Muḥammad ibn Muḥammad al-Ghazālī, *The Alchemy of Happiness* 1058–1111).

Independent of time and political or religious orientation, one common element is that the pursuit of happiness transcends the fulfillment of basic physiological or instinctive needs and as such represents a unique characteristic of the human species.

Until today, various schools of thought cover everything from the maximal pursuit of hedonic experiences to the concept of a eudemonic "good life" or even to meditation techniques that aim to reach a state of stable emotional equanimity, detached from the material world. With self-focused hedonism at one end of the scale and selfless service at the other, there often seems to be little ground for commonality between humans. However, while discussions mostly aim for polarization and individualization, a more integrative view on the history along with recent psychological research indicates the existence of a set of core common aspects of this quest for "happiness."

Furthermore, it is determined by inner competences, which include the ability to cope with challenging situations and emotions as much as an increasing realization of personal biases and instinctive reflexes that might obscure awareness of the positive elements in life, but also by outer factors and the level of perceived control over life circumstances.

In the relationship with the outside world, it requires the opportunity of involvement and values-guided and purposeful action, as well as meaningful relationships, a sense of belonging and the feeling of self-transcendence through serving a greater good.

As a consequence, although the quest for happiness – as much as the question of intrinsic motivation – is still considered to be mainly an individual responsibility, the context in which people live and work has a significant influence on the success of this journey.

And despite simplified historical mental models especially in the economic world of the human being as a purely ego-focused rational being, there are core human traits such as empathy, collaboration, and the search for meaning that require fulfillment in all life domains in order to allow for a high level of life satisfaction.

Prior to any initiation of an organizational transformation process, a fundamental revision of those mental models is therefore required in order to clear the way for a new leadership style – and as a consequence a new organizational culture – to emerge.

Old leadership paradigms	New leadership paradigms
Business can be optimized within the closed borders of the organization through continuous rationalization	Organizations are open systems that operate within a dynamically changing environment and need to have the skills to actively adapt
Optimizing transactional performance is key to productivity and success	Stimulating cognitive performance is key for organizational efficiency and success
Processes need to be clearly specified in order to ensure the best quality of outcome	While generic processes need to be rudimentarily outlined, agile organizations with a deep understanding for the Corporate Soul can fill complex spaces with situational optimum decisions
Money is the most important factor for human motivation	Purpose is the most important driver for human motivation; money is just a hygienic factor
Employees need to be financially rewarded to work; otherwise, they will not show performance	When work is understood as a purposeful part of life and offers the opportunity for personal growth, intrinsic motivation to contribute emerges without external stimulus
Employees need to be controlled in order to avoid them abusing the system	Authentic trust by leadership concerning the ability of employees to take autonomous decisions leads to reciprocal trustworthy behavior
The conditions of the physical work contract decide the engagement level of the employee	The fulfillment of the psychological work contract determines happiness, motivation, and engagement
Incentivizing employee to maximize his own personal benefit will lead to the best organizational outcome (ME-focus)	Collaboration and cocreation are decisive factors for innovation and efficiency (WE-focus)
Innovation is created by a few geniuses	Innovation performance is no more the success of individuals but a cocreative process of the collective
There are no limits to growth, so we just need to focus on being faster than our competitors	Material resources and the ability of the global Commons to cope with the human impact are rapidly reaching the limits; resource efficiency will become one of the most important success factors in the future

This transformation in mindset is not gradual but represents a principal change in perspective for leadership: a shift from a control-based culture toward a servant leadership model that builds on authentic trust (see also chapter ▶ "Activating the Corporate Soul" in this Handbook).

Only on this basis, a credible transformation process can be initiated.

A Hero's Journey to Awaken GCH

Typically, transformation processes in organizations are enforced from the outside and top down, mainly due to a strong concern that they will not happen otherwise. Furthermore they are accompanied by an overly strong emphasis on the novelty of the approach and the necessity for change, communicated in a way that tends to induce fear and insecurity into the organization. As a consequence, they are often associated with complexity and negativity right from the start and therefore are doomed to fail.

As the goal of the Gross Corporate Happiness model is to create the optimal working conditions that maximize employee well-being, stimulate intrinsic motivation, and elevate individual striving to a collective focus, it is key that the entire organization is fully involved and embraces the process of change from the inside out.

Therefore, its introduction should be designed and handled in a way that welcomes participation and creates a bottom-up movement instead of a top-down enforced program.

The advantages are obvious:

The acceptance level by the employees of the project and its goals will be much higher when the details and priorities are cocreated and decided collectively, thanks to a high level of involvement.

The penetration of the transformation into the organization will be much deeper compared to externally imposed initiatives which typically fail in the course of progress due to organizational resistance.

A transformation from inside mainly needs a starting investment to initiate the initial impulse but will soon be carried by the activation of dormant energy in the organization. The overall "energy balance" of the project is "exothermic," i.e., more energy is freed up during the process than is consumed.

And finally, the transformation process will be owned by the entire organization and as such become an integral part of its future "genetic code" which makes the change sustainable.

Only such a deep cultural transformation has the potential to sustainably shape organizations that can build the resilience to flourish in the new global market dynamics.

To ensure such an integral cultural shift within an organization, experience has shown that the implementation process can be best realized in five phases that are inspired by the “Hero’s Journey,” a common structure for transformation processes identified by comparative mythology in a broad number of tales and mythological stories (Campbell 1949).

For the full scale introduction of the Gross Corporate Happiness model, ideally this translates into the following sequence of steps or phases in the process (Fox 2017):

1. **Identifying the soul** by revealing the unique purpose, volition, and values of the organization and connecting the historic past to a desired future, including a higher purpose
2. Shifting from Executive Strategy to **Creating a Movement** by elevating the focus for competence from an EGO- to a WE-focus
3. **Shifting from Control to Trust** by expanding the focus to personal growth through increasing the sense for individual relatedness and autonomy
4. **Transforming the Organization into a Community** by elevating the striving for relatedness and autonomy to a WE-focus
5. **Focusing Energy** on a process of Continuous Evolution by transitioning the entire organization in an autonomous state

Each step of the journey during Phases 1–4 is related to specific domains of the Gross Corporate Happiness model and is designed to achieve a cultural shift, while Phase 5 serves to fully embed the framework into the “genetic code” of the organization (see Table 1).

This combination of factual change of the framework conditions in all relevant work domains in conjunction with a guided cultural transformational journey ensures a controlled process from the “known” into the “unknown” and back to an elevated level where the new experience becomes an integral element of a new “known”:

1. Identifying the core of the organizational endeavor
2. Shifting the appreciation for competence from the individual to the collective
3. Shifting the focus from competence to full personal growth
4. Shifting personal growth from the individual to the collective
5. Consolidating the transformational journey

Phase 1: Identifying the Soul

The main focus of this initiation phase of the transformation process is the clear identification of the unique Organizational Soul. In order that it can become the nucleus of a collective identity and an orientation for the organization toward purposeful future development, it needs to be made explicit.

The Corporate Soul represents the timeless source of meaning and direction of the company and breathes life into the organization. Most companies are not consciously aware of their soul, but when found, it becomes their driving force. It

Table 1 The organizational transformation process as a "Hero's Journey"

Journey phase	Phase goal	Main GCH domains	Transformation goal
A. Departure			
1. Identifying the soul	Finding the unique and timeless core of the organization	*Corporate Soul*	*Transcend business as known*
2. Creating a Movement	Elevate the competence focus from EGO to a collective WE	*Positive Recognition*	*Leadership transformation*
		Learning Organization	*From "I know" to "We know"*
B. Initiation			
3. Shifting from Control to Trust	Initiate personal growth through expansion from competence to autonomy and relatedness	*Lifetime Balance*	*Balancing various life domains*
		Holistic Care	*Support by corporate care*
4. Transforming the Organization into a Community	Elevate Autonomy and Relatedness from EGO to a collective WE	*Psychological Well-being*	*Increasing engagement with positive work conditions*
		Responsible Governance	*Emergence of trust in leadership*
		Collaborative Agility	*Relaxing into the collective social capital*
		Corporate Sustainability	*Full alignment between business success and higher purpose*
C. Return			
5. Focus Energy	Consolidation and elevation journey	*Full GCH implementation*	*Transition to consolidation and elevation journey*

allows alignment of the work culture, the structures, the processes, and the business strategies to the true purpose, volition, and values of the company and gives direction to any areas of autonomy.

The main elements of the anatomy of the soul are the purpose, the volition, the values, the core competences, and an action framework. Typical vision statements aim for a principle step change toward a new future state. In contrast, identifying the soul creates a harmonious connection between the company's history, the dormant potential of the current state, and a higher purpose that transcends the organizational vision.

This approach translates disruptive change into a continuous evolutionary process and reduces the centrifugal forces induced in the organization by the change to a bearable level. Supported by a collective buy-in into a joint value framework, it creates an organizational mindset shift from an obstacle-focused "push- and pull mode" into a flow mode. It pays respect to past achievement and makes a future stretch vision conceivable.

While the detailed design of this phase is dependent on the size of the organization, five key elements are recommended:

1. Initially, a collective sensitization about the ongoing evolution of the outside economic environment and the resulting need for transformation is required. This can be achieved through honest and open sharing about the status quo and a dialogue about the organizational position in the context of global megatrends. However, such a process should avoid the creation of fear, as this will undermine the transformational energy.
2. On this basis, a collective agreement about the true purpose of the organization, transcending the EGO-focus, can be found. While comparable to the "why" question of the organization, such a mission cannot be selected by the executive level at their discretion. To be able to ignite the desired intrinsic striving, it needs to be meaningful in the context of the respective next bigger system, so that each employee can recognize their personal contribution within the collective endeavor, providing space for man's inherent search for meaning beyond its EGO-focus.
3. In order to initiate a natural growth process for personal competences within such a collective space, the organization needs to maintain the cohesion of the individual to its collective ambition, whereby the purpose needs to include the valuation of past achievements as indispensable foundations; it also needs to identify the transformation as part of a natural trajectory into the future.
4. After completion of this process, core organizational values should be distilled out of a collective reflection on historic performance, outstanding initiatives, and exemplary behaviors. If they do not conflict with other values of the organization, normative elements can be added to the extent that they receive collective buy-in.
5. Lastly, a set of representative behaviors, attitudes, and communication patterns should be agreed collectively in order to shape the identity of the organization on the basis of its soul and build the foundations for consistent corporate communication.

Ideally, this first phase should involve all or at least a representative majority of the organizational members. Various forms of workshop designs have been shown to be useful, but phases of storytelling have delivered especially strong insights into core elements of the Corporate Soul. Starting with the founding idea of the company, a detailed historic mapping of core events could give additional inspiration.

Ultimately, this phase can transit into a cascade of creative workshops, aiming to translate the abstract content of the Corporate Soul into tangible action frameworks and new capacities, but it is important to maintain a continuous flow of initiatives rather than short-term "fireworks."

Overall, it is essential that all statements related to the soul are explicit, unique, precise, and consistent and enable full and passionate identification of the entire organization:

- The **purpose** is a motivation outside and above the organization. It transcends it and relates its mission to a greater good. If an organization has purpose, it is aligning to the needs of society, to the needs of the biosphere, and perhaps to the needs of even higher orders of consciousness. The outcome: meaning and meaningful action.
- **Values** shape communities. Values allow for social cohesion and bind people together around what is most important to them. They form the cultural pillars of the community and – implicitly or explicitly – form the foundation for behaviors, attitudes, and decisions. Forging relationships between people, departments, and decisions and developing a deep and true understanding of the values embedded in the collective culture are crucial to building a community.
- The **volition** of an organization leads to an internal reservoir for motivation. It represents the subjective driver. It propels individuals to work with passion from their heart and no longer consider work as work but as service to the whole. The volition is also the mainspring of team motivation. It is at the heart of an excellent work culture that inspires and encourages.
- **Capacities** are the strategies that deliver the values, purpose, and whys of your business. We need to build capacities in order to translate the intangible qualities of the soul into the emerging reality. Capacities consist of skills and abilities, attitudes and behaviors, and spiritual insights and knowledge. For the organization it means that it has to create the conditions for the individual to engage in a continuous learning process of translating the values, purpose, and volition into reality. Capacities are dynamic. When the experiences of acting in the current reality are connected to a deeper understanding of the values, purpose, and volition, we often realize we need to elevate existing capacities or consider new ones.
- **Action frameworks** are the products and services that flow seamlessly out of purpose, volition, and values. It is only through our actions that our soul speaks. When our actions are a result of all the above, others will appreciate our efforts. Products and services may change as a result of a refreshed purpose; new products may emerge, or they may simply stay the same, but quality will skyrocket.

The soul of an organization as a conceptual understanding of what all members of the community have in common – what is shared – forms the solid timeless ground on which the community stands. The organization should form the environment of the community in which the individual, groups, and the whole organization build capacity to live this soul and bring it to reality.

The fruit of this approach will be that the actions of each and every individual, beyond its direct goals, can be understood as an act of service to a bigger system: true service to others, including the coworkers, customer, suppliers, and all who we are related to. Ultimately, the community extends beyond the boundaries of the company and enters the realm of society as a whole. Now service is placed in the heart of the organization and has become the reality of the community.

Phase 2: Creating a Movement

While work is traditionally conceived as a trade relationship for applied competence between an individual and the organization as expressed in the physical work contract, innovation in complex systems requires a broad range of specific competences and therefore ideally emerges from a collective creativity process.

This second phase of the transformation process aims primarily to elevate the organizational valuation of competence from an individual to a collective level in order to create an active culture of cocreation.

This shift is enabled by three key elements:

- At the team level, a mindset shift is initiated from an individual knowledge focus to the appreciation of collective learning.
- At the institutional level, a safe space is created in the form of an increasing community culture that supports open knowledge sharing.
- Both processes will be accompanied by expanding any dominant monetary compensation focus to a broader concept of recognition.

While the value of individual competence is traditionally perceived as a core personal asset, in the dynamic of the emerging knowledge industry, it continuously erodes if it is not constantly maintained through new learning. Outside of the transactional realm, such learning is barely formal but rather happens through experience, sharing, and reflection, ideally in a collaborative setting. The recognition of this reality by the employee and the existence of a safe space where such learning can happen constitute the basis for the individual competence focus to evolve into a cocreative process, the prerequisite for efficient innovation performance.

If guided by the Corporate Soul as identified during the first phase, it can be ensured that such dynamic learning and creativity will not be random, but organizationally aligned toward a strategic focus, as the collective striving for competence development and expression remains anchored in a shared goal. Such transformation emerges naturally when the personal contribution can be contextualized within a higher evolved purpose with which the individual can identify, while he feels rooted within the overall mission of the institution.

In practical terms, during this phase a growing cascade of innovation initiatives is created with increasing frequency and scope that gradually builds this cocreative innovation continuum. While their scope, complexity, and participation should vary, ideally they will follow the same sequence of seven steps:

1. **Challenge** selection: This is a curated process to translate organizational needs into “hackable” challenges, ideally by a panel that is composed of representatives from leadership, experts, and stakeholders in the area. The focus is on developing well-defined, feasible challenge statements that are at the critical points to effect change in a system or part of the organization.

2. Selection of **cross-functional teams**: Multiple cross-functional teams are appointed from a pool of volunteers with a focus on diversity that will form the "Innovation Crews." These teams can also increasingly include supplier or client representatives and may even be opened to public participation.
3. A condensed **creative session ("hackathon")**: During a 1.5–2-day event, multiple crews design potential solution concepts to the challenge statement and prepare for a pitch in front of the panel.
4. **Pitching and judging**: Immediately following the creative session, the solution concepts are presented to the panel and will receive instant judgment ("stop" or "continue").
5. **Incubation process**: A panel decision to continue automatically includes the permission for the crew to work on concept validation and fine-tuning during a predefined time period (typically 1–3 months).
6. **Valuation and investment decision**: After the incubation period, the final concept is presented to management in order to get the approval for implementation. This review should be institutionalized (e.g., once a quarter) and can comprise multiple challenge solutions.
7. **Acceleration**: Once implementation is approved, the crew will manage the accelerated implementation of the concept and ensure full handover to the organization – supported by one executive sponsor of the panel.

Each review should not only be focused on the economic evaluation of the ideas but create a public culture of recognition and praise for the team efforts to reach out for innovative and collaborative solutions.

Generally, this type of open knowledge sharing in a collective space requires a principle inner shift of the individual's concept of personal competence, as it builds on a collective readiness to donate one of the most important personal assets – competence – to the organization without any imminent return. Unlike traditional work trade relations, any potential return of such personal investment can only be expected by the collective at a much later point.

In order to allow the employees to trust such a process of collaboration and cocreation, the organization needs to foremost represent a safe space. Therefore, these projects need to be accompanied by a focus on collectively elevating the core elements of the two competence-related domains of Recognition and Learning Organization for the entire organization, including:

- A review and potential redesign of the salary system regarding structure, equality, and distribution
- A shift toward an open and positive feedback culture on all levels, supported by leadership training where needed
- A review and potential upgrade of the job security level for all employees
- A reassessment of the workplace layout
- The means for a broad level of participation through opportunities for collaborative learning during problem-solving in cross-functional teams

- Increased training for "systems understanding"
- Regular review of the organizational specific, often hidden mental concepts

Once the Corporate Soul is internalized (Phase 1) and competence is elevated on a collective level within the entire organization (Phase 2), individual task motivation will gradually transform into a collective movement that allows cocreative innovation to unfold.

Phase 3: Shifting from Control to Trust

At this stage, having successfully initiated a collective movement, any contribution to the organization is still focused largely on competence. This third phase of the transformation project aims to expand this understanding initially on the individual level to the other areas of personal competencies and to create prototypes for organizational efficiency and successful interaction within networks through growing autonomy and relatedness.

Psychological research has shown that these two seemingly competing factors actually represent the cornerstones of human personal growth. Consequently, this phase translates into expanding the role of the workplace as a space not only for task-specific competence development but also for general personal development.

The prerequisite for this shift is the replacement of a culture of control by a culture of trust. Only on this basis can autonomy be embraced so that it can expand into responsible initiative. But this involves a major challenge to most traditional management.

Trust in hierarchical relations can only emerge if a higher authority initiates the process by granting an unconditional trust credit to its subordinates. While this appears a simple step, such a proactive shift requires highly developed leadership skills from executive management for business judgments, as accountability cannot be delegated to the same extent as autonomy. Therefore, this phase should be conceived in the form of pilot prototypes that allow the new organizational culture to develop within contained environments prior to its full rollout.

To kick off this cultural transformation, organizational units for specific organizational tasks or functions are identified which are then switched from a traditional line organization status into largely autonomous cells. Based on an agreed set of KPIs, broad autonomy is granted, while management supervision is reduced to a monthly review of progress. Vital to these projects is a balanced focus between improving the company's burning challenges and the employees' initial needs to build healthy relatedness within the team. Therefore, all reviews should include an open exchange about what has been learned and a discussion of what additional support might be needed.

Gradually, these grassroots projects are multiplied within the entire organization, so that they can spread their cultural influence and become the home for the majority of the organizational members, while it will remain connected to a slimmed down hierarchical skeleton of core support functions.

During the introduction of these projects, the biggest challenge for management will be to trust the unfolding of the positive effects without intervening in the process. While the change will imminently free management of its high control efforts and give space to focus on its leadership roles, it is hard to precisely predict the exact area and timing of the upswing in efficiency and success. Especially during the early experimental phase, it actually risks that overall productivity might slightly decrease for a short time period before it takes its full momentum.

For those used to a management logic of cause and effect, it will also be challenging to refrain from any attempt to individually assign merit. But any intervention would immediately break the virtual trust agreement with the team and undermine the evolution of personal growth within the new autonomous space.

With the increasing number of projects, emerging personal engagement will gradually start to transform the organizational culture. As a result of a balanced combination of autonomy and relatedness, personal growth can develop and ensure a continuous process within the organization to take and enjoy ownership and responsibility.

In order to embed these pilots into the general cultural transformation process, this phase should be accompanied by an organizational focus aimed especially at elevating on an individual level the key elements of the two domains of Care and Lifetime Balance for the entire organization, including:

- The development of a balanced physical care strategy, aiming to support all aspects of physical health
- The identification of priority needs for a mental balance strategy, prioritizing specific challenges of the work or social environment
- The creation of sufficient spaces for the personal expression of spirituality, where not yet fully in place
- Making work-time models more flexible in order to balance work and family needs, optimization of commuting times, etc.
- A culture of protecting nonwork times from work-related concerns and worries

By embracing autonomy while maintaining commitment to the overall mission, the increasing number of prototypes will gradually deploy high efficiency, especially in the management of complex challenges. At the same time, the inner experience of relatedness will create the space for personal growth and offer the teams constantly increasing possibilities for aligning work challenges with the individual preferences for engagement.

Phase 4: Transforming the Organization into a Community

In this fourth phase of the transformation process, the culture of relatedness and autonomy is elevated from a rather personal level onto the institutional level so that the space for efficiency in complexity expands from a project to the full organizational level, and the community as a whole embraces the concept of relatedness in order to develop the skills needed to become a resilient and attractive member of partner networks and markets.

As outlined earlier, one of the key prerequisites for a space with a collective focus is the consistency of inner motives and authentic realities across all levels of context. Nobody can seriously expect an internal team attitude to evolve while externally, leadership is encouraging unscrupulous exploitation of suppliers or exploiting clients. In the same way, internal care programs for employees strongly lose credibility in the light of irresponsible abuse of the Commons by the company's operations. Therefore, supply chain strategies, partner network behavior, and sustainability strategies need to comply with the same standards that the internal project culture is aiming for in order to recognize mutual relatedness. This does not exclude fair competition, but bans all unfair abuse of power, lack of integrity, or irresponsible misuse of unregulated freedom, and is strongly supported by a high level of transparency.

Just as with the project culture during the previous phase, in this fourth step the authentic identity of the organization, characterized by the Corporate Soul, is translated into two additional elements: a credible corporate citizenship and sustainability strategy which reflects the relatedness beyond organizational self-interests and a trustful, largely autonomous and authentic organizational governance rooted in a soul-driven leadership culture.

Conceiving and communicating the organization's activities within the surrounding social and ecological environment, but also mapping it within the larger economic system of partners, will create a collective understanding of connectedness that creates a space for any self-centered perspective to evolve into a WE-focus. It educates everybody to understand any individual action within the relevant system context and enables the shift of the employee's work identity from a role focus to one of a fully integrated member of a community that shares a common passion.

Ideally, this conceptual work is cocreated by the whole or at least a large part of the organization. Unlike traditional, rather constraining concepts of CSR, this approach aims to harmoniously merge business interests with global megatrends with a win-win focus and opens the space for new opportunities to emerge naturally. This happens especially at the interface between organizational borders and adjacent systems – the space where life is given to new markets and client attraction is created.

Furthermore, the increased autonomy culture resulting from the pilot projects needs to find its home within a new generic structure of governance, decision-making, and leadership. Transcending hierarchical as well as consensus-based decision models, autonomy needs to become an authorized element of the organizational processes where the only remaining obligation is the obtaining of sufficient factual input from the community prior to decisions being taken.

Leadership focus needs to shift generally from giving direction and instructions toward more of an accompaniment role. Rather than systematically breaking down visions into tangible targets and individual objectives, management becomes the guarantor for the space where the community can develop actively.

As already demonstrated in the pilot projects, the efforts of organizational management and all controlling administration can be massively slimmed down as a consequence of this transformation and free-up organizational resources for more value adding activities. This will complement, with associated efficiency gains, the game-changing new dynamic in the organization for coping with the requirements of the outside economy, which in turn will open up new market opportunities.

This fourth phase should be accompanied by an organizational focus especially aimed at elevating the remaining key factors of the four domains of Collaborative Agility, Corporate Sustainability, Psychological Well-Being, and Responsible Governance for the entire organization, including:

- Supporting diversity in terms of age, gender, nationality, education, etc.
- Creating a culture of striving for personal excellence through alignment of the personal with organizational life vision
- Building a lean and service-oriented administration
- Encouraging joint leisure activities between colleagues, including contributions to ecological awareness
- A consistent sustainability strategy, integrating a clear focus on positively supporting global challenges with a transparent footprint evaluation
- A high and consistent level of external and internal transparency
- Tailored interventions to support positive workspace evaluation as well as active engagement
- A culture of trust from leadership and a safe environment, free from abuse of power

As with the three previous phases, this dual transformation needs time to develop and stabilize. Regular reflection and open feedback through a transparent collective dialogue will ensure its authenticity and consistency. But in the end, the organization will reach an unprecedented level of efficiency even in the most complex environments and radiate that into the markets, demonstrating its attractiveness both as business partner and solution provider.

Phase 5: Focus Energy

At this stage, the entire organization has intensively experienced the paramount effects of collaborative creativity that manifests in a flow of new innovations, the magnetizing adhesion for clients and network partners from an authentic feeling of community and a long-reaching strategic focus, and the blissful energy induced by Responsible Governance.

However, most of these initiatives were still initiated, organized, and guided by leadership. The main goal of this last step of the transformation process is the transition of management and responsibility for the Gross Corporate Happiness model into the organization in order to ensure that all aspects are deeply engraved in its genetic code. This will ensure that ultimately the continuous evolutionary process is kept alive independent of its leaders.

Therefore, this last phase aims to shift from individual workshops or singular events into a fully developed, constantly evolving process. At its core, it is a repetitive loop that always follows the same sequence:

1. **Elevate the soul**: A collective review and reflection about the Corporate Soul that aims to continuously elevate the quality of the competences and actions the organization aims to develop
2. **Challenge the assumptions**: Challenging current products and services for higher options though elevating agile engagement and the Learning Organization
3. **Reorient the perspective**: Review and adjustment of Corporate Governance and Corporate Sustainability strategy, associated processes, and behaviors
4. **Expand consciousness**: Enhancement of the levels of recognition, care, and Lifetime Balance within the organization and beyond
5. **Focus energy**: Review and actions to further enhance Collaborative Growth and Psychological Well-Being

This process is designed to ensure a continuous system transformation in the most efficient way.

In order to make it independent of leadership or changing priorities due to economic cycles, it needs to be institutionalized in the organization and should follow, depending on the size of the organization, a fixed schedule (annual, biannual, or in a multiyear frequency, whatever appears appropriate to maintain a high quality of content and sufficient time for full implementation).

At the beginning of each sequence, a (self-)evaluation of the GCH rating should take place in order to ensure that all priorities are properly included.

Contingent upon the complexity of the organization, such evaluation can be broken down on individual sites or organizational units in order to improve the granularity and better identify the specific priorities for intervention.

A New Quality of Organizational Evolution

With the dawn of the new Millennium, the integral reality of more and more organizations is being challenged by an increasing three-way stretch between the apparent acceleration required to meet the increasing external dynamics, the shrinking ability of individuals to follow, and an increasing overall awareness of the limits of the type of growth we once built our success on. Furthermore, emergent megatrends represent unprecedented threats and opportunities at the same time – whether it is the aging population or Big Data.

Hanging on to our traditional mental models for organizational leadership will not help us to cope with this next evolutionary level of economic system complexity. We should instead look for unconventional and innovative ways to reestablish a new quality of cohesion within an economic system that was initially created to serve humanity.

The Gross Corporate Happiness model and its systematic introduction through a transformation process from inside offer a path to unleash a cognitive human potential that yet remains often underutilized in the context of traditional command-control management cultures. It aims to create a working environment where performance requirements are complemented by a collective shift toward intrinsic motivated engagement and where compliance transforms into authentic commitment.

The integral scope of the GCH model is a blueprint to create purposeful and responsible "Flow Organizations" that ensure all key employee needs not only out of the physical but also out of the psychological work contract can be fulfilled. In return, thanks to the natural emergence of new competences like innovation, collaboration and agility out of such an organizational environment, organizations become able to follow those new dynamics and simultaneously serve not only their shareholders but also society as a whole.

On this basis, a new quality of growth can be imagined for the new Millennium that naturally integrates seemingly contradicting requirements without undermining the basis of our existence.

Cross-References

► Activating the Corporate Soul

References

Campbell J (1949) The hero with a thousand faces, Bollingen Series. Volume XVII. Bollingen Foundation Inc., New York

Deci EL, Ryan RM (2002) Handbook of self-determination research. The University of Rochester Press, Rochester

Easterlin RA (2001) Income and happiness: towards a unified theory. Econ J 111:465–484

Fox R (2014) Mitarbeitermotivation im Unternehmen – Begründung und Validierung des "Gross Corporate Happiness" -Ansatzes für die Wirtschaft. Universitätsbibliothek der Europa-Universität Viadrina Frankfurt, Frankfurt (Oder)

Fox R (2017) Bionische Unternehmensführung. Springer International Publishing, Heidelberg

Heidegger M (1967) Das Mitdasein der Anderen und das alltägliche Mitsein. In: Sein und Zeit. De Gruyter, Berlin, pp 117–125

Negroponte N (2005) IT-Visionär: Beim Laptop des Propheten. Available via DIE ZEIT Archiv Jahrgang 2005 Ausgabe 47. http://www.zeit.de/2005/47/P-Negroponte/seite-2. Accessed 27 Sept 2016

Porter M (1980) Competitive strategy: techniques for analyzing industries and competitors. Free Press, New York

Senge P (1990) The fifth discipline – the art & practice of the learning organization. Doubleday, New York

Smith A (1776) An inquiry into the nature and causes of the wealth of nations. W Strahan and T Cadell, London

Vallerand RJ, Ratelle CF (2002) Intrinsic and extrinsic motivation: a hierarchical model. In: Handbook of self-determination research. The University of Rochester Press, Rochester

Warr P (1999) Well-being and the workplace. In: Kahnemann D, Diener E, Schwarz N (eds) Well-being – the foundations of hedonic psychology. The Russel Sage Foundation, New York, pp 392–412

Enabling Innovation with Human Values: A Recipe for Transformation

William C. Miller and Debra R. Miller

Contents

W. C. Miller (✉) · D. R. Miller
Values Centered Innovation, Dallas, TX, USA
e-mail: wmiller@vcihome.com; dmiller@vcihome.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_54

Abstract

Despite the deluge of innovation knowledge, processes, models, tools and resources… Is it possible we are still in a nascent stage of comprehending the true nature of innovation, and how to enable it across the organization? Can innovation be a catalyst for personal as well as organizational transformation?

Methods of enabling innovation have evolved over the last decades into three distinct yet interconnected versions. The time has arrived for the emergence of Innovation Enablement (IE) 3.0, which puts the power, responsibility, knowledge, and tools for innovation at the fingertips of every employee – with a common language and understanding, integrated productivity tools, and processes that can be used throughout the organization.

Innovation Enablement 3.0 is a game changer. It will first be a means of industry leadership, but eventually it will become a required core competency for any organization just to be in the game. However, changing the game does not necessarily mean transforming it. Human values elevate Innovation Enablement 3.0 from a game changer into a transformative force. They provide the "hard stuff" of good character and courage it takes to transform the what, why, and how of innovation.

How do we enable innovation with human values as a recipe for transformation… fostering the mindset, behaviors and opportunities for people to innovate to their highest capacity?

After setting the stage for Innovation Enablement 3.0, this chapter answers those questions with a recipe that can transform the way we innovate. Each of the 10 ingredients is suffused with human values, the driving force for moving Innovation Enablement 3.0 into the transformational realm of a quadruple bottom line: people, planet, prosperity, and principles.

Keywords

Innovation · Innovation enablement · Enabling innovation · Whole Innovation · Transformation · Human values · Values · Paradigm · Culture · Heartstorming · Good character · Quadruple bottom line

Introduction

The Time Has Arrived for Innovation Enablement 3.0

Despite the deluge of innovation knowledge, processes, models, tools and resources… Is it possible we are still in a nascent stage of comprehending the true nature of innovation, and how to enable it across the organization? Can innovation be a catalyst for personal as well as organizational transformation?

Methods of enabling innovation have evolved over the last decades into three distinct yet interconnected versions. The time has arrived for the emergence of Innovation Enablement 3.0, which puts the power, responsibility, knowledge, and tools for innovation at the fingertips of every employee – with a common language and understanding, integrated productivity tools, and processes that can be used throughout the organization.

Innovation Enablement 3.0 is a game changer. It will first be a means of industry leadership, but eventually it will become a required core competency for any organization just to be in the game. However, *changing the game doesn't necessarily mean transforming it.* Innovation Enablement 3.0 can open the door to the *possibility* of transformation, but does not in and of itself insure transformation.

Human values – the positive, enduring qualities of good character found across cultures and throughout time – elevate Innovation Enablement 3.0 from a game changer into a transformative force. They provide the "hard stuff" of good character and courage it takes to transform the what, why, and how of innovation.

So how do we enable innovation with human values, as a recipe for transformation? How do we promote and foster the mindset, behaviors and opportunities for people throughout an organization to innovate to their highest capacity, from a basis of good character and values?

After setting the stage for Innovation Enablement 3.0, this chapter answers those questions with a recipe that can transform the way we innovate. Each of the 10 ingredients is suffused with human values, the driving force for moving Innovation Enablement 3.0 into the transformational realm of a quadruple bottom line: people, planet, prosperity, and principles.

Transformation Can Happen Faster Than You Might Believe

To transform: "to change in character or condition" (Merriam-Webster 2008). Does a "transformation" in character or condition always take its time, and occur at nature's seemingly slow, evolutionary pace? Let us examine two moments from recent history.

March 8, 1983: US President Ronald Reagan labeled the Soviet Union an "evil empire" while speaking to the National Association of Evangelicals. In an age still ripe with the possibility of nuclear confrontation, the phrase caused an international gasp – and outrage in the Soviet bloc of countries.

May 31, 1988: Only 5 years later, Reagan was in Moscow speaking to the students and faculty at Moscow State University, with simultaneous broadcast throughout the Soviet Union. He was in Moscow to sign the Intermediate-Range Nuclear Forces Treaty that eliminated an entire class of nuclear weapons from each country's arsenal. It was the first time an American president was able to speak directly to the people of the Soviet Union.

Underlying this super-power transformation was a transformation of Reagan's personal understanding and empathy for the Russian people. A key figure in this personal transformation was an American named Suzanne Massie, a Russian-speaking author who wrote *Land of the Firebird: The Beauty of Old Russia* (Massie 1980).

Massie first met Reagan on January 17, 1984, when National Security Adviser Robert McFarlane asked her to give Reagan a report on her recent visit to the Soviet

Union. She and Reagan connected well at a personal level, based on the compelling stories she told him about the history, culture, and entrepreneurial spirit of the Russian people.

While the first meeting was in the Oval Office of the president, the subsequent 20-or-so meetings were typically upstairs in the family quarters, and usually without his staff. In fact, Reagan met with Massie more than he met with any single Soviet expert within his administration. In May of 1986, Reagan wrote in his diary, *"She is the greatest student I know of the Russian people"* (Massie 2013).

A significant moment for Reagan came when Massie spoke about the Russian religious point of view and the importance of the Russian Orthodox Church. As Massie wrote in her book, *Trust, but Verify: Reagan, Russia, and M*e: "No one had ever told the president of the United States that the Russians were religious. I think that humanized the Russians for him in a way that he could understand" (Massie 2013). Massie added that after that moment, Reagan began to speak privately about religion with Gorbachev.

This is but one example of how an inner transformation can symbiotically hasten a dramatic shift in the way we live, work, and relate in the world. And it can happen faster than we might believe is possible.

Perhaps the most important aspect of this transformation was the introduction of *empathy* into the equation of super-power relationships – at least as a balancing force to enmity. Empathy is the action of understanding, being aware of, being sensitive to, and vicariously experiencing the feelings, thoughts, and experience of another (Merriam-Webster 2008). It is one of many human values.

Today, *empathy* is playing a vital role in transforming how businesses are innovating new products and services throughout the world. Really.

The movement is called "design thinking," a concept originated by the world-famous design studio IDEO when it co-founded the Institute of Design ("d-school") at Stanford University. A core aspect of their design process is – in their terms – incorporating human values into the design equation. The core human value they instill is empathy. And now, the design thinking process is being emulated in universities and corporations throughout the world.

When Lars Kolind was CEO of Oticon, the world's oldest manufacturer of hearing aids, he exemplified empathy as he innovated the future of the company after a severe financial downturn. During his tenure, he led the transformation of Oticon from a traditional manufacturing company into an internationally known, creative knowledge-based organization that is preeminent in its industry. Lars described the values that emerged and drove this transformation (Pruzan and Mikkelsen 2007):

First, it was to "focus on your neighbor," where your neighbor in this respect is primarily your customer. These were people whose hearing was impaired and were in very difficult situations. So we focused on what we could do for these people.

Second, we created a culture in which people were responsible not only for what they did, but also for what we all did together. The third emerged from the first two and that was a clear element of caring for your neighbor – your colleague.

The last thing was creativity; the culture urged everyone to continuously question what they were doing and to find a better way and new ways to do things.

If you are serving a purpose and you are doing it based on some fundamental values, and those values have to do with care and love, then you have great potential and you can be successful in almost anything.

While the impact of having "human values be the basis for innovation" may not seem as dramatic as what occurred with Reagan and Oticon, *perhaps it could be that dramatic*. Really.

Enabling Innovation

Innovation: What Is the Big Deal?

Innovation. It's ubiquitous – it's everywhere.

Search Google for "innovation" and you will find 516,000,000 entries. Search Amazon books and you will find over 115,000 books with "innovation" in the title.

"Innovate or Die" is a popular cliché, first used by Jack V. Matson in his book by the same title (Matson 1996). Clay Christensen, a Harvard Business School professor and author of *The Innovator's Dilemma* (Christensen 2011), coined the phrase "disruptive innovation." And it is very likely you have heard someone talk about the need to "think outside the box."

Conferences on innovation, speakers on innovation, blogs on innovation, innovation consultants, innovation incubators, innovation management software, plus innovation processes, models, tools, and resources are everywhere.

Organizations around the world, from universities to nonprofits to corporations, are branding themselves as innovative leaders. The Wall Street Journal reported that a search of annual and quarterly reports filed with the US Securities and Exchange Commission showed that companies mentioned some form of the word "innovation" 33,528 times in 2011, which was a 64% increase from 5 years before that (Kwoh 2012).

Today, the priority for innovation is spiraling upward. Since 2010, research surveys from leading consulting firms have stated that innovation is a top strategic priority. For example:

- *79% of respondents ranked innovation as either the top-most priority or a top-three priority at their company, the highest ranking since we began asking the question in 2005* (BCG et al. 2015).
- *The growth lever that has the greatest impact is innovation* (PWC et al. 2014).
- *Innovation is one of the last remaining sources of growth that can create nonlinear economic returns. Innovation appears to be a universal imperative. For most companies, ignoring innovation is no longer an option* (Deloitte Tuff 2013).
- *CEOs see an inseparable link between customer centricity, human capital and innovation* (Conference Board et al. 2015).

This explosion of attention on innovation is not really new – it just continues to expand. During the latter half of the twentieth century, the Total Quality

Management (TQM) movement cascaded around the world, starting in Japan. Essentially, TQM was, and is, *process innovation*. Today, TQM has morphed into kaizen, reengineering, Six Sigma, and lean innovation.

TQM was a game changer. At first, this approach to process innovation was a path to industry leadership. But today it is a required core competency for any organization *just to be in the game*.

One of the most revolutionary features of TQM was embracing the realization that everyone – from CEOs to floor sweepers – could contribute ideas to improve the quality of their work if given the knowledge, skills, and opportunity to do so. For the first time, "being innovative" became democratized: it was no longer the purview of highly educated specialists. And the definition of innovation expanded to include not only breakthroughs in process innovation, but also incremental improvements.

Today, the realm of innovation continues to expand beyond products, services, technologies, and processes. Knowledge management, talent development, business models and strategy, organizational design, customer satisfaction, vendor relationships – all these and more are common focuses for innovation initiatives involving people at all levels of the organization. Organizations are recognizing, just as with TQM, that every person can, and must, be innovative in the course of their daily routine.

Indeed, KPMG's study, *HR as a Driver of Organizational Innovation,* gave a resounding message that innovation is "everyone's business" when they stated (KPMG and Bolton 2013):

> Winning companies first and foremost have developed cultures where innovation is seen as everyone's responsibility. . . as an objective that employees at all levels and in all roles strive to achieve on a day-to-day basis.

There is a shift in focus from *innovation* as a noun (the next great product, technology, or process) to *being innovative, thinking and acting innovatively* as a natural way of working. The need to innovate in arenas like creating new knowledge, strengthening the talent and wisdom of employees, designing and leading the organization, business models, relationships with vendors and society is continuing to gain attention and credibility.

Through our research since 2001, we have found that the growing synergy between "everyone innovates" and "expanding beyond product and process innovation" is being fueled by seven global, macro-trends:

1. The recognition that "being innovative" is a core competency for any organization to succeed in complex, turbulent times.
2. The development of a "systems-thinking" mindset for operating businesses in an environmentally sustainable, societally responsible manner.
3. The "wiring" of the planet for instantaneous information-sharing, social and business networking, and collaborative communities.
4. The globalization of business and subsequent political/social/economic interdependence among all countries of the world.

5. The widespread use of PCs, tablets, and mobiles that give individuals the power to do their work and manage their lives beyond levels previously imagined.
6. The emergence of "capitalism with a conscience" as a guiding force for business and the global economy.
7. The identification of deeply held, cross-cultural human values as a means to bring out the best in employees and to become a "best company to work for."

These macro-trends are shaping: a new mindset about innovation; a new set of market demands from customers; a greater access to a wealth of data, information, and knowledge; and a heightened awareness of the impact our actions have on others. And yet, despite this deluge of innovation knowledge, processes, models, tools, and resources, is it possible we are still in a nascent stage of comprehending the true nature of innovation, and how to enable it across the organization?

"Innovation Enablement": The Next Game Changer

To enable innovation means "to provide the means and the opportunity" to innovate.

There are well-defined specialties in the field of innovation that have been around for decades, such as new product innovation, technological and scientific innovation, design innovation, process innovation, strategic innovation, and entrepreneurial innovation.

In addition to these specialties, there has been a more implicit specialty, one that has not been well articulated. For a long time, it did not even have a name, despite the fact that it is foundational to all of the other specialties. At its core, it aims to build the competencies that any person needs to be innovative, no matter what their work is.

In 2008, we wanted a name for this specialty so it could gain greater credibility and momentum. We struggled for a while; do we say that you *foster*, or *strengthen*, or *nurture*, or *empower* innovation? In the end, we chose the term "*enable*" – as in "enabling innovation" and "innovation enablement" – because it had the meaning we were looking for: *to provide the means or opportunity; to make possible, practical, or easy; to cause to operate* (Merriam-Webster 2008).

As co-founders of Values Centered Innovation®, and drawing upon our 60+ combined years of professional experience in over 25 countries, we have had to learn and unlearn a lot about the challenges of enabling innovation across the organization. On the one hand:

- We have learned about the diverse ways we perceive, think, and act innovatively and how those natural inclinations can be channeled into effective, healthy processes and practices that can be used in everyday work.
- We have also learned about the role our human nature plays with innovation, and why it is important to anchor our self-worth and inner motivations to a higher wisdom and calling – a foundation that is much more stable than the transient ups and downs of daily life and work.

On the other hand, we have had to continually *unlearn* and discard outdated paradigms and beliefs about enabling innovation. For example:

- We have had to completely throw out the tendency to think “some are innovative” and “others are not,” especially with those who seemed uninterested in our innovation techniques. We discovered that our way of facilitating innovation was geared to our own preferences, instead of offering a wide diversity of perspectives that could include everyone in the process.
- We have expanded our approach to measuring innovative results at the individual, team, and organizational levels. We have found it essential to include both tangible achievements and intangible knowledge-creation to more accurately reflect the whole story of the value created from any innovative effort.

Innovation enablement has been around for decades, but has evolved significantly.

With Innovation Enablement 1.0, the basic purpose for being innovative is to increase shareholder wealth. Specialists are assigned the innovation projects. Work is done in hierarchical silos, where “personnel” fit into predefined job descriptions and the focus is on maximizing productivity. Innovation training is focused on key people in critical functions. This approach started gaining popularity in the early 1900s, with the birth of “scientific management” by Frederick Taylor. Its strength is to optimize the innovativeness of the specialists and experts.

With Innovation Enablement 2.0, the purpose for being innovative expands to wealth creation for employees as well as shareholders. Those who have self-initiative are given innovative projects. Work roles are built around the unique talents of “human resources.” Innovation training is typically initiated by a function or project team, resulting in many unrelated interventions. This approach first gained recognition in the 1960s, fostered by Abraham Maslow’s hierarchy of needs and Douglas McGregor’s Theory X and Theory Y, as well as the TQM approaches of Kaoru Ishikawa, Dr. W. Edwards Deming, Joseph Juran, and Philip Crosby. Its strength is to open up innovation competency-building to more people and expand the innovation opportunities to a broader range of people and functions.

With Innovation Enablement 3.0, the purpose for being innovative expands even further to the well-being of all stakeholders. Everyone is expected to be innovative in whatever job they do. People are “human capital” who often define their own roles. Innovation training has integrated models and interventions across functions, stakeholders, and cultures. This approach began to gain credibility in the 1980s and is founded in holistic principles first espoused by Peter Senge, Peter Block, Stephen Covey, and Jay Wright Forrester. Its strength is to provide the knowledge, skills, and opportunities for everyone in the organization to innovate to their highest capacity.

This evolution of Innovation Enablement can be likened to the evolution from mainframe computers to PCs to mobile devices. While mobile devices dominate the global scene today and have given billions of people the ability to connect, interact, and be productive, we still have mainframe computers (critical to the backbone of our global connectivity) and PCs (abundant in every professional’s work area).

Similarly, the paradigms of Innovation Enablement (IE) 1.0, 2.0, and 3.0 are all practiced in today's world. But when we examine the situation more closely, we mainly see a blend of IE 1.0 and 2.0, with early signs of IE 3.0. Versions 1.0 and 2.0 will continue to contribute important elements to the role of innovation in organizations, even as IE 3.0 emerges more fully.

Just like TQM, Innovation Enablement 3.0 is a game changer. It democratizes the mindset, behaviors, and opportunities to be innovative in every day work. It puts the power, responsibility, knowledge, and tools for innovation at the fingertips of every employee – with a common language and understanding, integrated productivity tools, and processes that can be used throughout the organization, as well as across projects, functions, stakeholders, companies, industries, and cultures. It will first be a means of industry leadership, but eventually it will become a required core competency for any organization just to be in the game.

However, *changing the game doesn't necessarily mean transforming it.* Innovation Enablement 3.0 can open the door to the *possibility* of transformation, but does not in and of itself insure transformation.

The Forces for Transformation

The Potency of Human Values

Human values turn Innovation Enablement 3.0 into a transformative force.

For us, *enabling innovation* means to inspire, empower, and equip people throughout an organization with the knowledge, skills, and opportunities they need to innovate to their highest human capacity, based in good character and values. The reason we add "based in good character and values" is that innovation is a proactive, conscious act of co-creating our future. If we are going to unleash this power across the organization, it must stand on a firm foundation that will guide and use it in a responsible, positive, life-affirming manner.

Given the magnitude of economic, political, social, and quality-of-life challenges that face us today, the call now is not just for *more* innovation, but for innovation that is informed, motivated, and guided by our higher human nature to achieve more consistently positive and systemically beneficial outcomes. We describe that higher human nature in terms of *human values*: the positive, enduring qualities of good character that are found in all cultures around the world, throughout time. These are values such as:

- Having a positive intention
- Extending goodwill to others
- Being helpful
- Having respect for others
- Being truthful in speech
- Being responsible and accountable
- Being trustworthy

"Human values" are not the same as "social values." Social values are enculturated in us – they are what make people raised in China different from people raised in Brazil, Russia, or Canada. They represent the diversity in how we perceive, think, feel, and act. Human values, by contrast, are what unite us even with our social/cultural differences. Because they are found across cultures and time, we can say they are part of the human DNA. They resonate with and correspond to our conscience – our "faculty, power, or principle enjoining good acts" (Merriam-Webster 2008). They are values that bring out our best as human beings to create a sustainable, healthy society.

This emphasis on human values as the energizers and intrinsic motivators for innovation matches the findings from a 2012 Capgemini research report, *Innovation Leadership Study* (Capgemini et al. 2012):

> Executives are mainly motivated by extrinsic transactional drives whereas employees are driven by high intrinsic transformational motivations for innovation.

This finding has sometimes been difficult to "bring home" to leaders in organizations. In 2008, a young and enthusiastic IT professional learned about our work with human values and innovation and wanted to promote it to his senior leaders. He was able to assemble a group of about 10 senior leaders, which we met with for about an hour. As we began our conversation with them, one of the executives asked with a strong tone of voice, "So what do human values have to do with innovation?"

Together with the IT professional, we articulated very clearly the benefits of innovating from a basis of human values. We even used one of their main projects as an example to show how it could be transformed with human values. But the senior leaders were never convinced to seriously look at adopting human values in their innovation programs.

Things have changed a lot since that meeting in 2008. The trends continue to gain momentum that innovating from a basis of good character and values is the way forward. For example, near the end of 2015 Google released the results of a 2-year internal study known as "Project Aristotle," regarding the qualities of its most effective teams. As reported by Julia Rozovsky, lead analyst for the project (Rozovsky 2015):

> Over two years, we conducted 200+ interviews with Googlers (our employees) and looked at more than 250 attributes of 180+ active Google teams. We were pretty confident that we'd find the perfect mix of individual traits and skills necessary for a stellar team. We were dead wrong. Who is on a team matters less than how the team members interact, structure their work, and view their contributions. We learned that there are five key dynamics that set successful teams apart from other teams at Google:
>
> 1. Psychological safety: Can we take risks on this team without feeling insecure or embarrassed?
> 2. Dependability: Can we count on each other to do high quality work on time?
> 3. Structure & clarity: Are goals, roles, and execution plans on our team clear?
> 4. Meaning of work: Are we working on something that is personally important for each of us?
> 5. Impact of work: Do we fundamentally believe that the work we're doing matters?

Inherent in these qualities of team effectiveness are human values:

- *Psychological safety:* Caring, authenticity, harmonizing diverse interests
- *Dependability:* Keeping promises, being trustworthy
- *Structure & clarity:* Seeing the whole, having disciplined thought
- *Meaning of work:* Having noble intentions, doing no harm
- *Impact of work:* Committing to higher goals, serving others

From this we can see that the subject of values, especially human values, are no longer the *soft stuff*, they provide the *hard stuff* needed to formulate the most transformative answers to:

- "*What* should we innovate?"
- "*How* should we innovate?"
- *"Why* are we innovating?"

Basing our innovative efforts on a foundation of human values is not an easy task and is not something to be taken lightly. Our corporate experience has shown that when we sincerely strive to innovate from a basis of human values, it will naturally take us through a transformative purification process.

Ananth Raman, former Chairman and CEO of Graphtex, went through this kind of purification process when he was having difficulty implementing the ISO 9000 quality system (Pruzan and Mikkelsen 2007):

> Since our products are made for specific applications it is extremely difficult to standardize things and is a very complicated process. The expert said, "This is all very simple. All you need to do is write down each of the procedures that you are already doing." Even after he said this, my fellows were still completely worried.
>
> One evening I was thinking about this and saw that all of this was simply talking about unity of thought, word, and action. So, I called in my employees and told them, "This is nothing but the concept of having what you feel, what you write and how you act be the same. This is all that ISO 9000 is about." They understood the concept very easily.
>
> They started raising all kinds of questions throughout the departments; I was amazed at the chain reaction that began. So I told them, "Let's have a monthly meeting where we can discuss these problems where you find it difficult to be totally truthful." We continue to have these monthly meetings where we examine these difficult situations and look to see how we can solve them with a unity of thought, word and action.

Looking at values from another perspective, when we observe the field of innovation today, we see there is a notable distinction between being "*value*-based" versus "*values*-based" (with an "s"). "Value," as it is used in relation to innovation, refers to the benefits delivered to stakeholders such as customers and shareholders: "a fair return or equivalent in goods, services, or money for something exchanged" (Merriam-Webster 2008).

Being "values-based" refers to working in accord with principles that are, in the dictionary's wording, "intrinsically valuable or desirable" (Merriam-Webster 2008). It refers to the motivating factors that inform and drive our innovative efforts from the front end of the process to the finish. "*Value*-based" refers to the back end, the benefit derived as a result of our "*values*-based" work.

There is no question that innovation is the key to our future and that we must respond to the critical needs of our global culture with systemically positive, healthy, sustainable solutions that work for everyone. For us, "*No one wins until everyone wins*" is the fundamental theme of Innovation Enablement 3.0. Coupled with this theme is the mandate to take the time to learn and unlearn, patiently seek higher wisdom, grow as a human being, and be bold yet humble in thought, word, and action.

Human values elevate Innovation Enablement 3.0 from a game changer into a transformative force. They provide the "hard stuff" of good character and courage it takes to transform the what, why, and how of innovation.

The Recipe for Transformation

We have now seen that it is time for Innovation Enablement 3.0 to gain momentum and maturity as the next game changer for organizations globally. We have also seen how human values are fundamental for elevating this game changer into a transformative force. *But are there really any businesses today that embrace these kinds of values as fundamental to their success?*

In response to this inquiry, let us look at the 30 years of research from the Great Place to Work Institute® (Great Place to Work 2016), which has conducted surveys all around the world with millions of employees each year, to determine the best companies to work for. In their philosophy and criteria for what constitutes a "great place to work," we see human values as the operating principles behind a company's rating.

Their evaluation system is based on employees (not managers) ranking their company, and their research has found that people experience a great place to work when there is a consistent practice of five dimensions. The first three dimensions taken together constitute the level of *Trust* in an organization: *Credibility, Respect, and Fairness*. The two other dimensions relate to the workplace relationships: *Pride* in making a difference, and *Camaraderie*.

Additionally, between 1998 and 2015, Fortune 100 companies that were "great places to work" had almost 2x growth in market value compared with companies in the Russell 3000 index (which benchmarks the entire US stock market) and Russell 1000 index (with the largest 1,000 American corporations). These companies also had a 50% better employee retention compared to their peers (Russell FTSE 2016).

So companies with a commitment to human values do exist around the globe, and they prosper. *Given this, how do we promote and foster the mindset, behaviors, and opportunities for people throughout an organization to innovate to their highest capacity, from a basis of good character and values?*

Different people have different starting points, depending on their background, experience, and role in an organization. The 10 ingredients in the *"enabling* *innovation with human values"* recipe can transform the way individuals, teams, and entire organizations innovate. They can be applied to any organization, large or small, and to any professional expertise from entry level to senior executives.

The 10 ingredients are comprised of five principles and five practices, which we will describe in more detail in the next two sections:

Five Principles

- *Inclusion:* Embracing the fact that every person has the potential to be creative and innovative
- *Strength-based:* Building the self-awareness, self-esteem, and confidence for being innovative
- *Coherence*: Integrating the resources for building and applying innovation competencies
- *Purposeful leadership*: Stretching boundaries while consciously co-creating the future
- *True wealth*: Measuring values, new knowledge, and achievement as outcomes from innovation activities

Five Practices

- *Common ground*: Promoting a unifying language and understanding for being innovative in everyday work
- *Heartstorming*: Using human values and innovative thinking to stimulate creative ideas and produce comprehensive solutions
- *Disciplined freedom*: Practicing the "art and discipline" of innovation with wisdom and ease
- *Synergy*: Sustaining a positive team climate for innovative collaboration and versatility
- *Summoning the culture*: Invigorating and institutionalizing the norms, values, policies, and practices for enabling innovation with human values

Each ingredient is suffused with human values, the driving force for moving Innovation Enablement 3.0 into the realm of transformational. We offer our experience, perspectives, and guidance as a starting point to energize this transformation with every individual, team, and leader in your organization.

Five Principles

Inclusion

The principle of inclusion embraces the fact that every person has the potential to be creative and innovative.

Inclusion is fundamental to enabling innovation across an organization. It summons a shift in power, recognizing that innovation is the responsibility not just of specialists and experts, but of everyone.

It takes a profound humility to make this shift, dissolving the mindset of top-dog/underdog, win/lose, better/worse, have/have-not relationships into a more egalitarian view that respects each person's potential to be creative and innovative. It leads to a polarity-shattering, external transformation that matures our words and actions and democratizes innovation with a thoughtful sense of respect and oneness. We are all in this together, and we are all the better for it.

Promoting inclusion can have an immediate, tangible impact. For example, a group of senior technical managers participated in a workshop with us, and one of them later told us:

> Before the workshop, I used to reject the ideas of junior team members when thinking of design options. I preferred the ideas of more experienced people. Now, I listen to all concepts and inputs from everyone before presenting ideas to our client. Recently, we proposed four options to the client, including one from a junior team member; the client actually accepted the junior's idea for design! The work is now 80% complete and the design will work. So now, in team huddle meetings, I reinforce that we don't discard ideas just because they are from juniors.

When this transformation of power and responsibility is put into practice, it is possible to actualize the potential of every person to be innovative, think and act innovatively, in every job, every day. Without it, much innovative potential goes to waste, careers lag, and organizations lose their creative edge for industry leadership.

This shift in mindset, power, and responsibility is very similar to the evolution of computers that we mentioned earlier. Before the PC, those who managed, programmed, and operated the mainframe computers held the power of information in the organization. No one could gain access to that information unless it was given by the Information Management department.

With the advent and distribution of PCs, including access to the internet, that power and responsibility has now been distributed to virtually every person in the organization. And now, mobile devices are spawning another shift in power and responsibility. Not only do professionals in an organization rely on mobile devices, but also virtually everyone in their lives, from their children to their taxi driver to their restaurant server.

So how do we actualize this transformative principle of inclusion as we strive to enable innovation across the organization?

One of the distinguishing factors with Innovation Enablement 3.0 is the key role that professionals in Human Resources (HR), Talent Development (TD), and Organizational Transformation (OT) have to play. Human Resources knows how to look across the organization and connect dots as they develop policies and practices that work across functions and levels. Talent Development knows how to develop the competencies needed across the organization to not only operate well, but to also maintain industry leadership. Organizational Transformation knows about large-scale engagement and change, and how to design systems that transform the organization.

These functions have the inherent mandate to be broadminded and focus on the good of the whole as they exercise their duties to the organization. They also understand the role that "inner transformation" plays when evolving a culture. By expanding their power and responsibility to enable innovation with human values, they can make a significant contribution to meeting the innovation challenges that will determine the organization's future.

We will discuss more about the roles each of these functions can play in the following sections:

- Human resources: True wealth
- Talent development: Strength-based and coherence
- Organizational transformation: Summoning the culture

Human values such as broadmindedness, humility, respect, and a sense of oneness bring a depth and strength to the principle of inclusion, which helps us to shift our mindsets from "only some are innovative" to "everyone has the potential to be creative and innovative." While HR/TD/OT have distinct responsibilities for actualizing the transformational principle of inclusion, every person in the organization can take a leadership role when it comes to embodying the spirit and mindset of inclusion.

Strength-Based

The principle of strength-based builds the self-awareness, self-esteem, and confidence for being innovative.

What did we all learn in school – perhaps the most enduring lesson and legacy of our education systems across cultures? *The habit of looking for what's wrong, pointing out problems, identifying deficits, focusing on what's missing or mistaken: in short, judging and criticizing*.

Yet we all know the shortcomings with these deficit approaches: they can sub-optimize growth, progress, and improvement by squashing enthusiasm, inviting fear, and ignoring the very strengths it takes to move forward. An emphasis on faults, on what is wrong, on shame and blame, often results in continued weakness.

Strength in the world comes from strength in the heart and mind. We can be a catalyst for transformation when we strive to see "what's right" – the true potential of a person, situation, team, or organization. It takes a wise sobriety to uplift ourselves and others during dark times, even when some accuse us of "seeing through rose-colored glasses."

When it comes to balancing inner transformation with mastering new competencies, the Talent Development function can play a significant role by promoting a strength-based approach to enabling every person to innovate to their highest human capacity.

It is well recognized today that self-awareness is key to personal and professional development; think Myers-Briggs and DISC. Likewise, self-awareness is also key to enabling innovation as it helps us to discover our strengths and identify where we need to develop new skills. When using self-assessments to gain insights about being creative and innovative, we need to be mindful about what kinds of assessments we choose: ratings-based or strength-based.

Ratings-based self-assessments give high-low scores as an output. They say to some, “You’re more innovative” while saying to others, “You’re less innovative.” Ratings are the norm in our achievement-oriented society and business culture. But they can do substantial damage to the goal of bringing innovation alive throughout an organization. People get divided into “the elite” – while others are led to believe they do not have what it takes to be innovative. The latter feel disrespected – or worse, they buy into being second-class players in the innovation game.

Strength-based self-assessments give preference/tendency scores as an output. They say, for example, “Of all the different ways to be innovative, here are your strengths, preferences and tendencies.” With strength-based self-awareness, people can focus on leveraging their strengths (the key to healthy self-esteem and confidence) and expanding their skills.

The difference between the two approaches is quite simple: Does the self-assessment emphasize, “Are you creative?” or “HOW are you creative?” Does it emphasize, “Are you innovative?” or “HOW are you innovative?”

Ratings-based self-assessments do have their place, especially when the goal is to identify people with special talent for specific roles, such as being an intrapreneurial business-builder. But they are not the preferred route to take when the goal is to identify strengths, build self-esteem, and instill confidence, in order to maximize each person’s true potential to be innovative.

A participant in one of our workshops taught us just how impactful this approach can be, not only to self-esteem but also to his satisfaction of making a real contribution:

> In the past, I felt awkward when people had bold, far-reaching ideas. I wondered. “Why am I not thinking like them? Are they greater? Do I lack something?” I didn’t want to open up because people might ridicule me and not take me seriously. Now, I’ve started appreciating my own approach and how I can capitalize on it to make things better. In one project, I studied the “as is” current way of doing it, studied other models, and then combined the best and enhanced the existing model. I know where I can be successful and I grab at those opportunities. I’m good at making things better.

Along with self-awareness is the need to “understand others” – extending respect and appreciation for how others might think and act similarly or differently. Encouraging each person and team to develop versatility, without having to change their preferences and tendencies, supports this effort. This versatility converts differences into synergy rather than conflict.

This understanding of oneself and others makes “learning new concepts” more meaningful and relevant. When good character and values are also integrated into innovation competency-building it matures our attitudes and perspectives so that each person’s true strengths and inherent ability to learn can shine through.

Standing on this foundation, we can then focus on the wise, practical application of the awareness and learning. This transfers the new knowledge and skills for being innovative back on the job, and brings the transformative power of innovation and human values alive in everyday work.

Coherence

The principle of coherence integrates the resources for building and applying innovation competencies.

Puzzles can be fun, challenging, and ultimately satisfying when all the pieces fit. But if the pieces you are given come from different puzzles and do not form a coherent picture or link together, you end up failing to complete the task. All too often, that is the story when people engage in programs to build and apply their innovation competencies. On the one hand, you have Six Sigma; on the other hand, you have Six Hats. And it can be hard to figure out how they work together.

With Innovation Enablement 1.0, programs to build and apply innovation competencies are typically managed by a function that has specialized expertise, such as R&D or Engineering. These programs usually focus on the specific technical knowledge, skills, and processes needed to develop an innovation. Stage-gate innovation processes and TRIZ innovation techniques are common tools that specialists learn and use to help them develop a new product.

With Innovation Enablement 2.0, innovation competency-building has proliferated as the importance of innovation grows globally. Different functions and project teams throughout the organization independently decide on the programs that meet their needs, while HR brings in a variety of training courses from different sources. Depending on the size of an organization, there could be dozens of disparate programs being used.

Innovation Enablement 3.0 is quite different, ushering in a new awareness and understanding about how to build and apply innovation competencies. It is now being recognized that when the models, assessments, knowledge, and skills are integrated across the organization, there is an exponential improvement in how they reinforce and build on each other.

By "integrated" we mean that the various subjects, methods, and materials are related in a way that people can make meaningful connections across those subjects. Borrowing from the work of Adria Steinberg's *Real Learning, Real Work* (Steinberg 1997), effective integrated learning offers the advantage of six qualities:

- *Rigor*: Connecting all the components to form a "whole"
- *Authenticity*: Providing real-world context with meaningful issues
- *Application*: Solving problems that require high performance competencies
- *Networking*: Creating opportunities to gain input and ideas from others
- *Mentoring*: Linking to internal and external coaches and mentors
- *Assessments*: Monitoring both achievement and new learning real-time

Rob Lauber, Chief Learning Officer for McDonald's, recognized the need for a coherent learning system when he first arrived at McDonald's in 2014. He found that they had over a dozen learning management systems, along with a wide range of training programs that did not provide a consistency of messages, training methods, and procedures for people at their 35,000 restaurants around the world. By selecting and migrating to a consistent set of vendors to host, develop, and manage their content, he is striving to make their learning “easy, flexible, realistic, adaptable and re-useable” (Lauber 2016).

Integrated learning and curricula break down the silo mentality and allows innovative efforts to be practiced seamlessly across functions, stakeholders, and cultures, inside and out of the organizational membrane. Just like the work Rob Lauber is doing at McDonald’s, this is an area where Talent Development professionals can make a substantial contribution, because they can reach across the organization to assess the current programs being used for enabling innovation and transform them from disparate to integrated.

Every function has its own processes to get its work done efficiently and effectively. However, when striving to enable innovation across the organization, it is important to adopt an organization-wide model of the innovation process that can be used across functions, stakeholders, and cultures. This pan-organizational process can then provide the hub for integrating all other competency-building programs and resources for innovation and ensure that the core innovation knowledge and skills support every task in that process.

In other words, to enable innovation with human values, make sure that what is learned and practiced reinforces getting the work done innovatively, task by task. Such an innovation process will need at least the following characteristics:

- Everyone can relate to and easily use the innovation process, no matter what level in the organization or what type of work.
- The process explicitly makes good character and human values the energizer, guiding-force, and basis for innovation.
- Following the process brings out concerns and skepticisms as well as hopes and aspirations up front, and uses them in a positive way to stimulate creative thinking.
- It recognizes and supports a healthy “breathing rhythm” for innovation:
  - With the “inhale,” you set the goal and gain new knowledge and viewpoints you need as the “raw material” for innovating.
  - With the “exhale,” you generate your innovative ideas and solutions, and make them happen.
- The process highlights both learning and achievement as valued outcomes, and as a “completion” that energizes the next innovative effort.

Additional criteria you can use to develop coherent, competency-building programs that give people the skills they need to innovate in their daily work are:

1. Do your programs share a common foundation of principles and values about innovation (especially that everyone can be innovative)?
2. Do your programs distinctly emphasize inner transformation along with competency-building, and reinforce a common language and understanding for innovation?
3. Do your innovation models and tools build on and support each other, so a person’s experience is that “this is an extension or expansion of what I’ve learned before”?

4. Can each innovation program be "mapped" with other programs to show the connecting points for strengthening each other?

When the programs and resources for developing and applying innovation competencies are fully integrated throughout the organization, then significant personal and professional learning and development can take place. And that is when growth and working innovatively are naturally self-reinforcing and sustainable.

Purposeful Leadership

The principle of purposeful leadership stretches boundaries while consciously co-creating the future.

According to Ray Kurzweil, noted scientist, inventor, and futurist (Kurzweil 2008):

> We're entering an age of acceleration. The models underlying society at every level, which are largely based on a linear model of change, are going to have to be redefined. Because of the explosive power of exponential growth, the 21st century will be equivalent to 20,000 years of progress at today's rate of progress; organizations have to be able to redefine themselves at a faster and faster pace.

As a species, we face what has been called disruptive stress, based on the level of change happening all around us and within us. Buckminster Fuller first pointed out that, up to the year 1900, human knowledge had doubled about every 100 years; and by the end of World War II, it was doubling every 25 years. As of 2015, the consensus is that knowledge is doubling across disciplines every 13 months. Absolutely mind-boggling (Terego 2015).

This exponential pace of change can overwhelm our lives and work, and easily lead to fear, disease, running faster and faster just to stay in place. We end up responding with a never-ending cycle of adapt-adapt-adapt. Yet it is our own ability to innovate that is prompting this hectic pace in the first place! It is not just happening *to* us – *we* are the ones generating it.

It is a matter of getting out in front, intending to consciously cocreate the future, and take responsibility for the impact we have on others. Max De Pree, former CEO of Hermann Miller, pointed to this when he said*, "Leadership is a serious meddling in the lives of others"* (De Pree 1992). This sense of responsibility is what makes a "leader" a true *leader* who strives to shape our future, rather than letting it run amuck and shape us.

Being such a leader is easier said than done. It requires a level of seeing challenges for what they are and still having the confidence to be bigger than them; and committing wholeheartedly, creating meaningful intentions, and linking goals to purpose and values.

Some of the most enduring traits we have found in purposeful leaders are:

- *Being dauntless*: Being willing to be uncomfortable (even overwhelmed) with paradox and uncertainty, yet facing them with courage rather than retreating from them

- *Being determined*: Staying balanced in the face of ambiguity and complexity, taking conscious risks, and anticipating consequences of success and failure
- *Being self-aware*: Developing and using inner knowing and intuition, aligning one's work with personal purpose and values, and appreciating the positive strengths in others
- *Being expansive*: Practicing a "beginner's mind," being open to many new ideas and options, and switching easily between facts and imagination
- *Being insightful*: Supporting people to consider new perspectives, assessing situations systemically and holistically, and being curious and attentive
- *Being rewarding*: Sharing credit for success, giving intrinsic and extrinsic rewards, and appreciating all contributions

It is not a time for the timid. Years back, the head of HP Labs, Frank Carrubba shared a personal story with William about the time he took his executive team for an outdoor "ropes" course in which they participated in physically and mentally challenging activities together – exploring issues of risk, leadership, problem-solving, and communication. One activity was to wear a safety harness attached to a safety rope and climb a 30′ pole that had a 24″ disk on top. While standing on top of the disk, just out of reach was a suspended trapeze bar. The person had to jump off the disk to catch the bar, after which he or she would be lowered to the ground (even if they missed, they would be safely lowered).

Frank stated a clear reason why he chose this event for his team: "*I wanted them to experience that moment when they had left the disk at the top of the pole, but hadn't yet caught the trapeze bar.*" He knew that is when the uncertainty and risk were most acute. That is the moment we constantly face and manage as we lead others forward in these times. We have to master ourselves to be purposeful in those moments, leading with surety and confidence.

Surety and confidence. In the face of uncertainty, risk, and complexity. With a heart of wisdom and courage. And a reservoir of creativity, innovativeness, and integrity. Taken together, these go a long way to meeting the demand, the calling, and the promise of proactively, consciously co-creating our future so that everyone wins.

True Wealth

The principle of true wealth measures values, new knowledge, and achievement as outcomes from innovation activities.

Wealth is a word derived from the old English "weal," which means a "sound, healthy, or prosperous state" (Merriam-Webster 2008). The strong tendency in business is to define wealth in financial terms for the sake of owners and shareholders, as found in Innovation Enablement 1.0. But with the evolution to Innovation Enablement 3.0, "true wealth" refers to the sustainable well-being of all stakeholders. That true wealth grows from innovation generated from a basis of human values, resulting in wise and beneficial results.

Without the proper awareness and full measure of the true wealth produced from our innovative initiatives – as individuals, teams, and organization – it is not easy to "stay the course" to manifesting our full potential.

The key to navigating our way to true wealth is measuring and reporting three outcomes from our innovative efforts: the values we practiced, the knowledge and wisdom we gained, and the beneficial achievement of our goals. Values, knowledge, and wisdom are more intangible, and are often called "intellectual capital." The achievements are more tangible, and include measurable results such as financial, social, and environmental impact. The proper balance between intangible and tangible results yields the true measure of our wealth creation.

There are three ways an organization can support this proper balance of measuring and reporting true wealth:

1. *Senior leaders and Human Resources can work together to establish organizational performance indicators that include intellectual capital as well as tangible measures*.
   Measures of intellectual capital (intangible assets) – such as growth capital, process capital, human capital, organizational capital, and relationship capital – indicate how well the organization is building its capability to proactively, consciously innovate its future.
   Research from the Intellectual Management Group (Sullivan and Sullivan 2000) has shown that the average value of an organization across industries is now 20% based on achievements from past performance (as *tangible book value*) and 80% based on the intangible assets of values, knowledge, skills, and relationships it takes to innovate new value in the future.
   Most executives manage business performance with an eye on the tangible 20%, while giving significantly less attention to the intangible 80%. The result is an overemphasis on past and present financial performance while underemphasizing what it takes to produce and sustain true wealth. When senior leaders and HR work together to determine relevant measures of intellectual capital to go along with the more traditional tangible measures, the organization gains a holistic view of the 100% value of the enterprise.
2. *Incorporate "being innovative" in individual and team performance indicators*.
   One way of institutionalizing the fact that everyone can innovate is to add "being innovative" to the "key performance indicators" (KPIs) for individuals and teams. Mid-level leaders and Human Resources can work together to do this. However, there are two notable "watch-outs" in doing so:
   The first watch-out is the tendency to treat "being innovative" as another box to check, along with other performance indicators like "quality of work" or "ability to communicate." The problem with this approach is that being innovative can apply to *almost every indicator* of work performance. That is, a person or team needs to be innovative in how they improve or evolve their "quality of work" or their "ability to communicate." Therefore, being innovative is not a separate performance indicator, but needs to be assessed as a dimension across all the performance indicators.

The second watch-out is in response to trends such as expanding agile development across functions, using technology for instantaneous feedback, performing rapid prototyping while co-innovating with customers, and learning on demand. These trends require real-time awareness, guidance, and feedback, for which a wide variety of dashboards are being developed.

While the traditional mode of assessing and discussing performance indicators is at annual performance reviews, real-time dashboards can help individuals and teams be aware of and practice their KPIs in their day-to-day work. This level of agility can enhance their present and future capability to innovate and can influence the KPIs themselves as conditions change.

The key is for everyone to stay balanced between the immediate information being provided and the long view of past-to-future progress. In other words, do not micromanage short-term performance at the expense of staying in tune with the bigger picture, as corporations often do in managing quarterly Wall Street expectations.

3. *Use story-telling to acknowledge and document the "true wealth" that individuals and teams have contributed to the organization and its stakeholders*.
   Story-telling plays a defining role in documenting how individuals and teams have practiced good values, created new knowledge, and produced innovative results. This triple accountability – values, new knowledge, and achievement – is the basis for communicating the "true wealth" generated by individuals and teams.

How does story-telling play that key role? In three ways:

1. Story-telling can help to overcome a dilemma that occurs when reporting the sincerity and impact of values related to working innovatively. On the one hand, we *cannot* see into another person's heart and motivations. Invisible to us are his or her intentions, connection with others, and earnestness to act. On the other hand, we *can* observe words and behavior. Story-telling can give us insights into both the inner motivations as well as behavior.
2. Story-telling can highlight the new learning and knowledge that was gained, and the insights and wisdom that can be used beyond the specific innovative effort itself.
3. Story-telling can clarify the innovative challenge or goal, and can include both expected and unexpected outcomes.

Mid-level leaders and HR together can institutionalize this practice by establishing a template for story-telling, one that is highly engaging as it brings the heart and soul of being innovative to the forefront. We have found questions like these to be useful:

- What work challenge did you encounter that required you to be innovative?
- What values guided and energized your innovative efforts, and what are examples of when you practiced them?

- What new learning was required to meet your challenge?
- What innovative solution did you formulate?
- What did you achieve as tangible results, both expected and unexpected?
- What new knowledge, insights, and wisdom were gained that can be used going forward?

Closing the loop between this kind of story-telling and the market value of the business, senior and mid-level leaders can partner with HR to ensure that these stories of values, new knowledge, and achievements are rolled up as part of the intangible and tangible results of corporate performance reviews. And do not forget the PR/Communications function, who can use these stories and measures to communicate to current and prospective shareholders, as well as customers and employees, the true wealth being generated by the organization.

Five Practices

Common Ground

The practice of common ground promotes a unifying language and understanding for being innovative in every day work.

The world is changing too fast, with too much complexity and too many disruptions, for just a chosen few to address the innovation challenges in an organization. When it comes to identifying the right opportunities, generating innovative solutions, getting them implemented, and producing positive results, people all across an organization need to be mobilized.

To do this, a common ground for what it means to be innovative is required: a unifying language and understanding about innovation, a unifying purpose and commitment for innovation, a unifying belief that each person is innovative, and a unifying respect for the diversity each person brings to the innovative efforts. Without this unity, significant opportunities go unnoticed, priorities are misunderstood, collaboration is diffused, and ineffective solutions are promoted.

In a room of 20 people who work together on a regular basis, there is likely to be 20 different perspectives for what it means to “be innovative.” No wonder the mandate for more and better innovation can lead to confusion, frustration, and unpredictable results. Yet, paradoxically, we have found that having only one definition is too narrow. Here are four concepts we have found successful to promote unifying perspectives related to being innovative:

1. *Creativity is distinct from innovation*. Creativity is generating new and novel ideas. Innovation is putting those ideas to work and producing a positive benefit. Thus, a person or team can be quite creative, always thinking up new ideas, but not necessarily innovative. Innovation on the other hand, includes creativity throughout the process, while producing beneficial results. To enable “creativity” across the organization could invite chaos, a valid concern that senior leaders

have. Instead, enabling "innovation" across the organization keeps the focus on the process of innovation from start to finish, making sure positive results are gained.

2. *Promote innovation equally at all levels in the organization*. Two ways to do this are:
   (a) Have innovation be simple, so that being innovative means doing something in a new, better or different way to produce a positive benefit.
   (b) Have innovation include both breakthrough and incremental thinking and results, both of which are essential for continuous, sustainable innovative efforts.
3. *Every person can be innovative no matter what their job is*. Innovation is much more than just new products, processes, or business models; it encompasses *all* the different roles and responsibilities people have within an organization. Maintaining an open mind about the many ways people can be innovative is essential, from developing a new product to improving a leadership program to strengthening a customer or vendor relationship.
4. *Innovation is a conscious, proactive act of co-creating your future.* This definition reveals the full meaning and promise of what "enabling innovation across the organization" is all about.

One way to develop and spread a unifying language and understanding for being innovative is to establish your organization's "Way of Innovation." A Way of Innovation communicates the *principles, resources,* and *culture* that guides and empowers employees to be innovative from a basis of good character and values.

An organization's *principles* for innovation include its commitments, opportunities, and affirmations. For example:

- *Every person has the potential to be innovative, and it's a part of every job.*
- *Developing skills for being innovative is key to career growth.*
- *Sharing and creating new knowledge is a natural part of our everyday work.*

An organization's *resources* for innovation include the innovation-productivity tools that people can employ to help them work innovatively. For example: innovation models, processes, IT platforms, and training programs. Resources also include the availability of financial, people, time, and knowledge resources needed to identify, generate, develop, and implement innovative solutions. Some resources will be specific to a function and others are organization-wide resources that allow people to innovate across functions and stakeholders.

An organization's *culture* for innovation includes the metrics, policies, practices, and systems that are embedded in the organization. Also included are the messages that senior leaders use to promote and encourage innovation across the organization. For example:

- *Innovation and conscious risk-taking are part of our corporate DNA.*
- *Our customers are innovative leaders in their industries; therefore, every project we do is an innovation project.*
- *We celebrate our successes and failures by seeing what we can learn from them.*

From this established common ground, you can demystify innovation, create a confident mindset that everyone can innovate, and unify people to produce innovative solutions in their daily work.

Heartstorming

The practice of heartstorming uses human values and innovative thinking to stimulate creative ideas and produce comprehensive solutions.

It has been a decades-long journey to define and refine how we think innovatively. Brainstorming now comes in many different forms, such as:

- *Shotgun* thinking: ideas arise spontaneously in an unfocused, scattered fashion.
- *Vertical* thinking: ideas stem from a process of logical reasoning.
- *TRIZ* thinking: ideas are based on understanding patterns of problems and solutions.
- *Lateral* thinking: ideas originate from a new angle, after a deliberate shift in thinking sequence.
- *Innovation Styles®* thinking: ideas come from four strategies or "languages" of innovative thinking.
- *Design* thinking: ideas are stimulated by empathy for the person(s) who will be served and impacted.

With all these, ideation can be like a scalpel: it can be used to heal or hurt. The solutions we engender can do good or harm, depending on our motivations and our anticipation of consequences. What is needed is a transformative model for channeling the creative spirit in directions that do good, engage everyone in the process, and produce comprehensive solutions.

A starting point for articulating this new model is research from the HeartMath Institute, which has studied the heart-brain connection for 25 years with some profound findings (McCraty 2016). The focus of their research is: (a) how the heart's magnetic field changes in relation to the coherence of heart-rate variability, which is dependent on the mental/emotional/attitudinal state of a person; and (b) how the heart can entrain the brain, since its electrical field is 60x and its magnetic field 100x stronger than the brain's.

According to HeartMath, when a person experiences states such as peace, caring, love, and appreciation, the heart-rate variability is synchronous, and the resulting magnetic field opens up the brain's capacity to think creatively and holistically. With states such as anger, frustration, depression, and fear, the heart-rate variability is chaotic, and the resulting magnetic field can close down cognitive abilities in the brain. That is the experience we have all had when we feel "I'm so stressed I just can't think!"

These findings lead to what we call "heartstorming" – a new way to optimize innovative activities such as brainstorming using a wide range of human values. Heartstorming may sound too "touchy, feely," but do not be fooled. It substantially deepens the various ways we think innovatively. When done well, heartstorming is the most collaborative and motivating way to generate ideas and positive solutions that work.

How does heartstorming work? The first step is to establish “heartstorming guidelines” that create a safe and caring environment for everyone to give their best. Here are some successful guidelines we have used:

- Separate out the idea-generation process from the evaluation process; when ideas are being generated there is no judging or debating of ideas.
- Let go of ego and offer all ideas in the spirit of contributing to the whole.
- Respect the ideas of others and build on those ideas when possible.
- Think with your heart and mind, staying open to new perspectives.
- Generate as many ideas as you can, from the practical to the impractical.

The second step is to lay a human values foundation by selecting the human values that most energize you to find a beneficial solution. For example:

- Making a meaningful difference
- Serving the well-being of others
- Using resources wisely

The third step is to incorporate the human values with brainstorming tools and exercises, to stimulate innovative thinking using a wide range of perspectives so that everyone has an entry point to engage. Here are three examples:

1. Convert your selected human values into questions, such as:
   - What ideas could make a meaningful difference?
   - What ideas could serve the well-being of others?
   - What ideas could make wise use of resources?
2. Innovation Styles® is a methodology that stimulates comprehensive solutions through four distinct strategies of innovative thinking:
   - *Visioning* seeks an ideal, long-term solution;
   - *Modifying* seeks to build and improve on what’s been done;
   - *Experimenting* seeks to try out unique combinations;
   - *Exploring* seeks to discover radically new solutions;

   Combine your selected human values with the four Innovation Styles®. For example:
   - To make a meaningful difference, what ideas could give you an ideal, long-term solution?
   - To serve the well-being of others, what ideas could improve on what you’ve already done?
   - To make wise use of resources, what could you combine to give a unique solution?
   - To make wise use of resources, what could you discover that is radically new and novel?

3. TRIZ is a methodology that focuses on resolving "contradictions" or "trade-offs" found in a problem, such as improving manufacturing productivity without sacrificing adaptability or versatility. One approach is to apply any of the 40 principles of problem solving, such as applying the principle of "segmentation": dividing something into independent parts.

You can combine your selected human values with any of the 40 principles to generate innovative solutions:

- What is a resolution to this trade-off that could make a meaningful difference?
- What is a resolution to this trade-off that could serve the well-being of others?
- What is a resolution to this trade-off that could make wise use of resources?

The sum total is heartstorming, pure and simple. It is amazing to experience the difference in energy, stamina, and dedication that emerges from this heart-and-mind approach to idea generation. There is a sense of depth, fulfillment, and satisfaction that is qualitatively different. As the old ad used to say, "Try it. You'll like it."

Disciplined Freedom

The practice of disciplined freedom incorporates the "art and discipline" of innovation with wisdom and ease.

The belief is quite rampant and pervasive: "discipline restricts creativity and innovation." In fact, the most frequent hindrances are the *lack* of discipline or *rote* discipline. The word discipline comes from the ancient Latin word "disciplina," meaning "teaching, learning" (Merriam-Webster 2008); *discipline is essential to learning*. And learning leads to empowered expression – whether in speech, the arts, or work.

For example, Charlie Parker was a virtuoso jazz saxophonist who spearheaded the rise of the music form called "bebop," featuring fast tempos with advanced technique and harmonies. His own words reveal the secret to his innovativeness: *"You've got to learn your instrument. Then, you practice, practice, practice. And then, when you finally get up there on the bandstand, forget all that, and just wail"* (Pugatch 2006). That is disciplined freedom: first put in your time and energy on learning and mastering the basics of your chosen field. From that "disciplina," you gain the freedom to express your full potential with wisdom and ease.

Innovation has an art and a discipline. The art is the human side that brings out our deepest aspirations and human values to make a difference, individually and collectively. The discipline is the set of tools, systems, and techniques that heighten our knowledge and skills. The blend of art and discipline empowers us to innovate to our highest capacity.

The "disciplina" of innovation comes in many shapes and sizes. They include how we think innovatively, follow an innovation process, take initiative, manage implementation projects, embrace versatility, communicate, collaborate, and optimize innovative teamwork. Each of these has methods, models, tools, and processes that first require "learning your instrument," then "practice, practice, practice," and finally "express yourself boldly."

That work is never done. Even the highest-ranking golfers, tennis players, and swimmers have coaches. They are always refining their game, never resting on their laurels. As the game of innovation continues to evolve, the demands are the same: continue learning, refining, evolving – sometimes even changing in dramatic ways to stay ahead.

There is another lesson from sports that punctuates this competency of disciplined freedom: "know your strengths and play within yourself." We see this in basketball players. They may be great at some aspects of the game and not so much at others, and the coaching they get is, "Don't try to do things you aren't good at when there are others who can. Play to the strengths of *your* game." With innovation, the same holds true: for innovative thinking, innovation process, and other skill areas, the coaching is to play to your strengths while developing the versatility to recognize and elicit the strengths of others.

This requires a good dose of humility, trust, and accountability – a sober self-assessment along with the self-discipline of not trying to be the do-it-all superhero. All this leads to the freedom to be at our best, while collaborating and supporting others to be at their best.

Synergy

The practice of synergy sustains a positive team climate for innovative collaboration and versatility.

What happens if a musical group plays a favorite piece fully aligned – on the same page, at the same beat, each person coming in on cue – but their instruments are not in tune with each other? A "great" performance turns into a "hold your ears" disappointment.

The same is true for teams. They may work to "align" their efforts: being "on the same page" with their goals, acting "at the same beat" to coordinate their activities, and "coming in on cue" by clearly defining their roles. But if they do not "attune" to each other's individual purpose, values, and approaches to innovating, their work together could also turn into a "hold your breath" struggle.

Alignment has been the rage for decades now: "We've got to be aligned!"

- In 1990 the Harvard Business Review published articles on corporate change with conclusions like, *"We believe that an approach to change based on task alignment... is the most effective way to achieve enduring organizational change"* (Eisenstat et al. 1990).
- In 2008 Oracle issued a white paper entitled "The Challenge of Strategic Alignment" which stated, "*The number one purpose of strategy is alignment; it's really to get all the people in the organization making good choices"* (Oracle FSN 2012).
- In 2014 a Forbes article had the title, "*Employee Alignment: The Secret Sauce to Success*" (Harrison 2015).

Alignment alone is not enough to sustain a positive team climate for innovative collaboration. Both alignment and "attunement" are required for healthy, productive, innovative teams.

Using this knowledge and awareness, we can build synergistic teams using two different strategies: alignment first or attunement first, also known as task-oriented or relationship-oriented. Based on the ground-breaking work of Blake and Mouton in the 1970s (Blake and Mouton 1972), the distinction between "task orientation" and "relationship orientation" has proven itself to be universally practical in developing strong work teams.

Task orientation means "achieving the team mission and goals," while relationship orientation means "cultivating synergistic relationships." Both are necessary for a team to function with integrity to produce meaningful outcomes. From the standpoint of innovation, task orientation increases diversity and originality of thinking, along with dynamic alignment for achieving the team's goals. Relationship orientation fosters increased harmony and synergy, along with sustained attunement to personal values and differences.

To stimulate the task orientation, a team can use questions based in human values, such as:

- How can we best serve others with the work we are doing?
- How can we be disciplined in finding and implementing innovative solutions?
- How can we foster curiosity, honest debate, open-mindedness, optimism, conscious risk-taking, keeping promises, valuing time, and making wise use of resources?

To stimulate the relationship orientation, a team can also use questions based in human values, such as:

- How can we tap into personal and team values for meaning and motivation?
- How can we develop a nurturing and inspiring work climate?
- How can we foster cooperation, commitment, courage, harmony, respect, trust, patience, tolerance, and honesty?

Putting the task and relationship orientations together can give you the experience that a senior manager had after one of our workshops:

> Previously, I directed the team about what I and the customer needed – I pushed my thought onto the team. Now I allow team members to offer ideas for the best way to do things. I get their input and they are starting to speak up for themselves. They are showing their skills and are feeling very good about it. There is a stronger relationship and more trust happening.

Versatility is also a valuable skill for synergistic teams. It contributes to both alignment and attunement, and thus to both task orientation and relationship orientation. Versatility is a value to be embraced by innovative teams, with six skills:

1. Recognize the dynamics of characteristics, preferences, and styles opposite from your own

2. Find the “value” in those opposites
3. Recognize the limitations of your own characteristics, preferences, and styles
4. Be patient and tolerant with differences
5. Expand yourself to “try on” the opposite characteristics, preferences, and styles
6. Continue to practice your own strengths and build new strengths

When we add the dimension of human values to both our tasks and relationships, we tap into our deepest yearning to give our best. They bond us *across our differences* as we strive to *make a difference.* Human values form the basis for us to act in unity with our teammates while taking advantage of our diversity. They help us to create true synergy, which is *having our energy together*.

Summoning the Culture

The practice of summoning the culture invigorates and institutionalizes the norms, values, policies, and practices for enabling innovation with human values.

The purpose of business and leadership is markedly different in each of the three versions of Innovation Enablement. It may be an oversimplification – but not far off – to say that IE 1.0 asks, *What's in it for our shareholders?* IE 2.0 asks, *What's in it for our shareholders and employees?* IE 3.0 asks, *What's in it for all of our stakeholders?*

This is the time of the global village, the internet, and coopetition, where we are moving from a hierarchical structure with command and control leadership to a flatter organizational structure where leaders coordinate activities based on shared vision and values. This movement towards global interdependence is quite pronounced and unfolding ever so rapidly. Any organization whose culture holds on for dear life to Innovation Enablement 1.0, even Innovation Enablement 2.0, as the only way to innovate will eventually trail the Innovation Enablement 3.0 organizations.

Co-creating the future can assume three degrees of culture change:

- *Developmental*: Incremental, from a given base
- *Transitional*: Going from an old state to a known new state
- *Transformational*: Going through a paradigm shift while heading towards an unknown future

We are concerned here with summoning a *transformation* towards a *culture for enabling innovation with human values*. This is where specialists in Organizational Transformation (OT) can play a critical role. OT can bring a boldness to fuel Innovation Enablement 3.0 by facilitating a tipping point of substantive change. OT often directly challenges the assumptions behind the organization's goals and means as it moves towards a future it cannot predefine.

OT is related to, yet different from, Organizational Development (OD). OD deals with making an organization better at what it does, and helping it make transitions from a present state to a known desired future state. By contrast, OT often starts with the premise that the future is unknown and can only be created by forging ahead with the intent to discover it.

That means summoning the transformative values and wisdom from within each and every person, while supporting senior leaders to consciously align, attune, and promote:

1. The values, attitudes, and behaviors that enable innovation
2. Specific innovation-enabling conversations between senior leaders and those who work for them
3. The effectiveness of management policies, practices, and systems that enable people to be, think, and act innovatively, and produce innovations in their everyday work

In carrying out this agenda for summoning a culture for innovation, one of the most vital human values is the unity of thought, word, and action. When leaders are guided by human values, where they "talk the thought" and "walk the talk," they exemplify the wholeness and oneness of personal integrity.

This internal and external unity leads to trust, a core component of successful culture transformation. We have to trust even as we expand our worldview and move towards an unknown end-state. We have to trust each other to stick together as drivers of change. We have to trust ourselves to remain centered, wise, and accountable in our actions. We have to trust ourselves and others to ride into the unknown future without trying to tightly control the change process.

With trust as a foundation, OT professionals can lead the following disciplines of organization transformation:

- Correctly position the effort within all of the organization's priorities
- Identify the best leverage points for mobilizing action toward the future
- Engage all stakeholders in the emergent design of the future state and its implementation
- Clarify comprehensive change infrastructures and leadership roles
- Create effective acceleration strategies and conditions
- Set a realistic pace for the transformation

There is also an art to successful OT. The art not only engages all stakeholders in the emergent design, it does so in a way that prompts the internal transformation of each participant: shifts in beliefs, attitudes, mindset, and behaviors – while evoking human values as a natural way of being.

So the cultural transformation is a mirror of our internal transformation. We are innovating our own ability to innovate with human values. Then, even when we do not know where we are going to end up, we have faith in ourselves, faith in each other, faith in the future.

The Bigger Picture

The Urgency for Enabling Innovation

The scope for transformation stretches beyond ourselves and our organizations.

Throughout this chapter, we have focused on transformation at the individual, team, and organizational levels. But that is not the limit of the potential scope and impact of Innovation Enablement 3.0. To fully understand and appreciate what is at stake – the potential consequences of success or failure of this transformation – we need to consider a bigger picture and the urgency that brings.

That bigger picture and urgency are related to the social, economic, political, and environmental impact that even a few people, in a few companies, can have quite quickly. Recall how in 2008 some well-positioned people, in less than a dozen financial institutions, developed and marketed innovative financial products ("collateralized debt obligations" and "credit default swaps") that brought the US economy to the brink of a major economic depression, and the global economy along with it.

A year later, researchers at IBM initiated more than 1,500 face-to-face conversations with CEOs around the world, asking them, "What is the biggest challenge you face in running your company?" The CEOs did not focus on the specific financial challenges they faced. Instead, they spoke to the bigger picture: *the rapid escalation and acceleration of complexity,* due to living in a world with unparalleled interconnection and interdependency, a global system of systems that can be subject to system-level failures. That gave rise to the title of the 2010 IBM report, *Capitalizing on Complexity* (IBM et al. 2010).

When the executives were then asked, "What is the single most important leadership competency needed to seek a path through this complexity?" Sixty percent of the 1,500 executives selected *creativity* out of a long list. The next quality nearly matched that rating: 52% selected *integrity*. The third quality was *global thinking* with 35%.

What strikes us in reading the IBM report is that the executives' formula for leadership encompassed the *antidote* for the mindset and behaviors that had triggered the global financial turmoil: namely, that the people and institutions who innovated the new financial products were operating to maximize their own company profits (and their personal bonuses), without empathy and consideration for the high-risk impact it could have on families, communities, and institutions around the world.

The IBM study brings to the foreground the triple formula for Innovation Enablement 3.0: the focus on creativity and innovation, based in human values (such as integrity), and holistic thinking. While the potential, transformative impact of Innovation Enablement 3.0 is certainly urgent for individuals and organizations, we need to remember that it can, and must, extend beyond our individual and corporate concerns.

As Buckminster Fuller once said, we live on a Spaceship Earth, and how we live and work necessarily impacts the planet and all the future generations who will live on it. Our impact on the lives of others can be great, and it is urgent that we tap into our own greatness to take proper responsibility for that.

Our traditional understanding of the purpose of business needs a dramatic update.

To succeed in this journey of transformation, we also need to seriously re-examine the bigger picture of what we have been taught about the nature of business itself – teachings that shape and mold how we think, speak, and act with regards to innovation, integrity, and global thinking.

For example, universities have taught for decades the writings of Adam Smith, the eighteenth century Scottish author of *The Wealth of Nations,* in which he wrote (Smith 1991):

> As every individual endeavors as much as he can to employ his capital in the support of domestic industry... [he] necessarily labors to render the annual revenue of the society as great as he can. He intends only his own gain, and he is in this, as in many other cases, led by an invisible hand to promote an end which was no part of his intention.

This has often been interpreted that each business should focus solely on creating wealth for its owners/shareholders, and then the greatest overall prosperity of society will automatically be achieved through an "invisible hand." Nobel Laureate economist Milton Friedman endorsed this viewpoint when he wrote in 1962 (Friedman 1962):

> Few trends could so thoroughly undermine the very foundations of our free society as the acceptance by corporate officials of a social responsibility other than to make as much money for their stockholders as possible.

When we look closely, however, we see that this "make as much money as possible" mentality was what precipitated the financial debacle of 2008. Friedman and others have taken the notion of "invisible hand" way out of context, leading to a dichotomy between being motivated by greed versus good.

When we examine Adam Smith's work more closely, we see that he was not just an author on economics; he was a moral philosopher who contextualized his writings on capitalism with the need to have that "invisible hand" be guided by our *moral faculties,* instead of an "all for ourselves" mentality and runaway greed.

In his *Theory of Moral Sentiments*, Smith gave us the guidelines needed for capitalism to work. Our economic and business decisions must be based on our highest moral values (Smith 2000):

> By acting according to the dictates of our moral faculties, we necessarily pursue the most effectual means for promoting the happiness of mankind, and may therefore be said, in some sense, to co-operate with the Deity. [These moral faculties] were plainly intended to be the governing principles of human nature. They were set up within us to be the supreme arbiters of all our actions, to control all our senses, passions, and appetites, and to judge how far each of them was either to be indulged or restrained.

Dr. J. J. Irani, head of business ethics and quality management for the Tata Group of companies in India, speaks to being successful in the corporate world while drawing upon human values and promoting the happiness of mankind. In an interview with us, he said:

> Business must benefit society; there is no question about it. You cannot be a spike of prosperity in a sea of poverty. Wealth creation is not the major goal; it is how we can serve the community. But unless you create wealth, you cannot share it. If you want something good to be distributed – better housing, better facilities – then you must have something in your pockets. (Global Dharma Center 2005)

Dr. Irani's statements well reflect the purpose of business for Innovation Enablement 3.0. That purpose includes yet goes beyond wealth-creation for shareholders and employees, to encompass the *well-being* of all stakeholders (such as customers, community, vendors, academics, society, and the natural environment).

Not everyone believes that this purpose of business is practical and possible. They might read all of this and feel it is just a fantasy wish – a nice one, but still far off from reality. Yet our experience is that it is already happening, and can proceed faster than we might believe. We have met dozens, and heard about thousands, of leaders who think, speak, and act like Dr. Irani.

Further, we have met hundreds, and read about millions, of people around the world who are demanding innovation, integrity, and global thinking from the companies they do business with. Mike Clasper, President of Business Development for Proctor and Gamble Europe, expresses this clearly (Murthy 2009):

> People are going to want, and be able, to find out about the citizenship of a brand, [and] whether it is doing the right things socially, economically and environmentally.

One of our favorite sayings is to "ride the horse in the direction that it is already galloping." As we watch the trends of this evolution towards Innovation Enablement 3.0, it becomes more and more clear that having human values as the basis for enabling innovation is simply the direction that things are going.

Whole Innovation

Reaching the Full Potential of Innovation Enablement 3.0

Some organizations are already providing a role model for Innovation Enablement 3.0.

When this recipe for transformation is fully prepared and served, what does it look like and taste like? That is, what do you see and experience when Innovation Enablement 3.0 with human values comes alive in an organization?

We are always on the lookout to find organizations that are models of this evolution. They will not be perfect, but they are sincere in their aspirations and actualization of the ingredients – the principles and practices – that make up this dish.

One such company in our sights is Unilever – a huge organization with 170,000 employees, headquartered in Rotterdam, The Netherlands. Their nutrition, hygiene, and personal care products are used by an average of 2 *billion* people each day around the world. How can such an enormous organization be in the midst of the transformation we have described in this chapter?

Consistent with Innovation Enablement 3.0, Unilever has defined the purpose of its business and innovation as the well-being of all its stakeholders. Its triple-bottom-line business model is well explained on their website (Unilever 2016):

> At Unilever we have been asking ourselves how we can make a transformational difference to those big issues that matter most to our business and to the world. Through the Unilever Sustainable Living Plan, we have set a bold ambition to achieve change within our own company – through our brands, innovation, sourcing and operations.
>
> Our Unilever Sustainable Living Plan (USLP) is central to our business model. It sets out how we are growing our business, whilst reducing our environmental footprint and increasing our positive social impact. Our USLP has three big goals:
>
> - Help more than a billion people to improve their health and wellbeing.
> - Halve the environmental footprint of our products.
> - Source 100% of our agricultural raw materials sustainably and enhance the livelihoods of people across our value chain.
>
> But we are only one company among many and the change needed to tackle the world's major social, environmental and economic issues is big – and urgent. What is really needed is fundamental change to the broader systems of which we are a part – whether that is in countering climate change, achieving food security or improving health.
>
> We are focusing in three areas where we have the scale, influence and resources to make a big difference:
>
> - Eliminating deforestation from commodity supply chains by 2020, to help combat the threat from climate change.
> - Making sustainable agriculture the mainstream, and so increase food yields and enhance the livelihoods of smallholder farmers.
> - Working towards universal access to safe drinking water, sanitation and hygiene.
>
> We want our business to grow but we recognize that growth at the expense of people or the environment is both unacceptable and commercially unsustainable. Sustainable growth is the only acceptable model for our business.

Paul Polman, CEO since 2009, is leading this transformation by keeping the company's sights on the long term while assertively growing the business. In this regard, he stopped the practice of reporting Unilever's quarterly profits, and the company resists giving financial analysts guidance on earnings. Polman ties his own compensation to how well the company is on track against its long-range sustainability metrics.

But to be truly transformative, human values must play a definitive role. For Unilever, its four core values are *integrity, responsibility, respect,* and *pioneering*. Polman takes the lead in articulating the primary role of such values. In 2014, when the *Guardian* honored him as the "Sustainable Business Leader of the Year," he remarked (Guardian 2016):

> I always say first and foremost that leadership is about being a human being. The future world will be much more purpose and values driven, so we want leaders that clearly understand this. All the normal skills of leadership will always be there but you now need that higher level of integrity and need to understand what we call systemic thinking. A little bit more humility would also be very good in my opinion.

Finding that sense of purpose and humility is part of what Unilever aims for in its leadership training programs, which focus on helping employees find their own "inner compass." With this combination of purpose and values, Unilever has become a magnet for talent to join the company. It has been recognized as the employer of choice in at least 34 countries around the world. In 2015, Fortune Magazine reported on LinkedIn's survey of the most sought-after employers in the world; Unilever came in 3rd, right after Apple and Google (Wartzman 2015).

We do not expect that Unilever, in all its scope and size, to be the perfect model. There is no such perfection, only aspiration backed by sincere effort. But this is one company that deserves to be watched and learned from.

The Quadruple Bottom Line

The full expression of enabling innovation with human values will be Whole Innovation.

Expanding from the specific (Unilever) to the general, we see that a transformational organization, based on Innovation Enablement 3.0 with human values, will *naturally result* in sustainable, "quadruple bottom line" benefits to an organization and its stakeholders. This quadruple bottom line expands upon the triple bottom line "sustainability" reporting of "People-Planet-Profits," currently being promoted by the Global Reporting Initiative (GRI 2016) and others.

We call this transformative state "Whole Innovation." Its characteristics include:

- Whole Prosperity
  - Offering products and services that meet customers' true needs in a sustainable fashion
  - Marketing, advertising, and selling in a way that demonstrates trustworthiness and integrity
  - Developing brand reputation based on sincere values
  - Implementing work processes that make jobs more meaningful as well as effective and efficient
  - Demonstrating wisdom about expenditures and the use of resources
- Whole Persons
  - Fostering a healthy workplace that brings out the talent and wisdom of employees
  - Finding effective ways to create and share new knowledge
  - Developing talent in alignment with personal values and a balanced lifestyle
  - Engaging each person's physical, mental, emotional, and spiritual capacities
- Whole Planet
  - Producing impacts that naturally support the viability and sustainability of the planet
  - Sustaining natural resources while fostering beauty and balance in the ecosystem

  - Uplifting the economic, health, and educational well-being of local communities and society
  - Promoting the well-being of all stakeholders, including customers, academics, suppliers, government, NGOs, society, and the natural environment
- Whole Principles
  - Fostering meaningful innovation with high ethical standards
  - Integrating human values (good character, moral virtues) into the organization culture
  - Developing leaders (leadership) based on wisdom from both the East and West
  - Instituting business models that serve the true needs of constituents with a symmetry of benefits

As we spoke about in the section on the principle of *True Wealth*, the measures of corporate performance are broadening beyond traditional bottom line profitability and market share to include measures of intellectual capital (intangible assets). Intellectual capital measures include growth capital, process capital, human capital, organizational capital, and relationship capital. These are key indicators of how well an organization is building its capability to proactively, consciously innovate its future with Whole Innovation.

- Whole Prosperity
  - *Growth Capital* focuses on building and measuring the future capability to develop new products, services, and brand experiences.
  - *Process Capital* focuses on building and measuring the future capability to embed wisdom and innovation into everyday work processes.
- Whole Persons
  - *Human Capital* focuses on building and measuring the future capability to create and share new knowledge and to attract/develop/retain talented, whole persons.
- Whole Planet
  - *Relationship Capital* focuses on building and measuring the future capability to create synergistic relations with customers, suppliers, society, academics, and other stakeholders.
- Whole Principles
  - *Organization Capital* focuses on building and measuring the future capability to create new business models, organizational design and culture to align everyone with purpose and higher values.

Whole Innovation is the manifested outcome of enabling innovation with human values. It is born of the symbiotic relationship between personal transformation and organizational transformation. Whole Innovation naturally results in sustainable, “whole bottom line” benefits – whole prosperity, whole persons, whole planet, and whole principles – whereby the game changer of Innovation Enablement 3.0 can fast become a transformative force in the world.

While teaching at the Motorola University's Vice President Institute, William once heard Bob Galvin, then chairman of the executive committee on Motorola's board of directors, describe the primary job of leaders as: "*Inspiring acts of faith (things are do-able that are not necessarily provable), spreading hope, and building trust*."

When a VP asked how these values relate to the "real world of business," Galvin replied that executives must develop strong character in themselves and others, not just good technical or financial skills. Then he concluded: "*Faith, hope, and trust... Theology is very practical business.*"

We would add that enabling innovation with human values is also *very practical business*.

Voila!

Cross-References

- ► Activating the Corporate Soul
- ► Creating a Flow Organization to Lead into the Future
- ► In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations
- ► Leadership Convergence: The Dawn of Practical Wisdom
- ► Self-Awareness in Personal Transformation
- ► The Neurobiology of Personal Transformation
- ► Whole System Transformation with Music

References

BCG, Ringel M, Taylor A, Zablit H (2015) The most innovative companies 2015. Boston Consulting Group, Boston, p 3

Blake RR, Mouton JS (1972) The managerial grid. Gulf, Houston

Capgemini MP, Klokgieters K, Brankovic A, Duppen F (2012) Innovation leadership study. Capgemini, Paris, pp 2–3

Christensen C (2011) The innovator's dilemma. Harper, New York

Conference Board, Mitchell C, Ray RL, van Ark B (2015) CEO challenge 2015. The Conference Board, New York, p 3

De Pree M (1992) Leadership jazz. Doubleday, New York, p 7

Deloitte, Tuff G (2013) CFO strategist: driving innovation for profitable growth. Deloitte, New York, p 5

Eisenstat R, Spector B, Beer M (1990) Why change programs don't produce change. Harvard Business Review, Boston, Nov-Dec 1990. http://www.hbr.org/1990/11/why-change-programs-dont-produce-change. Accessed 21 Oct 2016

Friedman M (1962) *Capitalism* and Freedom. University of Chicago Press, Chicago, p 134

Global Dharma Center (2005) Unpublished interview with Dr. J. J. Irani as part of the Spiritual Based Leadership Research Program

Great Place to Work (2016) http://www.greatplacetowork.com/about-us. Accessed on 21 Oct 2016

GRI (2016) Global reporting initiative. http://www.globalreporting.org. Accessed on 25 Nov 2016

Guardian (2016) Embedding sustainability drives greater profitability. Guardian, New York. http://www.theguardian.com/sustainable-business/embedding-sustainability-drives-profitability-unilever-polman. Accessed on 21 Oct 2016
Harrison K (2015) Employee alignment: the secret sauce of success. Forbes, New York. http://www.forbes.com/sites/kateharrison/2014/10/02/employee-alignment-the-secret-sauce-to-success/#320f10e72ddd. Accessed on 21 Oct 2016
IBM, Berman S, Korsten P (2010) Capitalizing on complexity. IBM, Armonk, p 3
KPMG, Bolton R (2013) HR as a driver of organizational innovation. KPMG, London, p 3
Kurzweil R (2008) Understanding the accelerating rate of change. http://www.kurzweilai.net/understanding-the-accelerating-rate-of-change. Accessed 21 Oct 2016
Kwoh L (2012) You call that innovation? Wall Street Journal, New York. http://www.wsj.com/articles/SB10001424052702304791704577418250902309914. Accessed on 21 Oct 2016
Lauber, R (2016) Learning transformation at McDonalds: two years into the journey. Association for talent development conference, Chicago
Massie S (1980) Land of the firebird: the beauty of old Russia. Heart Tree, Blue Hill
Massie S (2013) (Book release notice for. . .) trust, but verify: reagan, Russia, and me. Heart Tree, Blue Hill. http://www.trustbutverifybook.com
Matson J (1996) Innovate or die. Paradigm, Boulder
McCraty R (2016) Science of the heart. HeartMath Institute, Boulder Creek. https://www.heartmath.org/research/science-of-the-heart/heart-brain-communication/#. Accessed on 21 Oct 2016
Merriam-Webster (2008) 11th collegiate dictionary. Merriam-Webster, Springfield
Murthy KVB (2009) Politics, Ethics and social responsibility of business, Pearson India, New Delhi, p 152
Oracle, FSN (2012) The challenge of strategic alignment. FSN, Herts, p 9
Pruzan P, Mikkelsen K (2007) Leading with Wisdom. Greenleaf, Shipley
Pugatch J (2006) Acting is a job: real-life lessons about the acting business. Allworth, New York, p 73
PWC, Shelton R, Percival D (2014) Breakthrough innovation and growth. Price Waterhouse Cooper, San Jose, p 5
Rozovsky R (2015) Five keys to a successful Google team. ReWork. http://www.rework.withgoogle.com/blog/five-keys-to-a-successful-google-team. Accessed on 21 Oct 2016
Russell FTSE (2016) http://www.greatplacetowork.com/about-us. Accessed on 21 Oct 2016
Smith A (1991) Wealth of Nations. Prometheus, New York. IV.2.9
Smith A (2000) Theory of moral sentiments. Prometheus, New York. I.I.1
Steinberg A (1997) Real learning, real work. Routledge, Abington
Sullivan P Jr, Sullivan P Sr (2000) Valuing intangibles companies. J Intellect Cap 1(4):328–340
Terego A (2015) Instructional design and innovative thinking. eLearning Industry. http://www.elearningindustry.com/instructional-designers-must-teach-innovative-thinking. Accessed on 21 Oct 2016
Unilever (2016) Who we are. http://www.unilever.com/about/who-we-are/about-Unilever/. Accessed on 21 Oct 2016
Values Centered Innovation®. is a registered trademark of Values Centered Innovation Enablement Services Pvt. Ltd. http://www.VCI.global
Wartzman R (2015) What Unilever shares with Google and Apple. Fortune, New York. http://www.fortune.com/2015/01/07/what-unilever-shares-with-google-and-apple/. Accessed on 21 Oct 2016

Management and Franciscan Spirituality as a Source for Personal and Organizational Transformation

Thomas Dienberg and Markus Warode

Contents

Abstract

Every organization is subject to an ongoing process of change. Modern leadership theories such as transformational leadership and the management concept of a

T. Dienberg · M. Warode (✉)
Competence Centre of Christian Spirituality, Philosophical-Theological University Münster, Münster, Germany
e-mail: th.dienberg@iunctus.eu; th.dienberg@ikms.eu; m.warode@iunctus.eu; warode.iunctus@pth-muenster.de

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_37

learning organization provide the framework for transformation processes in today's professional world, referring to structures, processes, and technology. However, to be sustainably successful and creative requires an approach that places people at the center in connection to the system where he or she is living. The example of St. Francis of Assisi and his 800-year-old religious movement can be a significant stimulus for integrative individual and collective transformation in organizations. St. Francis himself represented a radical way of life. He established an attitude based on love towards people and God and considered it his mission in life to live the gospel. This is defined as a state of constant personal development, a state of being in motion, which forms the basis of his life philosophy and that of the Franciscan community to this day. He combines personal and collective transformation. The combination of modern management approaches and the Franciscan ideal can therefore be an approach that can provide new potential for a successful transformation process. In this chapter, essential statements of management concepts and the Franciscan tradition on change management will be presented and first attempts for a collation will be discussed.

Keywords
Change · Transformational Leadership · Learning Organizations · Franciscan Spirituality · Transformation

Introduction

There have always been changes in society and organizations. However, today, the processes for change take place at an unprecedented speed. Structures, processes, expertise, and above all personal routines are being subjected to constant change. In academia, one of the ways that this development describes is with the term "VUCA World." The VUCA World phenomenon is known as the cause and catalyst of relevant change processes. VUCA stands for a Volatile, Uncertain, Complex, and Ambiguous working world which requires constant adaptation (Thompson and Buytaert 2014). In the wake of these external developments, organizations are required to adapt to the constant change. Along with organizational strategies that must be set considering today's global competition, concentration on human resources is also becoming a crucial aspect. This means that an individual person with their own individual experiences, abilities, and talents is becoming more important. In order to actually tap into this potential, the following foundations must be laid. Firstly, the organizational structures and processes must be aligned in such a way that the available human resources are actually fully used. Secondly, it is necessary to have an experienced understanding of leadership which highlights the potential of each individual when forming relationships. This understanding of leadership should not be static, but rather a constantly changing process based on the leader having a reflective attitude.

A concrete example of this is in Germany's social economy. With demographic changes, digitization and an increasing lack of skilled and management personnel, the performance of organizations in the social economy sector is under extreme pressure. With over 1.6 million employees, the social economy sector is the joint largest employer in Germany along with the government. With the increasing demand for social services, a high growth rate is expected. However, at the same time, it is becoming more and more difficult to find enough qualified skilled and management personnel, and staff turnover is very high. As a consequence, these developments require systematic personnel and organizational development in order to ensure that employees have the correct skills and organizations are able to perform in the long term (German Federal Ministry of Labour and Social Affairs 2015). This does not mean incorporating one-off processes and measures that aim to achieve one specific result. It is essential that organizations and the employees within them undergo continuous development or transformation.

This particular characteristic of organizations in the social economy sector comes from the tradition and spirituality of their development. Established by Christian orders, the main aim of these institutions is to provide services to people and love towards the weak and the sick. While changes are taking place, it is therefore very important for these institutions to maintain their key values and actual identity and initiate changes based on these. It is not enough to just adapt popular concepts and approaches and hope for a more or less guaranteed effect.

It is against this backdrop that IUNCTUS – a center of competence for Christian spirituality at the Philosophical-Theological University Münster (PTH Münster), a university run by the German Capuchin order, researches in the context of "Franciscan Spirituality and Management esp. Leadership." The PTH Münster was founded in 1971 by the German Franciscans and German Capuchins in Münster, in order to train the younger brothers of the Orders theologically. The German Franciscans left the university in 2004. Since then, the university has been run by the Capuchins alone. The focus of the university is the theology of spirituality. Due to the decline in the theology students and thus reduced interest in theology, the focus of the academic approach has been further developed. On the basis of theology and philosophy, the dialogue with other humanities is a specific core element of the research approach of the PTH today. For this purpose, the institute IUNCTUS was founded in 2016. Experiences from research and teaching in the PTH are brought together in IUNCTUS. IUNCTUS is divided into various topics such as theology, philosophy, history, sociology, ecology, and management. The basis is the reflection of a spiritual attitude in responsible action. For the area of management and leadership, the question arises how a reflected attitude can be transferred into leadership in daily business.

The concept covers the overlapping area between Franciscan spirituality or Christian identity and the requirements of daily business. It focuses on the ability of people and their organizations to perform in the long term. The aim of the course is to enable employees and managers to initiate and implement changes based on their values of reflection. Through its connection with the Franciscan order – Capuchins are a reformed Franciscan order – the movement's tradition plays a key role, particularly the biography and spirituality of the order's founder, St. Francis of Assisi. Here, the main point of interest above all is the leadership traditions of the Franciscan movement. Franciscan leadership philosophy is characterized as serving, democratic, and brotherly. The principle of spiritual poverty – treating every person equally – and the ideal of community are the cornerstones of Franciscan leadership and organization culture. It involves the attitude to consider a person as a whole, utilizing their hidden potential and devoting oneself to the service of the community. In this respect, Franciscan traditions and culture ensure that a person always questions themselves and is openly and actively in favor of development. As Franciscan orders have been the supporters of many institutions in the social and health economy sectors, Franciscan knowledge is being transferred into practice today. For this reason, it should be discussed how and whether Franciscan traditions can be used as a source for successful transformation processes.

The transformation of organizations and transformational leadership are often quoted today both academically and in practice and used as an innovative conceptual solution to the VUCA World challenges. They serve as an approach to development and innovation in which both structures and a culture are created and experienced, allowing employees to unveil their skills and potential. This involves including employees and reaching a clearly formulated target with them. Managers have a particularly important role in this respect. They have the task of developing their employees and thus inspiring them to work towards a common goal. In principle, all leadership management processes must be adapted in such a way that all available resources can be used effectively and efficiently.

The developments in society and organizations require innovative approaches. Continuing with the comfortable status quo is no way to tackle the challenges of the market. Therefore, an integrated approach is required that connects individuals, the organization, and technology all together. This should include influences both within the organization and outside of it. In this context, it is worth referring to Prof. Erich Staudt, the founder of the Institute for Applied Innovation Research at Ruhr-Universität Bochum, Germany. This is an academic institute for innovative research that also incorporates the link between academia and practice through business consulting. The institute cooperates with PTH at the beginning of the research work in the context of spirituality and management, especially the experiences from classes and former research projects in the context of innovations management influenced the work at PTH and IUNCTUS.

Dr. Staudt's slogan was: "It is people who innovate." This captures the idea perfectly in a nutshell. When the developments are within organizations, then people stand at the center of it. People are therefore the initiators, the implementers, but can also act as a blockade to change.

It is for this reason that this chapter will focus on attitude, in the sense of a person's attitude as a prerequisite for successful transformation. It is important to create a bold culture for change: a culture which motivates people to engage with new issues and is geared towards including others and a culture which is based on fixed values and which provides a solid safety net in difficult times.

Methodology

The aim of this chapter is to discuss Franciscan spirituality as a source for individual and collective transformation in today's organizations and provide initial starting points for transferring them into practice, through a description of an applied curriculum.

First of all, the general changes that are impacting organizations today and initiating transformational processes shall be outlined. This shall be followed by a depiction of good leadership and current trends in leadership research, illustrated by transformational leadership by way of example. A brief introduction to the basic requirements of a Learning Organization and a systematic management system concludes the framework for incorporating Franciscan spirituality. This occurs due to the fact that successful human development requires viable basic conditions set by the organization. Based on a structure of personnel and organization, Franciscan tradition is introduced.

Furthermore, initial ideas shall be collected which include a connection between Franciscan subject matter and the requirements of daily business. In this section, recommendations shall be made in terms of first attempt for successfully implementing these ideas into practice. Examples from the social and health economy sectors will also be used. Finally, there will be a summary and an overview of the approach's potential for development, which will be described in a concept which is based on the interplay of person, role, and organization.

This chapter aims not only to bring together two extremely different subjects with Franciscan tradition and modern management concepts, but the two authors also aim to highlight the differences in linguistic style and form within each respective subject matter. In this regard, Father Thomas, a member of the Capuchin order, shall introduce us to the Franciscan world and Markus Warode shall introduce us to topics from the world of management.

Change as a Catalyst for Transformation

In the introduction, a variety of areas and facets of today's daily professional life were deliberately named with regards to changes: VUCA World, management, the special characteristic of organizations in the social and health economy sectors, as well as alternative solutions from traditions of the Franciscan order, for anticipatory purposes. A comprehensive introduction on the topic of changes and their consequences will not be included here. However, changes are understood to be a starting point with unforeseeable consequences for organizations and their people, which in turn, at least thematically, unites a very wide range of organizations, groups, and people. For this reason, we would like to step in straight away and make it clear: Changes always come at a cost. Profound, radical change is a messy process, the details of which can be unpredictable, within an active system that is definitively characterized by phases of intense doubt, great uncertainty, and impatience (Pfläging 2011).

However, it must be considered that it does not always take a crisis to cause quick, hectic change. It is important that the people within an organization – generally the managers – are continuously able to recognize the requirements of the external market and the changes in society within the context of the organization's internal challenges. A key prerequisite is only fulfilled once a change or change process is initiated that is oriented towards a sustainable future. The German management expert Niels Pfläging names three key elements in this regard which are essential for appropriate changes:

- Urgency: People within an organization must be dissatisfied with the way things currently are.
- Vision: The people must be aware of a clear direction for the change. The organization and responsible managers must be role models for this vision. The majority of collective activities must be aimed at working towards the vision.
- Strategy and first steps: A strong culture of trust must be established, after which changes are possible and can be made positively. A realistic balance must be found in which there can even be setbacks, reservations, or mistrust towards the changes and creative opportunities to forge a new, different path. However, it must also be stressed that a change process will always mean a certain amount of uncertainty and a loss of routines to which people have become attached (Pfläging 2011).

Even if the subject matter formulated here implies that there are approaches and measures which can help us to initiate changes and implement them as a fixed part of the organizational structure, we must be aware of one thing. As people, we do not know what the definitive result of something will be in the future. Peter Drucker, one of the most significant managerial pioneers, writes on this subject that the only thing we can say for sure about the future is that it will be different to the present, and it will in no way be a continuation of what we have now. Drucker also stresses that the future has not yet been born, it is as yet unformed, and it is still undecided. It can only be shaped by purposeful action (Drucker 2006). And this is where people come in. The initiation of new ideas and implementing them depends entirely on people. In order to work with the experience gained from innovative research cited at the beginning of this chapter, changes are made by people. By people with visions that they experience and implement for the purposes of the community’s or the entire organization’s long-term development.

This combination of vision, change, and bravery must not only be realized, but also implemented as a fundamental characteristic of a collective, organizational culture of change. The history of the Franciscan order provides us with a good example of this. The Franciscan approach reflects the basic concept of Franciscans and the founder of their order, St. Francis of Assisi. The Franciscans are a global community in which people are spiritually connected with one another, and they consider transformation to be one of its defining characteristics. But before presenting the subject matter and ideas of Franciscan tradition, we must first present the management concept of transformational leadership, which is already being successfully used and evaluated within organizations. Transferring centuries worth of knowledge into the present day requires an anchor and a basic structure in order to function at all in today’s environment. This appears to be absolutely essential based on practical experience. Questions regarding content and structure must be clarified in order to move forward together in the same direction.

In fact, the research work and educational events at PTH Münster have consistently confirmed these prerequisites. Bringing together subject matter from the management world and the religious order environment or theology is a rewarding task, and each respective field can give mutual suggestions for solving problems, e.g., in the processes of interpersonal relations, and for further development, e.g., of business divisions. The main thing is developing and ensuring a collective vision for a goal and ensuring that a common language is spoken. This means that the people in a project or a process need to have fully understood what it is about, and they must see the point in working together.

Let's look at an example of this from the educational events at PTH Münster. As part of an academic lecture on spirituality and leadership, a practical exercise was performed by the lecturer as a first try to apply the contents of a 2-day unit. The aim was to outline a fundamental leadership concept for a denominational hospital. The students (group of 12 people) were divided into three groups. Thirty minutes were given to develop some initial, structured ideas in response to the questions provided. The individual groups were deliberately put together so that they were heterogeneous. Employees from the church and from denominational and secular organizations worked together in a team. It should be added that the participants were still only at the very beginning of the overall concept and there were very few new ideas in the room. Once the 30 min was up, one group had come up with pretty much nothing. What had happened? One part of the group had got to work immediately in a structured, results-oriented manner. The other part of the group had spent 30 min discussing the assignment, complaining about a lack of information and other resources. Even if we do not disclose here which profession behaved in which way, we can still determine the following from this example. There were not only a variety of different experiences and skills that needed to be integrated into the work process, but it was also about an attitude for approaching new, challenging tasks in a proactive manner and engage with new things. For daily business, especially in the field of transformation or change processes, we have to expand the meaning of employability. By employability we mean the interplay of capability, permission, and volition on the basis of personal characteristics. Capability and volition are directly linked to a person's behavior. For the concept of spirituality and management, it is necessary to consider the personal characteristics of an individual or employee. Capability and volition are closely tied to these personal characteristics, to the level on which even a reflected attitude represents a component of action competence. This comprehensive appreciation might be a necessary basic for a capability to change on the personnel and common level. As we will see in the next section, leadership plays a crucial role in this context.

Demands on Today's Personnel Management

There are countless new workshop formats, such as Blue Ocean Leadership – a concept in which managers today find themselves in a huge ocean with various threats, opportunities, and challenges – which prove that even human resource management is undergoing a significant change. With the permanent pressure to change and the increasing lack of experts and management, leadership must also be looked at with fresh eyes. Every employee's potential must be factored in. And in order to know what this is in the first place, it is necessary to have an employee-oriented style of leadership which focuses on the entire individual as a person.

It seems prudent at this stage to look first of all at a traditional, descriptive, basic understanding of what personnel management is. So, as a summary, the following aspects are key to the general definition of management:

- Management is influencing people in a deliberate and goal-oriented manner.
- Management success is generally measured by business performance and employee satisfaction.
- The key criteria in management-related occurrences are the character of the manager, their behavior, the situation in which the behavior takes place, and the behavior of those being managed.
- The most important personal characteristics of a successful manager are extroversion, conscientiousness, and intelligence.
- Management behavior is generally measured on the scale of employee and task orientation (Nerdinger 2014).

If we focus on practice, this is how the perception of management has changed. Currently in the social economy sector, we are sometimes dealing with completely different management conditions. The aforementioned digitization and the processes that are being changed by this mean that there needs to be a restructuring in the way tasks are divided up within a team. Today, employees have a lot more responsibility in the work process. For example, medical assistants in traditional surgeries are providing consultation services or carrying out minor medical procedures (with certified qualification, of course). This means that along with their purely specialist management duties, managers are also required to have additional skills as project managers, coordinators, and motivators. Here too, the social change in values is leading to different attitudes among all those involved. These changed attitudes, along with the high qualifications of employees and graduates, are leading to new demands on today's personnel managers.

Allow us to add a small intermediate point regarding these changed attitudes. When changed attitudes are discussed today in the context of business, there is one key topic: Generation Y. Even though there are countless studies which name and categorize the requirements of this cohort in a different way, there are a few major factors which should be highlighted that also affect individual and organizational transformation. Generation Y, or "millennials," describes people who were born in the period of approximately 1980–1995. In contrast to previous generations, Generation Y's goal is to actively incorporate personal values, expectations, and targets into their jobs. This generation is looking for personal fulfillment and wants to live with this as a basis for their thoughts and actions (Dahlmanns 2014). What characterizes this generation in its daily professional life? Y, appropriately pronounced as "Why" in English, is a generation that is always questioning established traditions (Sonnet 2012). Its members often show a high level of idealism (to create a better world) and in principle are very willing to work and flexible in terms of type, time, and location of employment (Donders and Essler 2011). The limitation here is that their sense of personal fulfillment and fun must match for them to render a good service. In this respect, there have been discussions regarding high expectations of one's own life story and a large focus on having good experiences (Dahlmanns 2014). In short: The work-life balance has to be right! Life should be customized uniquely for each individual. On the other hand, everyone wants to be part of a community. This calls for a personal negotiation process which creates a real clash between individuality and community and sometimes creates tension when it comes to activities in an organization that affect both individual and organizational targets.

In this complex structure, it is clear that there needs to be a form of leadership that is equipped to deal with the needs of the people with whom relationships are formed. In this regard, bringing together individual expectations and skills to work towards a common goal plays a key role in the portfolio of tasks that a manager must address in today's organizational processes. But let's move on and take a look at the changing demands on managers today.

Management quality is characterized by the formation of social relationships in increasingly complex and dynamic project structures. Personnel management is no longer determined just by specialist skills, formal roles, and the number of subordinates you have depending on this role (Drucker 2006). Managers must no longer be the person who knows everything and can do everything right on their own. Their essential task is to coordinate individuals' skills for a collective task. This involves encouraging the expertise and performance potential of individual employees. A key element of this is both a factual and people-oriented form of communication at all levels. It involves processing information in a targeted manner. A manager can achieve this by listening, keeping their eyes open, listening to their gut feeling, and speaking a lot to other people (Mintzberg 2010). A good foundation for this is a personal attitude which enables others apart from yourself to grow and a new form of self-management which is primarily geared towards soft, interpersonal elements. The behavior of managers also plays a crucial role. Within organizations, employees require appreciative and fair treatment. Outside of organizations, bad, immoral behavior in particular can be detrimental to the image of the whole organization, which can be aggravated by the media, and in principle this has a negative effect on customer and employee retention, as well as recruitment.

Against the backdrop of immoral and sometimes criminal behavior by managers, research into personnel management in recent years has focused increasingly on approaches which argue that managers' good behavior is an essential factor for success to achieve successful leadership in the long term (Nerdinger 2014). With respect to this, Harvard professor Barbara Kellerman speaks about the light side of leadership. "We presume that to be a leader is to do good and to be good" is the key statement with which Kellerman characterizes this "light leadership." According to this, good, successful managers demonstrate particular special characteristics (to be good), based on which they act and think in a manner that is positive in terms of dealing with employees and responsibilities (to do good) (Kellerman 2004). Relevant leadership theories and approaches include authentic leadership (Avolio et al. 2004), spiritual leadership (Fry 2003), the servant leadership approach (Greenleaf 2002), and transformational leadership, which will be discussed in greater detail in the next section.

Transformational Leadership

Transformational leadership originates from Bernhard Bass and Bruce Avolio and has been discussed in great detail in leadership research in recent years (Bass 1985; Avolio and Bass 1991). The concept deals with the idea of actively designing changes in the context of the environment and employees' expectations. The manager should initiate and shape the development of employees by addressing the behavior and awareness of those involved. In a dynamic sense, the managers are "co-developed," which can lead to a positive spiral of mutual development. The approach refers to various other leadership approaches, such as charismatic leadership, and by its own account can be combined with other leadership theories.

The theoretical background of the theory lies in the work of James MacGregor Burns (1978). In a study about leadership in a political context, Burns differentiated leaders who gained followers by offering rewards for people's services from leaders who gained followers by creating a community with a mutual sense of duty, increasing people's motivation and sense of morality (Weibler 2012). The combination of transactional and transformative elements here is the anchor for transformational leadership. Transactional elements, in the sense of traditional service and reward systems where employees fulfill their work for the organization according clear targets and structures, are indispensable, but are not sufficient for long-term, high quality success in leadership. The aim of the transformational leadership concept is to achieve a higher level in terms of leadership relations. In order to achieve organizational targets as well as possible, the energy or potential within each employee must be released and utilized. It is assumed here that these goals which are represented by managers are also in the interests of the employees. Communicating the purpose of these goals is therefore a key component of transformational leadership, because transformational leadership behavior illustrates the purpose and integrates common goals and ideals of the employees and the organization. In the context of this chapter, this is an appropriate point to bring together the ideas of the individual and the community.

For practical implementation, the leadership concept is divided into four categories which, in principle, take into consideration the balance between the individual and the organization.

Idealized Influence

"Idealized influence" refers to the behavior of the leader. This means morally correct, responsible, performance-oriented behavior from the manager in terms of the organization's aims. In this respect, the manager puts the interests of the organization and its goals before their own personal interests. They set their own expectations as an example and emphasize the communal benefit of the task. This requires not only externally visible behavior (I talk about what's important to me), but also requires that the attitude is in accordance with the actions that are carried out. In this way, a leader's internal attitude or reflective spirituality forms the foundations for honest, exemplary management behavior.

Inspirational Motivation

Transformational leadership includes an attractive, motivational vision for the future and challenging targets that stimulate employees and allow them to identify with the manager. The leader gives meaning to the organization's targets, spreads optimism, and integrates appropriate values and attitudes. A manager emphasizes the performance of individuals and the community and has full confidence in the abilities of their employees.

Intellectual Stimulation

Intellectual stimulation is a type of leadership behavior which encourages employees to make their own decisions, try out new methods, and rethink deep-rooted processes for problem solving. To achieve this, the manager creates space so that things can be looked at from a different perspective and encourages people to be bold enough to take risks. This encouragement from the person in charge should help employees to start trying an increasing number of new methods independently and not automatically accept the current state of affairs as the best one possible. Here too, the manager's reflective attitude plays a crucial role. Am I prepared to keep questioning things and potentially break routines?

Individualized Consideration

In the scope of individualized consideration, employees are perceived as individuals. Here, the manager functions as a mentor or coach and helps each employee to learn and grow. In this way, the manager supports the employees to perform better a little bit at a time. Personal needs such as autonomy or security and development opportunities for the individual are all taken into account. Here, the link to the needs of Generation Y and a starting point for how to implement a leadership concept in practice becomes very clear. Furthermore, individualized support includes paying attention to employees' concerns and appreciates employees' work and successes (Bass 1985; Avolio and Bass 1991; Süß and Weiß 2014; Weibler 2012).

The philosophy of transformational leadership can be characterized well as "encouragement through demand." The important thing is having a dialogical relationship between the manager and employee which is geared towards mutual growth. The skill is in aligning the different facets of the individual towards a common goal for all members of the organization. This results in a healthy interplay between personal and collective goals and interests.

Let us summarize. The developing relationship between the individual and the community has, as discussed, already had a significant impact on daily life in an organization. The socially established processes for change in particular lead to a different relationship between an employee and manager. As shown in the example of Generation Y, individual values, attitudes, and goals must be integrated into organizational processes. Today, employees have higher expectations of their employment relationship. In the context of constant change, organizations are required to tend more towards the wishes of their employees without losing sight of the organization's goals. Here, it is assumed that an employee's individual values and skills are useful for both the employees themselves and the organization. With regards to practical implementation, the goals of the employees and the organization, or the individual and the community, must be brought in line with each other. The anchor for this lies in having an employee-oriented style of personnel management as a foundation for collective transformation processes. In order to achieve this, one must look at having a quality of leadership that primarily forms relationships and inspires employees to support the organization, whereby personal needs are also integrated. Transformational leadership presents an approach which takes these elements into account and focuses on the development of employees and the organization using an employee-oriented management style based on a reflective attitude.

The research work at PTH Münster focuses on bringing together a good, reflective attitude and good, sustainable action. To further explain the research concept at PTH, it makes sense to point to the purely theological tradition. In the past, teaching and research at PTH focused on theological and philosophical topics and content. Against the background of the sponsorship of a Franciscan Order, Franciscan tradition plays an important role in the context of that work. For several years now, research has been expanding to include other humanities disciplines such as sociology, history, and also management and leadership research. This process is more akin to a start-up involving various lessons learned from theological classes, workshops, theoretical and applied research activities. Also the personal experiences from the different employees are a part of the developing process. To bundle the different approaches and experiences, the Institute IUNCTUS was founded at PTH Münster. So the first necessary step was to find a common research goal, an overall goal which includes all aspects of the different departments as sociology, management, etc., and which invites for an attitude of an open dialogue at eye level. As already mentioned, the transfer of a reflective attitude into responsible action is the common goal, which gives the scientific work a roof. For the field of management, the goal is how to ensure sustainable employability especially in the context of leadership and transformation which is based on a reflected attitude. The connection of Franciscan ideals and modern management approaches is a first step to get into a dialogue and open the minds for a new concept for the practice. If we add the traditions of the Franciscan order to the mix here, then using the experience of reflective attitudes, we can identify precisely the foundations of attitudes and actions that can be used today as a building block for leadership quality, which takes into account more and more the character and skills of individuals and also develops the community and a transformational culture within organizations and among employees. However, along with an appropriate leadership style, the system's general conditions are also extremely crucial, which will be discussed in the next section.

Framework Conditions for Learning Organizations

To highlight the necessity of an organizational framework structure, we shall draw on a practical example. At the Ruhr-University in Bochum (one of the partners of the PTH in the field of management and spirituality), a modular postgraduate course was designed early on for graduates and people in employment. In contrast to the degree courses, there were no lectures or tutorials, but modules in which application-oriented knowledge was conveyed in the form of exercises, group work, or role-plays based on theoretical fundamentals. The aim of the course was to ensure the participants were qualified to actively develop innovative ideas and implement them in their own personal field of work. It was therefore directed above all at managers or junior executives. The course catered to participants from a wide variety of sectors, including insurance, industry, administration, academia, and even the religious ones. This heterogeneous group had the advantage of being able to discuss project topics or problems from the daily world of work from different perspectives, and even solve many of them. The participants were invited to incorporate their own personal cases into the modules. They also had the opportunity to reflect on situations in personnel or project management and receive alternative suggestions for solutions from the other participants and tutors. This resulted in an overall concept which fell into a subject area that was a cross between current theoretical foundations and individual and collective knowledge from experience, a concept which aimed to get employees to focus on a reflective and professional formation of change processes. In this course, there was one student who worked for a larger administration. The student was dedicated and very creative in the practical exercises. At the end of the course, the student asked to have a meeting with the module director. She thanked him for his excellent support and the opportunity to learn interesting, up-to-date things. In the meeting, the module director asked her what she wanted to do now with her newly acquired qualification in her administration job and whether she might look for a new, higher up position. To this, the student replied that her employer did not want to implement any of the new things she had learnt and that at least in that organization, she would not be able to make use of her new knowledge. Her superiors had told her very clearly that the knowledge which she had acquired from her further studies alongside her job, the attendance to which was agreed beforehand, was not allowed to be used in their administration processes.

This example shows very clearly that it is by no means enough for employees to be well qualified or motivated. Their organization must also allow them to do this. There must be a culture and structure within the organization that makes it possible for changes to happen at all. A systematic approach for both individual and organizational aspects, as well as both internal and external influences, need to be integrated. There needs to be a concrete, systematic management structure which correlates all the relevant influential factors and brings with it a clear target orientation. As the aim must of course be to be able to develop oneself in the context of general changes.

The St. Gall University management model supports this kind of systematic management system. It draws on the dynamic interaction between an organization and the environment. The environment (environmental sphere) influences the organization in such a way that it must consistently readapt itself in order to be able to make use of the environmental impact. In this situation, management acts as a reflexive, creative process which contributes to an organization being able to develop further in cooperation with the environment. Management can be differentiated into normative, strategic, and operative aspects. The normative level concentrates on the general aims of the organization and formulates principles, standards, and rules which enable an organization to perform and develop. The approach here is the ethical and therefore spiritual legitimation of the organization's activities against the backdrop of the expectations and interests of various stakeholders. At the strategic level, an organization develops processes in order to follow fixed guiding principles at the normative level and achieve targets. In the day-to-day running of the business, the targets are finally implemented at the operative level. This includes, among other things, the management of employees as well as planning, direction, and control of business processes. This is how the model describes the various connections within an organization (Rüegg-Stürm and Grand 2015).

The relationships between personnel, the organization, and technology have also been used a basis for research approaches at the Institution for Innovation Management, which was mentioned in the introduction of this chapter. Following on from the management system from St. Gall, a system-environment model is being discussed, which will be briefly outlined below. The approach aims to determine the competence of organizations. The system elements are the factors of production, which are personnel and other factors relating to the organization which are linked via the structures and processes (relationships). Inside organizations, a transformation process takes place in which the input is converted into output, i.e., into products and services. Via input and output relationships, an organization is integrated into an environment of suppliers, clients, regulations, social influences, etc.

The extent to which organizations change in this respect is not down to individual elements of the system, but rather it is based on collaborative processes between employees and organizational factors. As a result of this, the organizational system architecture in terms of organizational competence is made from a combination of:

- Social systems which can be considered as a collaboration of individual competencies
- Technical structures which are defined, e.g., by the available information and communication structures
- Formal and informal organizational regulations

Individual competence can therefore only be a building block, the use of which can only stem from the actual economic connection with the social system, the available technical infrastructure, and the organizational regulations. Only an awareness of this connection with the system creates a basic starting point for organizational learning or the successful transformation of personnel and organizational elements.

However, an internal view of an organization's internal elements is not enough to ensure successful transformation processes. On the contrary, organizations are actually interconnected with a sometimes very dynamic environment. The positioning of an organization among competition can also be described by the following external relationships:

- On the so-called input side, relationships with suppliers for materials, information, equipment, with money or with the capital markets and the job market (availability of qualified specialists and management staff)
- On the output side, relationships with the respective client groups, competitors and the organization's own position on the market

For an organization to develop sustainably and positively, it is essential to have access to the required resources and to nurture stable client relationships.

It must also be considered that the individual components of an organization's internal system and therefore individual competence are linked to the respective output fields. This means that they are dependent on:

- The social environment (e.g., level of education of potential employees, learning in the social environment)
- Technological developments (e.g., as a prerequisite or limitation of the organization's own technological development)
- Legal, contractual, and other regulations (they decide, e.g., about responsibility and potential for development, job descriptions, certification) (Kriegesmann 2003)

These complex and varied connections require the internal components of an organization to be successfully attuned to the environment as a prerequisite for being seriously competitive on the market.

Allow us to summarize as follows. To ensure sustainable competitiveness, it is not enough to focus on individual competencies and established learning processes. Significant tasks are carried out by technology today. This in turn requires a clear structure, i.e., we need clearly defined organizational processes.

Let us take another example from the health economy sector to describe this theory and very complex connection. This company aims to increase the employability of employees. The aim is to instigate a leadership culture which encourages people and organizations to develop. Let us select two external influential factors. Firstly, the location of the company. Is the company located in an attractive metropolis with a variety of lifestyle options and a large pool of skilled and management staff, or in the countryside with fewer options and a smaller choice of highly qualified potential employees? This is a particularly pertinent point in Germany at the moment. Village areas in particular have an increasing lack of doctors, because there are too few skilled and management staff who want to work in the countryside. This means that the number of people to choose from is simply much smaller in the countryside. Secondly, due to laws and formal regulations such as the documentation obligation and other administrative duties, there is a large amount of extra work to be done. Here we can discuss legal regulations which impact the internal structure of an organization. As a company, I now wish to introduce a leadership and organization culture which puts people at the center of our focus. This means that services to and for the people should be actively carried out and constitute part of the culture of the organization. The main aim is to create a structure which allows for more time to be spent with patients. In the example, we shall now assume that the company has been successful in obtaining highly qualified personnel that is able to implement the new strategy. However, due to the aforementioned documentation obligations, there is no room for maneuver in terms of spending more time taking care of people. So what is the consequence of this? On the one hand, the service to people is limited in terms of time, and on the other hand there is the danger that innovative developments and trying out new ideas will be more or less nipped in the bud. In summary, this case shows very clearly that these types of external conditions have an impact on internal processes which cannot be implemented at the operative level, as was formulated at the strategic level. It is therefore absolutely essential to take into account all the relevant factors of the system.

Learning Organization

Now that we have presented the two aspects for successful developments in organizations – and by people – with transformational leadership and a basic system structure, we shall now move onto presenting the basic conditions or the character of a Learning Organization. What is special about a Learning Organization and why is this approach being presented here? This management approach has been chosen here because it takes into account both the structural framework conditions and the people in their respective relationships with management.

As has already been mentioned several times in this chapter, the experiences of innovative research provide an important stimulus in order to even be able to consider changes and an integrated transformation. The starting point here is also the constant development of society in all major areas of work and life. Within the realms of this change process, along with all the positive associations that come with change, there are also uncertainties which arise about the future and how organizations and their employees will be able to position themselves in a dynamic environment (Kriegesmann 2003). In this respect, the “Learning Organization” is described as a concept which ensures an organization’s ability to adapt to a dynamic environment. Learning Organizations are attributed the characteristic of having a successfully changing system. Different management concepts focus on further training as a key adaptation instrument for future change processes (Staudt and Kriegesmann 1999), so in Learning Organizations, training schemes are carried out across the whole organization. Of course, organizations themselves do not learn, but the people who work in them; however, the example of “learning” is very helpful when constructing this model. “The organisation collects knowledge. It learns as if it were a real individual and is constantly renewing its knowledge. This is completely impossible without people, but it is not dependent on certain people" (Rudolph 1997).

The process of organizational learning can ultimately be explained by individuals' learning. Organizational learning refers to the process of increasing and changing problem-solving skills and other competencies, as well as changing the common framework within an organization (Probst and Büchel 1997). Organizations must be created in which the people continuously develop the ability to realize their true goals, in which new ways of thinking are encouraged and collective aspirations are set free and in which people learn to learn with each other (Senge 2011). A learning organization is therefore a group of people who work together and continuously increase their assets and achieve what they really want to achieve (Senge and Scharmer 1996). When an employee makes his changed knowledge available to the organization's basis of knowledge, then there is not just a personal learning process, but an organizational one. Because individual learning processes do not automatically lead to organizational learning processes, if, for example, employees leave the organization or do not share their knowledge, collective learning processes such as further training and group work or other forms of knowledge management are often initiated (Güldenberg and Eschenbach 1996).

In their theoretical construction, Learning Organizations are described as "anti-structural." This means that they detach from prescribed structures as far as possible and instead gear themselves up for permanent change, which is always a central aim in a transforming organization. Verbal communication and cross-linking without a hierarchy and with a sense of self-responsibility should take the place of preset structures. It should be highlighted that ties which are too rigid are seen as hindrances that work against processes for finding solutions in complex situations. The idea is to make all of the organization's subsystems as flexible as possible. According to the theoretical argument, loose relationships and flexibility are seen as the main requirements for portraying an organization's ability to transform (Kerka et al. 2004). The actions of individual people involved play a crucial role here, particularly those of managers. The people who are acting must be convinced by the concept to be able to implement it authentically and successfully. The link with aspects of transformational leadership becomes particularly clear here.

However, in the interests of our previous account and the demand for a concept that is as practical as possible, we must state that having confidence in open processes and high flexibility are important, even essential when it comes to the practical implementation of other factors that are subject to change. It should therefore be noted at this stage that the operative approaches for learning organizations are often only based on the people involved and that cooperation with organizational and technical components – named as fundamental in the previous section – is absolutely imperative, because the result of such "staff only" learning processes would then be a changed portfolio of knowledge or competency made up of parts of the social system. As a result, the organizations then have "cleverer" employees; however, this does not constitute a prerequisite for sustainable development processes. This generally leads to disappointments in terms of the expectations of the measures implemented by the organizations or goals for a successful transformation process. Organizational learning processes therefore constitute more than the sum of the individual learning processes and sharing and saving individual knowledge (Kriegesmann 2003). The foundations for a successful structure for sustainable transformation processes now lie within the system. People, the organization, and technology are the components that must be developed as a team if one wishes to develop sustainably in the long term.

So where is the crossover with Franciscan tradition? Where have attempts been made to find common ground between the trends of today's organizational world and its various leadership and management approaches, and the experiences of the movement of the Franciscan order? The structure of the previous section of this chapter focuses on the following topic areas which are characteristic of the Franciscan community:

- The attitude and spirituality of the order's founder, Francis of Assisi, and of every Franciscan brother
- The aspect of continuous personal and collective transformation as an ongoing process
- The order's "Regula Bullata" Rule as the foundation of living and working together in the order system
- The eight spokes of the Franciscan wheel as a fundament for the connection between attitude and practice

Transformation and the Franciscan Way

In order to understand the Franciscan perspective on transformation, two different steps are necessary: a short view on the term "spirituality" and a short introduction into the Franciscan spirituality.

What is Spirituality?

The use of the term spirituality is very diffuse, and there are many different definitions. It is a term used, of course, in religion and matters of faith, in esotericism, but also in public life, in the field of sports, in advertisements of very different branches. In all of these different fields there seem to be, nevertheless, a common conviction that spirituality has something to do with a spirit, which connects, combines, and inspires people with something and/or each other.

From its origins the term spirituality has exactly that meaning. It derives from the Latin word "spiritus," which can be translated as spirit. It is a translation of the Greek word "pneumatikos" that was used by the Apostle Paul in his letters in the New Testament. The apostle describes with this term the way of Christian living and being in a world ruled by the Jewish religion, by paganism, and the Roman way of living. (Kor 2:14-3,3). Paul used the word in order to describe the Christians who are ruled by a different approach towards world than all the others: the Holy Spirit is the driving force. Therefore, Christians are in the world with a perspective towards the eternal life. Life in the world is important, but the Christian is not fixated on it and not dependent only on worldly affairs and matters. He used it as a technical term for Christian life.

During the centuries the term spirituality experienced very different translations and focuses. Sometimes the emphasis laid on the term mysticism, sometimes on asceticism, sometimes on piety. In the last decades of the twentieth century the term, which disappeared almost totally in theological discourses, came up again and experienced a fascinating renaissance. In the meanwhile it has become a difficult term, so that some are asking for finding new words or new termini for it. But what could that be? And the term with its origin and history is a strong term that cannot be easily given up. Therefore, at this point we offer a definition for spirituality: Spirituality is the ongoing transformation of a human being in engaged and responsible relationship with oneself, the other, the world and God (Waaijman 2002; Dienberg 2016a). In the center of this definition stands the term "transformation." It is right at the heart of spirituality, whatever the origins of the actual spirituality of the person could be. Transformation includes in this definition change and dynamic. Spirituality is a dynamic process, a lived reality that concerns the whole human being, not just a certain part or time in life. Transformation takes hold of the whole person. The transformation is ongoing, that means you do not have one spirituality and one form for your whole life. It is the task of the individual to ask oneself whether the forms for his or her spirituality are still the right ones, whether the expressions, rituals, and attitudes should go through a process of change and also conversion. Conversion goes right to the heart and center of the individual and means much more than change. That includes effort and practice. It is not like an "Instant-Spirituality": you put in the powder, stir the spoon and the drink is ready. It means effort and work, it needs time and reflection – and it also shows that spirituality is nothing for one moment or an hour on Sunday morning, it is a matter of the whole life. An important point in the definition is the aspect of form: trans-form-ation. Spirituality always deals with forms as an expression of itself. But these forms are not set in stone, they are not static, they also have to go through constant and ongoing processes of change, so that this could lead again to conversion.

Therefore, spirituality raises questions and challenges, you cannot get it for free. On the other side in spirituality there is also, next to the moment of activity, the moment of passivity, of letting happen, of something the individual has no control over. Transformation needs the active decision for change, but there is sometimes also the moment that something just happened, and the individual can only let it happen, like a mystical experience, like the experience of love and a deep encounter. In religious traditions, these two sides of the same coin are called asceticism and mysticism. Both are part of spirituality. Transformation in this context then includes an active and a passive side: to transform and getting transformed.

A last, but very important aspect of spirituality, as to be seen in the given definition, is the aspect of relationship and "relationality." Spirituality is lived relationship: taking over responsibility for oneself, but also getting in contact and relation with the other, with the world and God, in an "engaged and responsible relationship." Spirituality from this point of view means that the individual cannot refrain from the world and the actual social, political, clerical challenges the world and society have to face. In the Christian tradition, this is the aspect of creation: Everything is created by God, human beings are related to everything that exists, because of the creation that includes solidarity, love, and engagement for the world.

The Franciscan Spirituality and its Significance for Business Education

In the Christian tradition, there are many different so-called schools of spirituality that tried and try to live the "Imitatio Christi" in different ways with different or similar focuses. In all of these schools, transformation is an essential part, because at the beginning of a spiritual school was always some kind of a source experience that is relevant for the development of this special Christian spiritual form (Waaijman 2002). The source experience is an experience of an individual that changed his or her life in a radical way towards a more consequent and often radical "Imitatio Christi." Others wanted to make the same experience or just followed these individuals on their radical way of life. The movement grew and got second and third generations. In the history of these schools, a reform often took place with regard to this source experience and its transforming power. One school will now be analyzed as an example for the power and the importance of transformation in this chapter.

The Franciscan School of Spirituality

Franciscan Spirituality can be compared to a wheel (Dienberg 2016b), a wheel that illustrates transformation in a Franciscan perspective: In its center is the Gospel. This is what Francis wanted throughout his life: to bring the Gospel into life as he expresses in his Later Rule: "The Rule and Life of the Lesser Brothers is this: to observe the Holy Gospel of Our Lord Jesus Christ by living in obedience, without anything of one's own, and in chastity" (Francis of Assisi, LR 1,1 (ED 1, 100)).

There are many quotations that show the special and important significance of the Gospel in the life of Francis – and consequently for the Franciscan spirituality in general: In his testament, e.g., he stresses it and adds that God guided and called him to this way of life: ". . . the Most High Himself revealed to me that I should live according to the pattern of the Holy Gospel" (Francis of Assisi, Test 14 (ED1, 125)). Thomas of Celano, one of the first biographers of St. Francis, writes in chapter XXX of his first vita: "His highest aim, foremost desire, and greatest intention was to pay heed to the holy gospel in all things and through all things, . . ." (Francis of Assisi, 1 Cel 84 (ED 1,254)).

Also in the Legend of the Three Companions the author writes: "He zealously used to admonish the brothers to observe the holy Gospel and the Rule which they had firmly promised" (Francis of Assisi, L3C 57 (ED 2, 101)). It is all about the Gospel and especially about some attitudes and virtues. Transformation here includes a basic new orientation towards the Gospel. The way, it can be lived, are the virtues and attitudes.

Eight spokes that protrude like rays from the center, i.e., the Gospel, indicate the realization of the life according to the Gospel. First of all, there is “Fraternitas,” being a brother or a sister, a topic crucial for the life according to the Gospel. It was not Francis’ foremost intention to found an Order. For all his life he was torn between solitude, the life of a hermit and the market place, a life of connectedness with the world and its denizens. He needed the solitude of remote places and caves to focus and tune back in with who and what centered his life: the Gospel and God. At the same time, he felt the urge to carry the Gospel to the world. Brothers joined and together, they embarked on the journey to live according to the Gospel and to spread the Good News. “Fraternitas” is the base for transformation, means: transformation has to do with the person itself, but also with a direction – and that is the other, that are the others and the organization.

This first spoke underlines the importance of the understanding of leadership as leading others. Fraternitas in a Franciscan way is about the knowledge that a successful way of living and working is based on doing things together, on integrating the charisma of everybody, and on developing skills and abilities for the good of all. It is about the ability to delegate, to participate. The tension of solitude and fraternitas also shows that times of a personal reflection and of a certain distance to others are necessary in order to refill your personal (re-)sources.

A second spoke of the Franciscan wheel is Poverty, another crucial aspect of Franciscan spirituality: To renounce material goods, to “not-attach-one-self” to things and locations. At the same time, poverty is a theological virtue that mirrors the Gospel: Francis wanted to be similar to Jesus who had no place to lay his head (Mt 8:20). Jesus made himself nothing, by being human in likeness (Phil 2:7) dependent on others, gave his life for all human beings and gives himself under the forms of bread and wine, the elementary and humble indicators of everyday life. He makes himself small and poor.

It is this very poverty that Francis wanted to live with his brothers, a poverty that has its roots in incarnation and the Eucharist. Hence, poverty is more than renouncement or giving up material things; it is a basic attitude, a habit of life: to know oneself as dependent, not to make oneself larger than one is, to experience life as a gift, to be open toward what one encounters in the world and other human beings, to search and find God in the simple things in one’s day to day life. The attitude of being poor, emptying oneself and being open for the better, the greater and the others, is a basic attitude in the Franciscan spiritual life. This openness on the other side leads to a possible transformation in the encounter with the world and the others. It can happen that this openness transforms the individual. Something happens to him or her – and the individual has to let it happen. The gift of transformation needs the attitude of poverty, the attitude of the evangelical poverty.

The second spoke especially underlines the necessary component of openness toward the world and toward others. In business education this aspect could be taught with exercises and knowledge to learn more about yourself, about your strength but also about your weaknesses. Nobody is perfect and everybody is dependent on others. The view of yourself as a weak and “poor” person could help to look at the other in the same way – and therefore, learn how to deal with these aspects of life by integrating virtues as there are humility, forgiveness, mercy, and love.

A third spoke, going hand in hand with poverty, is the Being Lesser. Francis and his brothers called themselves the Lesser Brothers, friars minor. Brother Giles, one of the first companions of Francis describes being lesser as such: “Lesser Brothers – that means being under the foot of the whole world” (Francis of Assisi, Gil 7). Being lesser puts the service in the foreground. For a Franciscan understanding of transformation, this is an essential part. It includes the attitudes of obedience, which does not mean anything else than listening. It includes the attentiveness and mindfulness towards the world, towards life, and the others. And these aspects are crucial for transformation in general. It includes the will of getting transformed and the necessary attitudes and soft skills to initiate a process of transformation for others and for the organization. In this regard it is also a service for an organization.

The third spoke integrates the dimension of servant leadership based on an example: the Gospel. Servant leadership is not just a nice theory, it is a practice of management with certain attitudes and skills, mentioned above: listening, being attentive, contemplating on realities, and being connected. This has to be integrated and exercised. The example for Francis was Jesus Christ (Eckert 2000).

A fourth spoke of the wheel is Creation. Francis found God and God’s traces everywhere in the world for by God everything was created. God is the Creator of the world and this is the reason why Francis felt himself a creation of God and hence felt not just close to but rather related to all and everything that lives and exists. Being related is not just a romanticized enthusiasm for the beauty of nature but taking responsibility for creation, a command that was given to humankind by God in the Old Testament. Being related is another important framework for transformation. This can happen through the encounter with the other, with nature and the beauty or the damage of creation, through attentiveness and listening. It means: getting and being touched.

The fourth spoke of the Franciscan wheel becomes more and more important. The world of business has to see the whole picture and the interdependencies by using materials, goods, and resources of our nature. Justice and peace as well as sustainability and the engagement for ecological issues should be essential parts of every business education today. Francis and the Franciscan spirituality can show a way of thinking of everything that exists within the terminology of relationship. Francis called everybody by naming it, him or her with “brother,” “mother,” or “sister.”

The fifth spoke is Peace. The greeting Pax et Bonum (peace and all good) is said to be authored by Francis and adapted in a Franciscan way. Before anything else, the brothers are supposed to wish peace to any home that they enter (Francis of Assisi, cf. ER 14:2 (ED 1, 73)). The Gospel brings peace, a comprehensive peace that the world cannot give. “Peace and all good” – that is an aim of transformation. Transformation in itself is not a goal or a value, it should always be seen in its perspective: for a better and especially for a life in peace – to be in peace with oneself, to be in peace with the world.

The fifth spoke integrates different dimension: peace with oneself, what often is difficult enough. Peace with others and the peace with the world (as to be seen in the encounter of Francis with the Sultan or with nature, that, at his times, was considered mysterious and dangerous). Peace includes harmony but does not necessarily means a life without a conflict. It is about the way how to deal with conflicts. And that should be learned.

A sixth spoke follows: the mission. Francis had an ongoing desire to be a missionary so as to bring the Gospel to those who have not encountered it yet; not with the sword but in love and in companionship with those who are addressed. He exemplifies this in a very beautiful and meaningful way in ER chapter 16. Francis made it – according to tradition – before the Sultan in Damiette with whom he supposedly had a conversation. The sources on this encounter all mention that it must have been an impressive dialogue between the "little friar" in the grey habit and the emperor and famous sultan. More than 2 days they, according to the different sources, discussed their beliefs. Unfortunately, we do not know the content of the talks. They probably learned from each other. Francis, e.g., laid after this encounter great emphasis on the value of the written word, condemning the way Christians treated the bible. He also wrote a wonderful praise of God by using many different names, which reminds on the ninety nine names of Allah in the Koran.

This sixth spoke shows the way how to live a life of a missionary: by asking questions, by showing interest and by showing appreciation toward everybody. The chapter 16 of the Earlier Rule of Francis says about those who want to become a missionary, that they first have to live with the people, and then, by being asked, giving an answer about their motives, their aims and their beliefs. With other words and transferred to the world of business: being authentic and a person with a profile is important and one of the key issues. Those people are important for the world.

The seventh spoke is Itinerancy. Francis wanted himself and his brothers to live as pilgrims and strangers in this world such as Jesus was a pilgrim and a stranger. This is remarkable in today's mobile world, a world that requires people to be movable. This movability consists in not attaching oneself to a specific location and to remain open to new situations and conditions. This remains the principle reason within Franciscan Communities for the practice of relocating and reassigning brothers and sisters to other communities. A kind of an attitude of flexibility seems also to be necessary for transformation. Not to set things in stone, to take into account that surprises could happen and change everything, not to pigeonhole somebody – these are basic attitudes for a successful transformation. Otherwise nothing will happen.

The seventh spoke, in modern words, lays emphasis on the importance of flexibility and mobility by asking what really is important for life and work. This includes that a person has to know about their values and guidelines, about the mission and vision of the community/organization/institution he or she is working for – and how to integrate them.

The eighth and last spoke that draws from the Gospel and has its foundation there is the Church. For Francis it was evident that living with his brothers according to the Gospel would happen within the community of the Church. Here, in the person of the Bishop of Assisi, he found refuge during the quarrel with his father. The Pope confirmed the first draft of the Rule and time and again Francis experienced that he could encounter God in the celebration of the Eucharist. As sinful as a priest might be, through his function he celebrates the sacraments and acts on behalf of the

Church. Even from Franciscan perspective exerting transformation has a frame: The Church. However, he does criticize the contemporary Church and all her wealth by living a life in poverty; he exemplified that he considered the Church having her roots in the poverty of the Gospel.

The eight spoke sets the frame. It is important to know about the vision and mission of the organization. It is also important to see the issues and the needs of the social context, of the market, and of the culture. Business education therefore should integrate a fair, just and broad perspective and analysis of the globalized world and the mission/vision of the company within this world.

Transformation is part of the Franciscan spirituality. The spokes in the wheel showed that a spiritual life is a life with an ongoing transformation, expressed in relationships through virtues and attitudes. At the end, the attitude of poverty together with being a Lesser, a friar minor, and the aspect of brotherhood is the three basic and most important aspects of the Franciscan understanding of transformation. The other five spokes can be subsumed under these three spokes. Living according to the Gospel takes into consideration that transformation is part of every life.

Change and Transformation

"Organizations change and learn through communications and decisions that result from earlier decisions. Persons are linked to these communications" (Heller and Krobath 2003).

Every organization is subject to an ongoing process of change. The Church, e.g., calls itself ecclesia semper reformanda: the church that has to go through processes of reformation all the time. However, this process of change, or rather the process of modification, does not take place in a vacuum. It takes place in a context that is created by cultural, political social facts as well as finances, technology, and many human beings that are involved. This is what Heller and Krobath refer to when they speak of the necessity of communication. It is the basic principle of a successful change and modification and innovation.

Having analyzed and developed the Franciscan spirituality and its significance for business education (briefly by mentioning the important questions and issues), you can say, that communication and listening, attentiveness, and the awareness that everything you are doing should be for the better are essentials in a Franciscan life – and therefore in a Franciscan approach towards transformation and change. Communication is at the heart of transformation: the communication with oneself, the other, the world, the organization, etc. That includes the principal attitude and the will of change and transformation. Every person and every organization has to ask whether they live the will to transform and especially getting transformed – or not. That is an important but also difficult question to answer. The source experience in Franciscan spirituality is the encounter of St. Francis with the leper (Francis of Assisi, L3C 11 (Ed.2, 436). It happened in his days of searching for a meaning in his life, of questioning what he was doing and what his future would be. Francis did not know what to do, but he knew that he could not do what his father expected him to do and be: his successor in his business. He was looking for something else. One day he was riding outside of Assisi and saw a leper ahead of him. It was not allowed to get too close to them or even to touch them, but Francis got of the horse, walked towards the leper, embraced and kissed him. In the story you can feel the drama of the encounter. Francis first felt disgust, wanted to turn around, but then he could not do it. Something forced him to get closer and do the Unbelievable. Embracing the leper was a blessed experience. With this embrace he said YES to the whole reality. He began to sense that this man was much more than his disease: He was a beloved creature, God's creature. And Francis began to see the reality and world with different eyes. He changed his location by getting of the horse and later by living with the lepers and beggars and helping them. This "change of location" was his source experience. He gave back to the leper what this man had lost: his dignity and his right of living. Not only an outcast but condemned not to be part anymore of the human society, Francis showed him with this gesture that he still is a beloved creature – like anybody else. That is Franciscan spirituality in the deepest meaning: a service to the people in order to give them back their dignity and love. The power of transformation is the power of love. Both got transformed after this episode: the leper and Francis himself. At the heart of this encounter is communication. Francis listened to his heart, not to the rules of the medieval society, and he did the forbidden thing: touching, embracing, and kissing the leper.

The idea of transformation is one of the central ideas of Christian spirituality and a lived faith. Not for the sake of change, it is a change shaped by repentance and positioning. Both notions imply change, even modification or transformation. Profound and existential changes are a recurring topic in the history and theology of spirituality.

Changes are not just an integral part of spirituality and spiritual life; they are also an integral part of conducting businesses today. In the literature about management, the term "change management" enjoys a similar popularity, as the term "spirituality" in theology. Change shapes businesses and economy. Be it the result of modification of strategies, a consequence of restructuring, be it change as the result of fusions of separate businesses or, finally, caused by external political factors such as Europeanization or globalization of the world. It might also be caused by technical innovations (Dienberg 2009). Capgemini assumes that change management is only successful means of going into a good future if it pays attention to the changes in society and business. They found four important key-trends: digital transformation, fluid organizations, knowledge society, and demographical change, new balance: productivity and social requirements (Capgemini 2015). Every enterprise has to take these four aspects in consideration in their daily business.

"As to definitions, the terminology of change management and spirituality is surprisingly similar. There are a plethora of definitions on both sides. Change management and the interpretation of technical terms to describe change is marked by situational, personal and theoretical aspects that need to be readjusted and redefined in each and every concrete process of change. The focus of the change process in business is the group of so-called stakeholders, people affected by processes of change" (Dienberg 2009, 420). Change should be transferred into transformation. Change management is something that has to be done because of the market development or because of other important changes in the business world and in order to remain successful and competitive. But transformation is something deeper, something that has to do with encounter, communication, and respect, even with love and solidarity. Transformational management has the person in its focus, and the people are the power of an organization. Leadership referring to these transformational aspects and attitudes can be very successful as well.

The Charta of change management, according to Doppler and Lauterburg, consists of eight principles (Doppler and Lauterburg 2000) that, more or less, can be found in the Rule of St. Francis. They list the following principles: Manage goal-oriented; no measures without diagnosis; think and act holistically; get the persons concerned involved; capacity building; operate process-oriented; choose the key-persons carefully; do not mix information with communication.

Francis was not a manager in the modern sense of the word, but nevertheless he had his strategies, his ideas, and a certain way of leadership. All was based on the Gospel, and that was his first principle, his and the brothers goal as mentioned in his Rule: "The Rule and the Life of the Lesser Brothers is this: to observe the Holy Gospel of Our Lord Jesus Christ by living in obedience, without anything of one's own, and in chastity" (Francis of Assisi, LR 1:1). In this first sentence of the rule, Francis mentions the center of their life: the Gospel. That is the orientation and the source for their living and for their organization. The Rule tries to give some structure to a living practice without killing the meaning of their lives by giving too much structure. Therefore, even in this rule the individual is in the center. For example, Francis speaks in the chapter two not of those who would like to join the order, but of those who want to adopt this way of life (Francis of Assisi, LR 2). It is important to realize that the Catholic Rules of the Orders, that of St. Francis included, do not intent to be a patron for a process or assist a concrete change process. They are rules of life that organize the life of a community and encourage its members to reflect upon and reevaluate their lives time and again, according to the source experience. In other words: they regulate a continuous process of change, and even more of transformation, while constantly being attentive to their origin and the spiritual guidelines of their way of life.

So it is goal-oriented, but the goal is that every brother and sister will find their way with God and their way of the imitatio Christi within the community. The goal is the person, the goal in transformational management is the person. Then it is a second principle, in difference to Doppler/Lauterberg, that you should think within a change process first of the people you have to work with. It is not as much about structures and about methods, it is about the aspect, Doppler/Lauterberg mention at the fourth and fifth place: get the people who are concerned on board and help them in the sense of capacity building. With the words of Francis: Realize that everybody has certain gifts and a charisma that could help the organization and the community. Everybody is important – and give everybody especially this feeling. Nothing is worse than giving anybody the feeling that he or she is not being perceived, especially in change processes.

So transformation is always a relational category in the Franciscan school of spirituality. It is related to the other: give him the chance to transform to the better, help him to discover his capacities and his charisma in order to be part of the community and get engaged in the way that is possible for the other. That is transformational power. And that will be of a great help and support of the organization as well. It can work by looking at the others and being with them in the talks (not doing two or three things at the same time, but be with the one you are talking with; giving this person the feeling: it is about them, and nothing and nobody else). Transformational power can also be seen, and that was certainly the power of Francis, in his way of living, in his radical transformation and wish of transformation to become like Christ, to do what he did. In modern words you could call it authentic leadership or leadership by example, but not as a method, but as an attitude by walking the talks.

Between 1219 and 1221, Francis wrote a letter in which he answered to a minister, a leading person within a friary, who had obviously problems with a certain friar and did not know how to handle him and the situation. Francis gave the wonderful answer: “And if you have done this, I wish to know in this way if you love the Lord and me, His servant and yours: that there is not any brother in the world who has sinned – however much he could have sinned – who, after he has looked into your eyes, would ever depart without your mercy, if he is looking for mercy. And if he were not looking for mercy, you would ask him if he wants mercy. And if he would sin a thousand times before your eyes, love him more than me so that you may draw him to the Lord; and always be merciful with brothers such as these” (Francis of Assisi, Min 9-11). Impressive words: Showing mercy instead of obeying the rules and following principles. Life as a Franciscan is not about rules, privileges, principles, or obeying laws, it is about serving and loving, about transforming others by and through love, getting transformed by the love of others and the love of God.

Resumed, it is all a question of attitude and a deep relationship with the other, the world, oneself, and God. Transformation, again, is a matter of being related, of being connected and trying to live this connectivity. Therefore, the Franciscans still have the principle that a minister, the one who is leading a friary or a province, should only do it for two periods (6–8 years). Afterwards he has to be a simple friar again, without any leading tasks, so that there is no gap between the friars a la: here are the VIPs, and there are the others. If someone is too long in a leading position, it could happen that he or she will become resistant to change or to criticism. The use of power and being used to powerful and decisive positions may lead to some habits or standards that will be taken for granted or of taking privileges like a duck takes to water. Then it is difficult that transformation still can take place, in the direction of the individual and the others.

Regarding transformation the Franciscan spirituality and therefore transformation from the Franciscan point of view has four basic attitude regarding practices:

By the way of example: The leading person, the “minister,” is asked to live and lead an integral and authentic way of living. The principles, he is asking for, should be seen in his practice. That can have and develop transformational energy and power. The spoke of poverty and being a minor within the Franciscan wheel of spirituality stand for this aspect.

Inspiring: The leading person, the “minister,” should inspire others by referring to the roots and sources of life, by giving stimulating impulses and ideas, and by motivating others to take part in the community, to take part in the change process, and to re-evaluate the way of life. The spoke of creation and peace express this aspect.

Challenging: The leading person, the “minister,” challenges the other(s) for the best by asking not too much, but by asking the right thing to do, although often the brother says that he is not capable of doing the asked favor or action. Challenging means to see the power, energy, and abilities in the other and to give rise to them. The spoke of brotherhood is a basic attitude and the background for this aspect.

Individual attention: The leading person, the “minister,” should show the other that he is interested in him or her by talking to them, by asking them about their feelings and thoughts. Again the spoke of brotherhood but also of creation stand for this aspect of transformation and transformational leadership within the Franciscan spirituality.

Conversion

In the Franciscan perspective, transformation is an essential notion and an important reality. But you won’t find the word transformation in any of the Franciscan sources. When these sources talk about transformation or deal with transformation, it is all about conversion. The words and the realities behind these termini are similar, but they also have serious differences. Conversion includes the inner will and the inner perception of the need to transform or getting transformed. It is not just the knowledge that something has to be changed or that somebody should change or even that the person itself should change. It is more than that: It is the fundamental perception of something that is wrong and should be transformed, not just changed. It is also a relational term, because conversion refers to the way of Jesus Christ as the rule and measure for life. Francis went through a radical conversion when he encountered the leper. He found his perspective, and that was nothing else than just the will to live according to the Gospel. Consequently he radically transformed everything what was not in his life according to the Gospel. For him this was a lifelong and ongoing process, a spiritual task, and necessity. Conversion is the knowledge that something in life and practice is not anymore under the perspective of the imitatio Christi, according to the Gospel.

It is conversion that does not just mean a change or modification but a spiritual revision of the heart, a deeply felt conversion.

Conversion is constantly required and aimed for in (Franciscan) leadership, because those in leadership need to connect their behavior to the basic values, the mission, and the vision of their community and organization. They need to reflect upon them with regards to those basic notions and convert to promote improvement. They have to enter a transforming-process.

Interestingly the history of the Franciscan movement is a history of change and reform, of constant re-evaluation of its sources and led time and again to new foundations and new movements. It is a history of an ongoing transformation with the ongoing need for reformation and reflection on the sources, the principles, and the possible changes. In history, it was mostly to renew and radicalize the way of life with respect to poverty, to radicalize the value of prayer and contemplation and anchor it into the life of the community, and to redirect the life behind the walls of monasteries to a life among the poor. The motivation of these movements was: back to the roots and back to the spirit of Francis and his source experience. Even today the Franciscan landscape changes with the question: What needs to be changed and adapted today with regards to the vision that was in the beginning? Some of these groups are alive to the present day, others had a short lifespan, and others again keep transforming. Franciscan history is a history of reform, transforming, and conversion.

Helpful in this regard is especially the insight that transformation always starts with the individual by living an authentic and value-based life (in the Franciscan perspective with the eight spokes of the wheel) and helping others to develop the same. Leadership consequently implies therefore a service for helping others to develop themselves, and it is from its base on the task of personal development – and getting all the strengths, charismas and power of the individuals together.

The central question in the life of following Jesus will remain nuanced: Am I willing to change and be changed, or even more: Am I willing to transform and getting transformed? The Bible refers to the transforming force of the Spirit of God, to the renewal through the Spirit (Rom 12:2). This is a reality that the leadership of a community has to count on and be aware of. Francis himself insisted that the leader of the Fraternitas and the Order is the Holy Spirit (Francis of Assisi, 2C 193 (ED 2, 371)). A special commitment, a connection, and a determination are necessary to accomplish that.

Francis called himself and his brothers the Lesser Brothers but sometimes as well "the penitents of Assisi" (Francis of Assisi, L3C 37 (ED 2, 90)). Francis knew that everybody always is changing and has to change something. Life is an ongoing process, often together with the striving for the better because of mistakes and failure. Every person therefore needs the mercy of God and relies on the conciliatory love of God and thus have to show atonement and penitence. Nobody is perfect or will ever be. Human life is a life as a fragment, a life as a sinner. Thus, Francis stated on his deathbed: "Let us begin, brothers, to serve the Lord God, for up until now we have done little or nothing" (Francis of Assisi, 1C 103 (ED 1, 273)).

First Thoughts for an Integrative Approach

Finally, we must now ask the question: To what extent can experiences from the world of the Franciscan order, in particular those of its founder Francis of Assisi, be useful for organizational transformation processes? The assertions so far show that it is essential to have an approach that jointly takes into account the individuality of managers (particularly their personal attitude), their special skills and management competencies, and also the organizational level. As described in this chapter, the research approach to spirituality and management is just at the very first beginning. The overall goal focuses on the transfer of a reflective attitude into responsible actions. As stated in the previous section on the Franciscan tradition, it is central to be aware of life as an ongoing process, an ongoing process that asks for the will to change and to be changed. It is therefore important to find the starting point for bringing the different contents such as Transformational Leadership, Learning Organizations, and the Franciscan Spirituality into a fruitful dialogue. This is a first attempt (a first basic framework) to develop a practicable approach. From previous experience, we have learned not to formulate the perfect approach in the first second, which guarantees that the implementation of Franciscan content promises successful transformation. In one of the internal research sessions (inside IUNCTUS), two steps have been discussed, which can be a useful first way to connect Franciscan experiences with the aspect of transformation in the context of daily business. The first step is to sensitize persons for the relevance of their individual attitude as a fundament to their own actions in their specific functions. The second step is to establish this process in the consciousness of a person. Currently, the approach focuses on the aspect of sensitizing. The integration of private and business life plays an important role and emphasizes the holistic character of the approach. The person is to be seen in his entire life reality. Incl. its attitude, its abilities, and the whole environment it is living in. In order to obtain a realistic connection to practice, the previous concept consists of three levels**:** *Person, role,* and *organization***.** On the one hand, this framework integrates the aspects of modern organizations and, on the other hand, the elements of Franciscan spirituality, including the Franciscan wheel. The focus is on the human being in a holistic perspective. The reflection of one's own attitude, strengths and weaknesses, the function in the organization, and the structural framework conditions form the focus. Central is the willingness to allow new perspectives. It is about to go in distance in order to check behavior patterns, attitudes, and goals and, if necessary, to change them. Ultimately it is necessary to know your own identity in order to know where I really want to go. This could be the beginning of a personal change. For the practical implementation, it is important to create an atmosphere, where the participants can also find that distance and tranquility. This is on the one hand by a special place (e.g., a monastery) to produce and on the other in dealing with the individual participants. Everyone is different and managers are often unrelated to the Franciscan tradition. For this reason, only an invitation or offer should be made to be invited to an alternative approach and to relate to the personal field of activity. The ability to change comprehensively and sustainably, and thus others, is anchored in personal attitude. It is important to work with this attitude, whether you like it or not. As emphasized by Francis in his letter to the minister. As a leader, it is primarily about the needs of the other, if I want to work well with him in the community. The manager is responsible for creating a space and culture where employees can work freely and creatively. It is also a central task – as Francis describes it – to keep an eye on the others and to promote their potential. In practice, this could be the basis for sustainable change and innovation.

This should only be a short introduction in which direction the concept should go. First experiences with social organizations show that in particular the balance between person, role, and organization can be an approach that can serve the needs of organizations in the rapidly changing times. Specifically, it is about creating a meaningful balance between personal identity and the identity of the organization. The Franciscan Spirituality, which was presented in the previous section on the basis of the eight spokes, can be a good impulse. As a best practice, for example, executives can gain alternative access to themselves, their role as leaders, and the organization. In doing so, the Franciscan tradition demands autonomously to search for and pursue one's own path on the basis of a shared foundation of values.

The following is a practical example showing which questions and topics could be assigned to the three-step person-role-organization. This concept is based in part on an offer for leaders of a Christian organization. This offer is aimed at 2 days and contains the following questions:

Managers should

- Reflect their personal values and attitudes towards change in the context of the Christian tradition
- Relate them to their role in a Christian organization as well and
- Want to get first approaches for linking their (Christian) value system with their professional activities in the context of change

The fraternitas, poverty, being lesser, creation, peace, mission, itinerancy, and church criteria established in the framework of the Franciscan wheel are – as described above – elements that can provide the spiritual framework for a process of transformation into the practice. These criteria can be very well integrated into the structure of person-role-organization. Below are the possible questions about the respective levels.

Person

- Who am I and what is my attitude based on?
- Which values are important to me?
- Which image of man do I have?
- How do I face change?
- What gives meaning to my life?
- What inspires me about Franciscan spirituality?

Role

- How can I incorporate my attitude into my leadership role?
- How do I lead myself?
- How do I lead others?

- How do I let myself be guided?
- Will I support my employees and help them with their development?
- Do I also support weaker employees and help them to discover their potentials?
- How can I further develop my employees to adjust to changed tasks or incorporate them into new structures?
- Am I ready to make decisions?
- Where can I find the strength and courage to initiate changes and overcome resistance?
- How do I deal with failure?
- How can I ensure that I have the necessary specialist skills at my disposal?
- As a manager, how do I handle dynamic changes?
- What can I learn from the leadership tradition of Francis?

Organization

- What values does my organization stand for?
- Where do you find elements of Franciscan tradition in my organization? Where not?
- Where does my organization help me live my personal attitude and vocation, where not?
- Are the company's decisions in line with my own personal values?
- What is the culture of change in my organization?

Conclusion

Changes are part of everyday life. It is true that a large number of changes are triggered by external influences. However, we always have the option to tackle changes that arise actively or initiate them with a sense of self-responsibility. In this chapter, by presenting Transformational Leadership and a systematic management model, we have tried to create a framework in which transformations are possible both on an individual and organizational level. By noting the management concept of a "Learning Organization," we took one step further and were able to highlight the importance of a culture of transformation in an organization with every opportunity to try something new. However, the key component is and remains the people. Changes are made by people and also ultimately prevented by them. It must also be stressed that the system's preconditions must be conducive to changes having a positive effect. Structures and formal responsibilities are required so that employees in their organizations can actively shape the change in a sustainable manner. But in all organizations, it depends on the attitude of a person. The example of Francis shows the potential that lies in a human being. The attitude that Francis himself lives can essentially be described in the categories being lesser, friar minor, and brotherhood. These are the most relevant aspects of Franciscan spirituality. A spirituality which contains the awareness that everything you are doing should be for the better is essential in the Franciscan way of life and therefore towards transformation and change. The Franciscan idea shows the connection between personal and collective transformation very clearly. With his personal, radical lifestyle, and his love towards people and God, he becomes a role model for the whole community to follow and for them to start on the path to proclaiming the Gospel and live according to it. The goal is a continuous process, the road for which one is always in motion. Here, personal spirituality or attitude is the source for one's own life, and at the same time for a life with others and, in this context, for leadership relations in organizations. With the Rule of the order and statutes in each respective structural unit, Franciscan traditions can produce a spirit and a system where individual and organizational transformation is possible. With the idea of the connection of management know-how and Franciscan Spirituality, we expect that a culture is created which emboldens all members of a community to see the change as an opportunity and actively shape this based on one's own spirituality.

So the challenge has to lie in forming an integrative approach which breaks down Franciscan subject matter to be used in practice. They key here is personal attitude, which must be sensitized with regards to having a positive attitude towards change. An organization's ability to transform well is ultimately always based on the interaction between people, structures, and more and more technical categories, all of which determine the path to the solution from the change. All these aspects can be found in the eight spokes of the Franciscan wheel. Certainly in a different language but in a spirit where all people from all organizations will find new ideas and inspiration for their own private and business life. Currently, the concept is limited to raising awareness of the connection between the two areas Franciscan spirituality and (change-) management. The concept invites, to start a dialogue. To develop the approach into a reliable measure for organizational practice, further steps have to be taken. To transmit a reflective attitude to consciousness in order to act in a sustainable way and to combine this attitude with practical approaches of business education programs should be the next steps. The concept is constantly evolving. To speak in the name of Saint Francis: the ongoing process is the goal. Let's stay moving.

Cross-References

► Cultivating a Global Mindset Through "Being-Centered" Leadership
► In Quest of Exemplarity: Virtue Ethics as a Source of Transformation for Leaders and Organizations
► The Transformation to Open-Heart Skills and Mindfulness in Healthcare Using the INTOUCH Model

References

Avolio BJ, Bass BM (1991) The full range of leadership development programs: basic and advanced manuals. Center for leadership studies, Binghamton

Avolio BJ, Gardner WL, Walumbwa FO, Luthans F, May DR (2004) Unlocking the mask. A look at the process by which authentic leaders impact follower attitudes and behaviors. Leadersh Q 15:801–823

Bass BM (1985) Leadership and performance beyond expectations. Free Press, New York

Bundesministerium für Arbeit und Soziales (2015) Bekanntmachung Förderrichtlinie zum ESF-Bundesprogramm „rückenwind – Für die Beschäftigten und Unternehmen in der Sozialwirtschaft.“ In: Bundesministerium für der Justiz und für Verbraucherschutz Bundesanzeiger (ed) Bundesanzeiger. http://www.bagfw-esf.de/fileadmin/user_upload/ESF/rueckenwind_II/Arbeitshilfen/Foerderrichtlinie_rueckenwind.pdf. Accessed 17 Oct 2016

Burns JM (1978) Leadership. Harper Collins, New York

Capgemini Consulting (2015) Digitale revolution. Ist Change Management mutig genug für die Zukunft. https://www.de.capgemini.com/resource-file-access/resource/pdf/change_management_studie_2012_0.pdf. Accessed 12 Oct 2016

Dahlmanns A (2014) Generation Y und Personalmanagement. In: Bröckermann R (ed) Praxisorientierte Personal- und Organisationsforschung, vol 18. Rainer Hampp Verlag, München, pp 21–27

Dienberg T (2009) La Vita Scondo Il Vangelo. Il Moderno Management E La Regola Di S. Francesco D’Assisi. In: La grazie delle origini. Studi in occasione dell’VIII centenario dell’approvazione della prima regola di san Francesco d’Assisi (1209–2009), a cura di P. Martinelli. [Verlag fehlt], Bologna, pp 403–446

Dienberg T (2016a) Um des Menschen willen. Wirtschaften geht auch anders. Camino, Stuttgart

Dienberg T (2016b) Leiten. Von der Kunst des Dienens. Echter, Würzburg

Donders CP, Essler P (2011) Berufung als Lebensstil. Aufbrechen in ein wertvolles Leben. Vier-Türme-Verlag, Münsterschwarzach

Doppler K, Lauterburg C (2000) Change Management. Den Unternehmenswandel gestalten, 10th edn. Campus, Frankfurt/New York

Drucker PF (2006) Die Kunst des Managements, 3rd edn. Ullstein, Berlin

Eckert JC (2000) Dienen statt Herrschen. Unternehmenskultur und Ordensspiritualität: Begegnungen, Herausforderungen, Anregungen. Schäffer-Poeschel, Stuttgart

Francis of Assisi (2003) In: Armstrong RJ, Wayne Hellman JA, Short WJ (eds) Early documents, 4th edn. New City Press, New York/London/Manila. Volume I: The Saint. Volume II: The Founder. Volume III: The Prophet

Fry W (2003) Toward a theory of spiritual leadership. Leadersh Q 14:693–727

Greenleaf RK (2002) Servant leadership. A Journey into the nature of legitimate power and greatness. Paulist Press, New York

Güldenberg S, Eschenbach R (1996) Organisatorisches Wissen und Lernen – erste Ergebnisse einer qualitativen empirischen Erhebung. zfo (1):4–9

Heller A, Krobath T (2003) Kirchen Verstehen und als Organisationen gestalten. In: Heller A, Krobath T (eds) OrganisationsEthik, Organisationsentwicklung in Kirchen, Caritas und Diakonie. Lambertus, Freiburg, pp 14–44

Kellerman B (2004) Bad leadership. What it is, how it happens, why it matters. Harvard Business School Press, Boston

Kerka F, Schwering M, Striewe, F (2004). Zwischen Veränderungseuphorie und Innovationslethargie. In: Kriegesmann (ed) Missverständnisse über Lernende Organisationen. Berichte aus der angewandten Innovationsforschung 2014:1–24

Kriegesmann B (2003) Lernende Organisationen – Kriegesmann (ed) Die Adaption des individuellen Lernschemas reicht zur Innovation nicht aus. Berichte aus der angewandten Innovationsforschung, 210:5–23

Mintzberg H (2010) Managen. Gabal, Offenbach

Nerdinger FW (2014) Führung von Mitarbeitern. In: Nerdinger FW et al (eds) Arbeits- und Organisationspsychologie, 3rd edn. Springer, Berlin/Heidelberg, pp 83–102

Pfläging N (2011) Führen mit flexiblen Zielen. Campus, Frankfurt

Probst GJB, Büchel BST (1997) Organisationales Lernen: Wettbewerbsvorteile der Zukunft, 2nd edn. Gabler-Verlag, Wiesbaden

Rudolph H (1997) Wie lernt das „lernende Unternehmen“? zfo (4):202–205
Rüegg-Stürm J, Grand S (2015) Das St. Galler management model, 2nd edn. Haupt-Verlag, Bern
Senge PM (2011) Die fünfte Disziplin: Kunst und Praxis der lernenden Organisation, 11th edn. Schäffer-Poeschel, Stuttgart
Senge PM, Scharmer CO (1996) Infrastrukturen des Lernens: Über den Aufbau eines Konsortiums lernender Unternehmen am MIT. zfo 1:32–36
Sonnet C (2012) Generation Y – Mehr Leichtigkeit im Leben. http://www.karriere.de/karriere/mehr-leichtigkeit-im-arbeitsleben-16449. Accessed 17 Oct 2016
Staudt E, Kriegesmann B (1999) Weiterbildung: Ein Mythos zerbricht. In: QUEM AG (ed) Kompetenzentwicklung ‘99 – Aspekte einer neuen Lernkultur. Waxmann, Münster
Süß S, Weiß EE (2014) Stressfaktor Chef: Wie der Führungsstil Stress und Work-Life-Conflict beeinflusst. Pers Q 3:36–41
Thompson M, Buytaert P (2014) Change management is changing. Today’s Manager 4:66–69
Waaijman K (2002) Spirituality. Forms, foundations, methods. Peeters, Leuven
Weibler J (2012) Personalführung, 2nd edn. Vahlen, München

A Sufi View of Human Transformation and Its Organizational Implications

Shoaib Ul-Haq and Farzad Rafi Khan

Contents

S. Ul-Haq (✉)
Department of Business Administration, Sejong University, Seoul, South Korea
e-mail: shoaib_ulhaq@yahoo.com; shoaib@sejong.ac.kr

F. R. Khan
Business School, King Fahd University of Petroleum and Minerals (KFUPM), Dhahran, Saudi Arabia
e-mail: farzadkhan@gmail.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_45

Abstract

In order to solve the complex and multidimensional problems of today's world, we need a radical imaginary, a new way to restructure and transform our society, its institutions, its organizations, and its inhabitants. One such radical imaginary can be provided by Islamic mysticism or Sufism in the form of *ishq-i haqiqi* or love of the divine. This new imaginary has a distinct epistemology, ontology, and cosmology which needs to be understood within the boundaries of its own discourse and praxis. It has the power to infuse the social world with universal meanings of love, brotherhood, and divinity. This can then help us to question, contest, and restructure our relationships with each other, this universe, and God, our creator. Finally, this new imaginary of *ishq-i haqiqi* can also be used to transform organizational realities especially with relevance to their purpose and mission and can reverse the existing moral degradation of the workplace.

Keywords

God · Prophet · Islamic mysticism · Sufism · Radical imaginary · ishq · Love of the divine · Spirit/soul · ibn Arabi · al-Ghazzali · Human nature · dhikr

Introduction

The world that we live in today is facing enormous challenges in dealing with the complex problems of poverty, climate change, social inequality, and global health. Any solution of these challenges requires not only the involvement of diverse and multiple stakeholders in the decision making of a "multi-objective" organization (Mitchell et al. 2016) but also a new global radical social imaginary (Komporozos-Athanasiou and Fotaki 2015; Castoriadis 1994). This imaginary can be conceptualized as the psychological basis of social and organizational realities, and it determines, to a great extent, the ontological, epistemological, and axiological commitments of a community. It is radical in the sense that it is different from all those categories of imagination that work on a recombination of what already exist.

The present social imaginary is defined and/or heavily influenced by the neoliberal capitalistic thought with its celebration of the marketization of organizational and social life while totally ignoring the violence it engenders (Nelson 2016; Riedner 2015). Another aspect of this dominant imaginary is its atheistic tendencies and marginalization of non-Western perspectives (Khan and Koshul 2011). Hence, any real transformation should be understood as a change in this dominant imaginary since, by definition, it precedes the experience of change itself. Clearly, such a transition would require us to move beyond the established categories of thought with respect to our fundamental concepts and meanings of identity, gender, religion, and, at a higher level, life itself.

One indication of such a transition and transformation might be the recent turn toward religious and spiritual traditions which can be observed in the extant literature of management and organization studies (see Neubert and Halbesleben 2015; Tracey et al. 2014; Chan-Serafin et al. 2013). Simultaneously, we need to acknowledge the fact that scholars have pointed out the positive contribution of religion in solving the problems of humanity since the ancient Greeks (Eidinow et al. 2016) through modern times. Consider the following quote by the philosopher-economist John Maynard Keynes:

> I see us free, therefore, to return to some of the most sure and certain principles of religion and traditional virtue - that avarice is a vice, that the exaction of usury is a misdemeanor, and the love of money is detestable, that those walk most truly in the paths of virtue and sane wisdom who take least thought for the morrow. (Keynes 1963: 371)

The quote clearly demonstrates the importance of a (re)turn to religion in order to slay the present-day demons barring the advance of humanity toward a better future. The most important component in this regard is the provision of a religious radical imaginary since it determines significations at both the collective and the individual level.

In this chapter, we argue that Islamic mysticism or Sufism can provide us such a radical imaginary in terms of *ishq-i haqiqi* (love of the divine). Such an engagement with Islamic mysticism is important at many levels. First, Islam has emerged in today's discourse as one of the most significant other (Said 1979). This is a direct result of an academia built on the premise of the supremacy of Western civilization whose objective is to reconfigure society and culture on a modern, rational, and scientific basis (Amin 1988). The traditions which resisted this cultural domination and were not willing to adapt to the "modern" situation are considered deficient and backward (Gerholm 1994; Mohanty 1988). These circumstances led the Western societies to define themselves in juxtaposition to the Islamic worldview (Sofos and Tsagarousianou 2013: 29; Delanty 1995) which is now portrayed as providing negative representations to all the major Western social, economic, and political ideologies (see Eid and Karim 2014; Stover 1988). Most of these representations, however, are based on essentialism and orientalism (Ul-Haq and Westwood 2012) derived from a Western cultural consciousness. Hence, we need a curative remedy to counter this Islamophobia (Fawzi 2015; Ernst 2013) in the existing discourse by engaging with Islamic ideas as represented in the Islamic canon. Second, we need to know and understand the differences in meanings and forms of non-Western religious perspectives. This will allow us to challenge the existing categories of thought and analysis while engendering fresh ideas for resolving global problems. It is our contention that Sufism can provide an alternative model, grounded in Islam, to look at the contemporary world and its concomitant difficulties.

However, before we introduce this new model, we need to understand the Islamic law (*Shari'ah*) due to its indispensable link with Islamic mysticism. In the remaining part of this chapter, we will first introduce *Shari'ah* and then explicate the main principles of Sufism and its view of human nature with a specific focus on human soul. Afterward, we will explain how that soul can be transformed using *ishq-i haqiqi* and finally what are the organizational implications for an organizing framework derived from this *ishq*. Before launching our discussion on the Shari'ah, we wish to point out to the reader that Shari'ah is a contested terrain. There are multiple contending but also overlapping perspectives that one can deploy in depicting the Shari'ah. In our own personal lifelong journey as Muslims in the modern world, we have engaged with many of these variegated perspectives in understanding and evaluating the Shari'ah. At this moment in our journey into Islam, the perspective we find to be most valid and intellectually satisfying is the one articulated in what Western scholarship on Islam refers to as the Islamic tradition (Mathiesen 2013; described in detail below in the section on "The Islamic Tradition and Its Critics"). Thus, our depiction of the Shari'ah below is from the perspective of the Islamic tradition. Nonetheless, we are cognizant of the criticisms leveled against this particular perspective, and we have referred to them as well in our discussion of the Islamic tradition along with how its adherents would respond to such criticisms.

For purposes of clarification, let us state that although we are using male pronouns in most parts of this chapter, this does not imply that females don't have a place in Sufism. In fact, we have included a short section on the importance of females in Sufi history to highlight their contributions. We just wanted to avoid using double pronouns all the time in order to conserve space for our argument, but this should not be construed as a sexist pronoun use.

The Shari'ah (Islamic Law)

At the close of the last millennium, the famed British journalist Robert Fisk who has spent his entire working life covering the Middle East had the following to say:

> [T]he portrayal of Arab Muslims over the past 30 years - in our cartoons and films as well as words - has reached Nazi-like proportions. Greedy, hook-nosed, vicious, violent, rapacious, turbaned or "kaffiyehed" Iranians and Arabs have replaced the cartoon Jews of *Voelkischer Beobachter* or *Der Ewige Jude.*
>
> And the more films I watched, the more cartoons I saw, the more editorials I read, the more our fear of the despicable, fearful, alien Muslim seemed to be spreading. If the Nazis could portray the Jews as sub-humans who threatened Western "civilization" and "culture" so could we portray Muslims as sinister, evil, over-breeding and worthy of destruction. (1999: 5)

It seems that Fisk was writing these words today in the West where political leaders on both sides of the Atlantic from Trump to Wilders seem quite comfortable in espousing the worst vitriol against Islam and Muslims. Discussions on banning Muslims traveling to the West from the Muslim Global South to closing mosques now pass off as serious and responsible political commentary in the West. Such Islamophobic discourses circulating in the West are reinforcing what Edward Said (2000) called, "A Devil Theory of Islam" where Islam has been understood to mean a religion of anachronistic and obscurantist fundamentalists who are "medieval, reactionary, militant, and oppressive of women" (Metcalf 1994: 706).

Of course, the outrageous acts of terrorism falsely carried out in the name of Islam have lent credence to such Islamophobic sentiments in the West. Far from seeing these utterly condemnable acts of terrorism as products of mentally disturbed individuals having nothing to do with Islam, the Western publics primed on centuries of anti-Muslim and anti-Islamic polemics view them as natural and essential expressions of Islam (for a multidisciplinary volume on Islamophobia, see Esposito and Kalin 2011). It does not help matters that condemnation of such despicable acts by the most influential and respected traditional scholars of Islam (e.g., see Royal Aal Al-Bayt Institute for Islamic Thought 2012) hardly receive any attention contrary to the terrorist acts which receive widespread coverage and airtime in the mass media (Saeed 2007). As a result, Islam and Muslims are put in the dock, guilty until they have to prove their innocence (Mythen et al. 2009). Inconvenient facts such as that most of the terror attacks taking place in North America and Europe are carried out by non-Muslims and that Muslims account for a tiny proportion of them are not worthy of headline news. Such facts as found in a recent FBI report stating that only "approximately 2.5% of all terrorist attacks on U.S. soil between 1970 and 2012 were carried out by Muslims" are deeply buried in what George Orwell describe as "memory holes" (Orwell 1949). This is perhaps so that the public can continue to be cowered by the menacing specter of the (Muslim) other and thus willing to forfeit its civil liberties to purchase security through an ever-increasing militarized and national surveillance corporatist state (http://www.globalresearch.ca/non-muslims-carried-out-more-than-90-of-all-terrorist-attacks-in-america/5333619; see also http://www.thedailybeast.com/articles/2015/01/14/are-all-terrorists-muslims-it-s-not-even-close.html).

Given this present charged context of Islamophobia, it is with some trepidation that we write this section on Shari'ah commonly known in the West as Islamic law. Much opprobrium continues to be vented in the West on the Shari'ah, particularly its traditional punishments (e.g., cutting off hands of thieves). It would be quite beyond the scope of this chapter to deal point by point with each criticism of the Shari'ah and provide a Muslim response to it. Instead, we will provide a brief overview of the Shari'ah that we hope will provide an interested reader with enough material to start the process of engaging with the polemics against the Shari'ah in the West and reach her own informed conclusions on such matters.

Etymology

It is often useful to begin one's foray into a foreign term by excavating its etymological roots. This is because etymology at times conveys in succinct and graspable form the actual thrust of meaning that a category or concept wishes to convey. For example, knowing that the etymology of the word "disaster" is Latin in origin, meaning "evil star," helps us taste the meaning associated with that word.

Given this rationale for using an etymological route to start our journey of understanding the Shari'ah, we see that it comes from a trilateral root structure in the Arabic language (s.h.r.). The famous scholar Bernard Weiss describes its etymology as follows:

> In archaic Arabic the term *shari'a* means "path to the water hole." When we consider the importance of a well-trodden path to a source of water for man and beast in the arid desert

> environment, we can readily appreciate why this term in Muslim usage should have become a metaphor for a whole way of life ordained by God. Reciting words from the first chapter (sura) of the Qur'an in their daily prayers, devout Muslims call upon God to "guide us along the right [or straight] path." Though another word for "path" is employed in this qur'anic verse, namely *sirat,* the prayer signals a basic theme that runs throughout the Qur'an and throughout the life of the Muslim, a theme that is integral to the concept of the Shari'a. This theme is divine guidance. Without guidance from God, humans are without direction and are liable to stray from the right path, for just as surely as there is a right path, there are also wrong paths. And just as the right path leads ultimately to happiness and fulfillment both in this world and the world to come, the wrong paths lead to sorrow and pain in both worlds. (Weiss 1998: 17)

From this etymological excursion, we see that Shari'a is actually a path that takes human beings to the source of life (to the watering hole essential for living). This source is God. Far from being destructive of life, from this etymological perspective, Shari'a appears to be the fountain of life.

Epistemology (Shari'ah Sources)

The above quoted passage from Weiss also illustrates the Muslim meaning of life. It is to submit and freely follow God's commands out of one's own volitions. Shari'ah comprises these sets of commands and constitutes an entire way of life. As Weiss goes on to state:

> It embraces right ways of worshiping God, of interacting with fellow human beings, of conducting one's personal life, even of thinking and believing. The concept of the Shari'a is the most comprehensive concept in Islam. lndeed, it forms the very core of Islam. The term "Is lam," after all, means "submission," and the Shari'a is the divine delineation of the life of submission. To submit to God is to follow the path that God has ordained, nothing more and nothing less. Even mysticism in Islam-the mysticism cultivated by Sufis-comes ultimately under the rubric of the Shari'a in that it represents its experiential dimension, its inner essence *(haqiqa),* its secrets *(asrar).* (Weiss 1998: 17–18)

It is important to note that the term "law" does not do justice to the Shari'a given the latter's all-embracing nature. Moreover, law has much do to with state enforceable do's and don'ts. Much of the Shari'ah relies on individual conscience. Many of its duties and obligations are not enforced by the state nor their omissions punished by it. This is not to say that there are no state-enforced laws as understood in the Western legal tradition. They definitely are but they do not exhaust the universe of the Shari'ah that also contains moral and normative precepts where the state has no role to enforce their compliance or to prosecute their violation.

The question that now arises is that if Shari'ah is God's guidance to mankind for all times to come, then where is this guidance located? In other words what are the sources of the Shari'ah? These turn out to be (1) Qur'an, (2) Sunnah (sayings and deeds of the Prophet Muhammad, peace be upon him), (3) ijma (consensus of the scholars), and (4) qiyas.

The primary source of the Shari'ah is the Qur'an. The Qur'an, according to Muslims, is literally God's words revealed to the Prophet Muhammad (peace be upon him) over a period of 23 years. Qur'an's authenticity in the sense that the copy we have of it today is the same Qur'an that the Prophet Muhammad (peace be upon him) taught to his companions is agreed upon by both Muslim scholarship and Western scholarship on Islam (Hallaq 2013; Brown 2014). The second most important source of the Shari'a is the Sunnah of the Prophet (peace be upon him). Hallaq (2009) describes the Sunnah as follows:

> But God also sent down a prophet, called Muhammad, whose personal conduct was exemplary. Though not, according to Muslim tradition, endowed with divine qualities (as Jesus Christ is said to have been by Christians), Muhammad was God's chosen messenger; he understood God's intentions better than anyone else, and acted upon them in his daily life. Hence the exemplary nature of his biography, which became known in the legal literature as SUNNA – the second major source of law after the Quran. The concrete details of the Sunna – that is, what the Prophet had done or said, or even tacitly approved – took the form of specific narratives that became known as hadith (at once a collective and a singular noun, referring to the body of hadith in general and to a single hadith, according to context). (Hallaq 2009: 16)

It is binding on Muslims to follow the injunctions of the Quran and the Sunnah of the Prophet Muhammad (peace be upon him) which includes not just following his external words and actions but also his inward spiritual states. As Sheikh Nuh Ha Mim Keller elaborates:

> [T]he *sunna* which Muslims have been commanded to follow is not just the *words* and *actions* of the Prophet (Allah bless him and give him peace), but also his *states*, states of the heart such as *taqwa* 'godfearingness,' *ikhlas* 'sincerity,' *tawakkul* 'reliance on Allah,' *rahma* 'mercy,' *tawadu'* 'humility,' and so on. (Keller 1995)

While the Qur'an's authenticity is agreed upon in Western scholarship on Islam, such is not the case with the authenticity of the Sunnah. Western scholars question what Muslim hadith scholars claim to be authentic hadith reports, texts describing the inner character, and/or statements/actions made by the Prophet Muhammad (peace be upon him) that comprise knowledge of the Sunnah. However, recent scholarship in the Western academic discourse on Islam seems to be confirming that what Muslims take to be authentic hadith as verified by hadith scholars is indeed the case. For example, Harald Motzki (2016) has produced outstanding research that seems to validate the authentication process used by Muslim hadith scholars over the centuries to rigorously identify authentic hadith reports from inauthentic ones.

The third major source of the Shari'a is the consensus of the scholars (ijmaa). Consensus of the scholars as a valid epistemic source for accessing God's will is based on the famous hadith that the Muslim community (the ummah) will not agree on error. Ercanbrack elaborates on this source as follows:

> The third formal source of Islamic law is known as consensus (*ijma*). Consensus provided jurists with an all important juristic tool for safeguarding the entire structure of the law,

> including the learned opinions (fatwas) of jurists. It can be defined as 'the agreement of the community as represented by its highly learned jurists living in a particular age or generation'. The concept establishes the epistemological certainty of any particular law based upon probable textual evidence and agreed upon by the *mujtahids* (the highest class of jurists). In fact, once consensus was agreed on any particular point of law it became 'an infallible expression of the divine law' and could not be cast aside by any future *mujtahid*. (Ercanbrack 2015: 27)

The final source of the Shari'a is *qiyas* (analogous reasoning) (Hallaq 2009). This fourth source provides much of the dynamism in the Shari'ah allowing it to make sense of new realities for which there are no explicit allusions in the above three sources of the Shari'ah. For example, heroin is not explicitly mentioned in the Quran or the Sunnah. Using the source of qiyas, scholars of Islam have drawn an analogy of heroin to alcohol (on which there are explicit textual references along with the consensus of the scholars) in that both impair discernment. By making such an analogy, the ruling of impermissibility of alcohol is extended to heroin, and in such a way, the Shari'ah can constantly be brought to speak on new issues and situations that confront Muslims. Needless to say, extending rulings through analogous reasoning is an extremely complex and rigorous undertaking taxing the most brilliant of minds that we have represented in a somewhat simplified fashion here for the sake of exposition.

The Islamic Tradition and Its Critics

Leading Islamic scholars engaging and utilizing these sources of the Shari'ah over centuries have produced what we call the Islamic tradition. This is a discursive and intellectual tradition, with its associated material practices and institutions (e.g., religious seminaries). It is described by the great Sufi master Sheikh Keller as follows:

> An unbroken chain of transmission from teacher to student from the time of the Prophet (Allah bless him and give him peace) until today. The way of Sunni Islam is to take the branch of Islam from living jurists who follow one of the four Sunni schools of fiqh (jurisprudence): the Hanafi, Maliki, Shafi'i, and Hanbali schools; the branch of Iman from living scholars belonging to one of the two Sunni schools of 'aqida [creedal formulations]: the Ash'ari and Maturidi schools; and the branch of Ihsan [excellence of character] from living masters of one of the many Sufi orders that have emerged over the centuries, such as the Qadiri, Naqshbandi, Shadhili, Chishti, and Rifa'i tariqas [Sufi orders]. (Keller as cited in Mathiesen 2013: 199)

From the above quote, it can be seen that the Islamic tradition consists of three major components: (1) jurisprudence (*fiqh*) dealing with questions of (im)permissibility of actions/words, (2) theology (*kalam*) relating to religious beliefs and creedal formulations (e.g., what are the attributes of God), and (3) inward purification (*tasawwuf*/Sufism) concerning the removal of spiritual vices (e.g., greed) and the adornment of spiritual virtues (e.g., generosity) in the human character. Keller also indicates that there are recognized and accepted schools within each one of these components that can authoritatively speak about them. For example, in the case of jurisprudence, efforts of Islamic legal scholars crystallized in the first 400 odd years into four major schools (interpretive traditions) of law known as the Hanafi, Maliki, Shafi'i, and Hanbali schools (for details, see Weeramantry 1988).

What is worth mentioning here is that this rich discursive intellectual tradition of Islam representing the best approximation of discerning God's will was articulated by highly erudite and spiritually gifted scholars. Here is the list of qualifications that needed to be met by a scholar in order to derive rulings, denoting God's will on a particular legal issue, directly from the primary texts of the Quran and hadith (Murad 1999):

(a) Mastery of the Arabic language, to minimize the possibility of misinterpreting revelation on purely linguistic grounds
(b) A profound knowledge of the Quran and Sunnah and the circumstances surrounding the revelation of each verse and hadith, together with a full knowledge of the Quranic and hadith commentaries and a control of all the interpretative techniques discussed above
(c) Knowledge of the specialized disciplines of hadith, such as the assessment of narrators and of the *matn* [text]
(d) Knowledge of the views of the companions, followers and the great imams and of the positions and reasoning expounded in the textbooks of *fiqh*, combined with the knowledge of cases where a consensus (*ijma*) has been reached
(e) Knowledge of the science of juridical analogy (*qiyas*), its types, and conditions
(f) Knowledge of one's own society and of public interest (*maslahah*)
(g) Knowing the general objectives (*maqasid*) of the Shari'ah
(h) A high degree of intelligence and personal piety, combined with the Islamic virtues of compassion, courtesy, and modesty

Apart from reaching such dizzying heights of intellectual and spiritual attainment, what is also noteworthy of the classical scholars who created the basis and foundation of the Islamic tradition is that they did this work in their private capacity without any connection to the state or officialdom. In other words, what is remarkable about this normative Islamic tradition is that it was articulated quite outside of state power and thus untainted by it. That is to say, its normative propositions effectively avoided corruption by power where they would be reduced to an ideology serving the ruling elites, a fate that befell many religious knowledge traditions. Weiss (1998) explains:

> Not judges but scholars who lacked official connections with the caliphal regime were to play the key role in the development of a body of law suited to the Islamic polity. . .
>
> As the ranks of scholars swelled, the caliphal regime soon found itself competing with the scholarly community in the shaping of Islam and Islamic law. The qadis [court appointed judges] represented caliphal officialdom; the scholars stood distinctly outside the sphere of officialdom. The fact that qadis were sometimes recruited from the ranks of the scholars does not invalidate this important dividing line. If such persons were in any way influential in the process that would give rise to Islamic law, they were able to exercise this influence in their

> capacity as scholars, not as judges. For in the burgeoning Islamic society, authority was fast becoming linked to personal piety and religious knowledge, not to power. (Weiss 1998: 7)

The above cited passage of Weiss points out that authority (i.e., who could speak authoritatively for God) in Islam was epistemic rather than temporal or ecclesiastical. Scholars (*ulema*) who went through years of religious training and education and who were known for their piety and knowledge were the ones that ended up fleshing out the Shari'ah providing guidance for Muslims on how best they could understand and obey God's will.

Today the authority of the ulema of traditional Islam is being challenged. Jonathan Brown explains the origins of this challenge as follows:

> Since the turn of the nineteenth century, the establishment of secular school systems in the Muslim world, modelled along novel European lines, created a parallel and ultimately hegemonic mould of education. New universities or the reformed curricula of older ones turned out a new person: the lay Muslim intellectual. This figure occupied a space outside of the ranks of the traditionally trained ulema. When lay Muslim intellectuals began addressing topics of religion and law at both the normative and historical level, they often consciously positioned themselves against the clerical class. (Brown 2015: 120)

The trauma of Western colonization and its violent imposition of a modern education system in the Muslim world contemptuously disconnected from the knowledge traditions of Islam has produced two types of critics of the ulema holding ironically polar opposite views on Islam leading them to hate each other yet united in their dislike of traditional Islam and its custodians, the ulema class. One critic type is represented by the conservative Islamist who feels the ulema are minions of the state whose scholarship complicates the simple messages of Islam. The other type of critic is the liberal lay Muslim intellectual who views the ulema and their traditional system of acquiring and extending Islamic knowledge as a throwback to medieval times. Liberal Muslim intellectuals feel they can do a better job at discerning God's will than the ulema. Brown (2015) describes them as follows:

> Lay thinkers often offer themselves as the alternative voices of a novel, more liberal interpretation of Islam. Muqtedar Khan, an American Muslim and professor at the University of Delaware, has advocated this 'democratization of interpretation' as superior to the traditional approach taken by classically trained ulema. Liberal Muslim lay intellectuals have received accolades in the Western press, as their interpretations of Islamic law on issues ranging from the *Hijab* to *Jihad* tend to concur with Western gender and political norms. The role of information technology in disrupting the traditional ulema hierarchy is similarly greeted as a positive development. (Brown 2015: 121)

In response to these criticisms, the ulema argue that the interpretive exegetical and hermeneutical machinery of the Islamic tradition that has been built over multiple centuries by thousands of brilliant scholars is the best prism for accurate discernment of God's will and is up to the task of finding that will in modern times. To come up with a replacement from scratch would be akin to rebuilding physics by watching again a proverbial fall of an apple from a tree. Any such attempt would come nowhere near advances of relativity theory and quantum physics. Thus, they argue any such effort would be a poor substitute to the rich and robust tradition that is available and upon which one can further build. Sheikh Abdul Hakim Murad (1999) makes such a point in the specific context of defending classical fiqh (jurisprudence) principles for deriving Islamic rulings for modern times:

> We might compare the Quranic verses and the hadiths to the stars. With the naked eye, we are unable to see many of them clearly; so we need a telescope. If we are foolish, or proud, we may try to build one ourselves. If we are sensible and modest, however, we will be happy to use one built for us by Imam al-Shafi'i or Ibn Hanbal, and refined, polished and improved by generations of great astronomers. A madhhab (one of the four schools of Islamic jurisprudence) is, after all, nothing more than a piece of precision equipment enabling us to see Islam with the maximum clarity possible. If we use our own devices, our amateurish attempts will inevitably distort our vision. (Murad 1999)

Based on such arguments, the ulema argue that it is foolhardy to dispense with the Islamic tradition when engaging with modernity and its challenges as it is the best and most precise instrument Muslims have of figuring out what is demanded of them by God in these times. Moreover, they assert that this tradition has given befitting responses in the form of rulings on a wide range of modern issues from financial derivatives to how does one pray on an airplane. Thus, the ulema find the objections that the tradition over which they are the custodians is a dated and stagnant one not relevant to the pressing challenges of modern times to be false and spurious.

According to the ulema, courting and succumbing to these objections is a major cause of violent extremism in Muslim societies. This is because the Islamic tradition is the most holistic and integrative perspective on the Shari'ah. Ignoring it is likely to lead to literalist, militant, and extremist interpretations of the Islamic dispensation. For example, one would become trigger-happy cutting off hands at reading verses of the Quran on this topic not realizing that there is an entire corpus of hadith literature and scholastic commentary and super commentaries explaining the correct meanings and understandings of these verses. Such literature identifies the strict evidentiary conditions that have to be met for the government to cut off a thief's hands. There are more than 80 conditions that have to be satisfied for the punishment to be enforced (Brown 2016; http://almadinainstitute.org/blog/the-shariah-homosexuality-safeguarding-each-others-rights-in-a-pluralist-so/). For example, the property stolen had to be above a certain value, thereby avoiding the fate of lobbing off a hand of a desperate poor person who steals a loaf of bread. Moreover, such scholarship points out that it is the duty of the court magistrate (qadi) to do his best to find any excuse that may suspend the application of such canonical punishments based on the famous hadith, "Ward off the hudood (canonical punishments such as cutting off hands) by means of ambiguity."

Without a grounding in this tradition, leading contemporary Muslim ulema (e.g., Sheikh Abdullah Bin Bayyah) argue that extremist and violent interpretations of the Quran and the Sunnah end up being produced as sadly witnessed by the atrocious acts committed by terrorist movements such as ISIS (Temple-Ralston 2015;

http://www.npr.org/2014/09/25/351277631/prominent-muslim-sheikh-issues-fatwa-against-isis-violence). The best way to avoid the menace of such groups, according to the ulema, is not to abandon or liberalize Islam on Western secular lines but to return to its authentic teachings as found in the Islamic tradition that categorically prohibit and condemn such inexcusable and unjustifiable acts of terror against innocents (Council on Foreign Relations 2015; http://www.cfr.org/radicalization-and-extremism/conversation-shaykh-abdallah-bin-bayyah/p36726).

Shari'ah and Pluralism

We wish to end our brief overview of the Shari'ah as articulated in the Islamic tradition that contains in our view its most accurate and valid representation of the Shari'ah by addressing the question of how the Shari'ah engages with pluralism and diversity. As is the case with combating extremism, we feel the Islamic tradition can prove to be valuable here as well. This is because the bulk of the Islamic tradition was often constructed in contexts where Muslims had to engage with religiously and ethnically diverse communities of sizable strengths that came under their protection and rule. Thus, diving into the Islamic tradition may offer us some insights into how the Shari'ah dealt with diversity and pluralism.

When we explore the Islamic tradition and its history, particularly in terms of practice, what we observe is that the approach taken toward diversity and pluralism in the Islamic tradition was not one of affirmation and celebration of thoughts and actions that contradicted its teachings. It was also not one of pogroms and genocides. Rather, the approach was one of forbearance that produced remarkable diversity and pluralism in Muslim societies with the best-known example in the West being of Muslim Spain where both Christian and Jewish communities prospered albeit not on identical terms with their Muslim counterparts.

Brown (2016) succinctly describes the Sharia's approach to diversity and pluralism as follows:

> In classical Islamic civilization, Muslim authorities allowed Zoroastrians to engage in brother-sister marriage, Jews to charge interest, and Christians to cultivate wine and pigs. Tenth-century rabbis in Baghdad acknowledged that Jews were settling their divorces and registering properties in Muslim courts, and Muslim scholars in fourteenth-century Damascus figured out how a Muslim judge was supposed to appraise the value of a Christian's wine stock (either by its value in a sales contract or by its grape juice equivalent).

What the passage shows is diversity and pluralism being provided a fecund space through the Shari'ah. This is tolerance without acceptance for the Muslims' never accepted nor celebrated brother-sister marriages though they did allow others to practice it as part of their faith. Herein may lie a distinct approach to diversity in contemporary organizations that is less intrusive and invasive than the current secular liberal discourse that requires not just tolerance of opposing views but their acceptance and celebration which can at times be viewed to be an infringement and violation of freedom of conscience where one is being policed to publicly affirm beliefs that in private one finds objectionable.

From our brief overview of *Shari'ah*, it is clear that it consists of religious teachings and laws that provide guidance on how to live this material life. Nevertheless, these laws represent the exoteric practices of Islam and need to be complemented with the inner spiritual practices of Sufism, the topic which we turn to next.

Sufism or Islamic Mysticism

Sufism (*tasawwuf*) or Islamic mysticism is a branch of knowledge in Islam which is not discursive or acquired knowledge (*'ilm)* but a more infused, experiential, intimate, and spiritual knowing or what has been named as intuitive knowledge (*ma'rifa)* (Nguyen 2016; Frager and Fadiman 2005). Although the former is more concerned with the tools of knowledge that the Western audience is generally familiar with including reason, sense perception, and logical reasoning, the latter is broader in its scope. It extends the traditional tools of knowledge through a kind of spiritual intuition and a direct awareness of reality through the process of illumination (Schimmel 1975). The objective of this knowledge is closeness with God and attainment of His love by perfecting sincerity of intention and action (Bashir 2011). This perfection is possible through reformation of the inner self (*batin*) (Tucker 2016: 24) to understand spiritual realities and attain higher spiritual stations (*maqamat*) (Nasr 1972: 76).

One important hadith (sayings and actions of the Prophet) which has been accepted collectively by Muslim scholars, as representing the central core of their faith, is known as hadith of the Angel Gabriel. This Angel visited the Prophet Muhammad (peace be upon him (PBUH)) and questioned him about the three main dimensions of religion, namely, *Islam*, *Iman*, and *Ihsan* (Moad 2007: 136). This was a time when the Prophet (PBUH) was close to the completion of his temporal existence, and all the commandments had been revealed. In a single meeting, the Archangel asked questions to the Prophet (PBUH) in order for him to enumerate the essence of the faith. His answer shows three dimensions encompassing the outward and inward expressions of the belief system. The first dimension, the dimension of Islam, is based on *Tawhid* (the oneness and uniqueness of God), five daily prayers, offering of *zakat* (almsgiving), fasting in the holy month of *Ramadan*, and performing pilgrimage to Mecca. These "five pillars" are the building blocks of the domain of knowledge which later was called Islamic jurisprudence or *Shari'ah* (Chittick 1992: 3). The second dimension, the dimension of *Iman*, is an expression for a specific conviction in the belief in *Allah* (God), His messengers, His angels, the Last Day, His books, and the good and evil fate as ordained by Him. These beliefs form the core of Islamic theology which was then elaborated by Muslim *mutakallims* (theologians) (see Wielandt 2016 for the main tenets of Islamic theology). These two exoteric aspects teach us that religious practice and belief system are interrelated and are incomplete without each other.

Nevertheless, the most important part of this hadith relates with the third dimension, the dimension of *Ihsan*, which adds spirituality to the religion (Campo 2009: xxiv). *Ihsan* reminds Muslims that they are always in the presence of *Allah* and that one should consider this “presence” in all his thoughts and actions (Buehler 2015). In the words of the Prophet (PBUH), *Ihsan* is described as:

> Worship *Allah* as if you see Him, for if you see Him not, yet He sees you.

The inner contemplations and manifestations which will produce such consciousness are the subject of Islamic mysticism or Sufism. All the leading Sufi sheikhs (masters of the Sufi path and the friends of God) believe that acquiring the inner esoteric state of *ihsan* is obligatory for all Muslims. It is not just a part but the essence of the religion since this consciousness will permeate in all the beliefs and actions of a Sufi (mystic). Imam al-Ghazali (may Allah’s mercy be upon him; 1058–1111) was a distinguished Sufi master, and he was strongly of the view that Sufism is not distinct from the religion of Islam. His views are expressed by Rev Gardener as follows:

> Sufiism, he (Ghazali) maintains, will never enable a man to dispense with revealed religion, or free him from the duty of performing its prescribed observances. (Gardener 1917: 133)

This implies that *ihsan* is built on the doctrines and practices preached by the Prophet (PBUH) and cannot be alienated from the formal religion. Hence, a Sufi having the right belief and following the right practices along with engaging in *dhikr* (remembrance) and *taffakur* (spiritual meditation) will aim to perfect his faith and submission to the will of *Allah* (Chittick 2000). This deliberate choice of mystics to submit and love *Allah* is not merely mental or theoretical but “so totally sincere that it has shaken them to the depth of their being and set them in motion upon the path” (Lings 1975: 30). Another Sufi master, Ibn al-Arabi (1165–1240), understood this perfection of self as the first step toward fulfilling human destiny and becoming a mirror that reflects the beauty of *Allah* (*mir’at al-haqq)* (Chodkiewicz 1993). Every aspect of creation reflects the Creator, and since *Allah* is the most beautiful, so too are all His reflections, but one would have to reach the stage of *ihsan* in order to become such a mirror (Corbin 1969; Ormsby 1984). In ibn Arabi’s own words:

> God (al-haqq) is your mirror, that is, the mirror in which you contemplate yourself (nafs), and you, you are His mirror, that is, the mirror in which He contemplates His divine names. (ibn Arabi as cited in Corbin 1969: 271)

Nevertheless, the knowledge one gains by becoming this mirror is true knowledge (*ilm al-haqiqa*) which is an experiential knowledge conditional on the state of moral and spiritual excellence of the Sufi (Kabbani 2003).

One important question that this knowledge addresses at the outset is the relationship between *Allah* and His creation including human beings. The nature and etiquette of this relationship cannot be known through discursive thought or by employing the mechanisms of logic but is accessible only through *ma'rifa* (intuitive knowledge) (Chittick 2005). For both Rumi (1207–1273) and ibn Arabi, the two great Sufi masters, the creation is a multiform and multi-chrome manifestation of the divine through relationships with Allah's names and attributes, however delimited this might be (see Lamptey 2014; Lewis 2000). Ibn Arabi (may Allah's mercy be upon him) describes the relationship between God and His creation through the metaphor of the light and the rays. God's being is symbolized by light, and creation constitutes the rays emanating from this iridescent center. To the extent that the rays reflect the light, they are at one with it, and inasmuch as they are not the light itself, they are in darkness. And so a creature is constituted both by its reflection of being and by a lack thereof – what ibn Arabi calls the reality of "He/Not He" (Chittick 1989: 7). Hence, Allah alone possesses the true being (*wujud)*, while all the creation receives its being from this same source. Please note that this does not mean that the Sufi sheikhs are referring to pantheism (Chittick 1989: 79). Rather, they are explaining oneness in a sophisticated manner.

However, this knowledge cannot be obtained without an educator or a guide. Correct comprehension of the Quran, hadith, as well as the spiritual training at a personal level depends on an experienced teacher called a *sheikh* (Buehler 2016; Stepaniants 1994). He will often be the spiritual leader of a *tariqah* or a specific Sufi order which can be conceptualized as a standard organizational form of Sufism (Le Gall 2004). Although there are numerous such Sufi orders, the most famous are Qadri, Chishti, Naqshbandi, Shadili, and Suhrawardi. If one wants to tread on this spiritual path, he needs to join a Sufi order as the conditions, experiences, understanding of the spiritual stations, and the introspection necessary for spiritual development cannot be learned through any text since there is no linguistic tool available to describe them. These blessings (*barakah*) are achieved directly from the spirit, the body, and the heart of a *sheikh* as well as by following his ethical conduct (*akhlaq*).

Nevertheless, before we turn to the topic of the human transformations that take place during this spiritual journey, let me first delineate the Sufi conceptualization of what it means to be "human."

View of Human Nature

While addressing the question of self or the nature of being, Sufis often reveal a specific preoccupation with ontology, or the nature of reality. Drawing both on contemplative interpretations of the primary Islamic sources, the Quran and hadith, and mystical experiences, they address most questions, including that of human nature, in relation to the ultimate nature of reality. The nature of the created universe and its origin can be judged from its purpose which can be explained from another hadith. According to this hadith, Allah said, "I was a hidden treasure and desired/loved to be known, so I created you (humans) that I might be known" (Quoted in Brown 2009: 193). This implies that this whole cosmos is a mirror of the divine and our purpose in it is to actively seek God. The universe acts as a bridge that can be used by humans to potentially cross the chasm between the hidden divine treasure and Allah's self-revelation through His attributes. Hence, any ontological definition needs to be situated within this broader framework of Islamic cosmology.

Traditional Western sciences have assumed that a human being is nothing more than a physical creature functioning through a nervous system and controlled by a physical mind (Brown et al. 1998). Nevertheless, this conception is challenged in Sufi psychology where a human being is composed of *nafs* (the animal spirit) and *ruh* (the human soul) which are both contained in the chamber of the human body (see Milani 2013; Hermansen 1988). The latter provides an original characteristic to the whole human race which distinguishes them from all other creatures (Adamson 2015). This human soul or *ruh* is also a body, but it is different in nature to the corporeal body (Sharifian 2013). The best explanation is provided by Maulana Allah Yar Khan (may Allah's mercy be upon him) as follows:

> It (*ruh*) is luminous, radiant, incorporeal, subtle, living, dynamic and permeates all the organs of the physical body. It is a delicate circulation and diffusion just as water in a rose, or oil in an olive branch or fire in a pile of coal. (Khan 1965: 29)

The human soul draws life from divine light, *nur* (Böwering 2001). Just as the soul is the driving force for the physical body, the divine lights which originate from *Allah* are the driving force for the soul. This *nur* is responsible for the purification/ development of spirit and the purgation of morals which are the primary tools in attaining God's nearness, pleasure, and eternal salvation. The time at which the soul is detached from the body, it ceases to function independently. This detachment is the experience of death. The soul is not mortal, though, so it passes away to another world, called *barzakh,* a liminal space where the soul will reside before resurrection (Chittick 1994: 100).

Human soul is the main agent for Sufis, and its development is the main objective of their ritual practices. This does not mean, however, that the body is irrelevant; on the contrary, it is instrumental for remolding of the soul and a medium for its knowledge (Rozehnal 2007). The mystical journey of a Sufi starts from his heart which is not only the central organ of the body but also the vital center of the soul (Burckhardt 1976). The Prophet (PBUH) said:

> Verily there is in the body a small piece of flesh; if it is good the whole body is good and if it is corrupted the whole body is corrupted and that is the heart. (as narrated in Bukhari)

What the Prophet (PBUH) is referring to is not the physical heart but *qalb*, the subtle heart or the inner heart which is the center of the soul. The same reality has been mentioned in the Quran:

> But Allah has endeared the faith to you and has beautified it in your Qalb (hearts). (49: 7)

This implies that *qalb* is the focal point of responsibility and also the sovereign of the human body. Although the eyes and the ears act as its sensory organs, the tongue acts as its translator (*tarjuman*), and the mind acts to provide logical reasoning, the real decision maker and the commanding master is the *qalb*. All other organs of the human body are subservient to it, while it understands and decides. Moreover, *qalb* is also a reservoir of atemporal spiritual knowledge which is based on spiritual intuition and beyond any characterization (Shafii 1988). Sufism is concerned with how *qalb* can be purified and how this as well as one's actions, thoughts, and personal consciousness can be perfected while going through spiritual development stations (*maqam*).

Transformations of the Human Soul

The above discussion hints at the possibility that a spiritual transformation in the soul is possible and desirable. Participation in this process is one of the most important functions performed by Sufi sheikhs who provide a devotional path to their disciples in order to change their selves from a lowly instinctual nature to an ultimate state of timeless proximity to God. This path or journey teaches the disciples through discipline, repentance (*istighfar*), introspection (*muraqaba*), continuation of prayers especially God's remembrance (*dhikr*), and strictly following other commandments of the *Shari'ah*.

The Sufi sheikhs have divided this metamorphosis in three stages, based on three Quranic verses which explicitly address this topic (Milani 2013; Sviri 2002). The first verse refers to a self which is at the lowest stage, and it is characterized as a*l-ammarah* (that which incites to evil). This stage indicates the urge of the animal spirit to have its way and corrupt the soul. The second stage is that of a*l-lawwama* (that which blames) and is regretful. Regret is the result of the new consciousness, which reveals the imperfections of the soul and the futility of its unconscious ways of being in the world. This gradual growth of awareness will result in a lack of recourse to the previous base tendencies. A Sufi disciple in the second stage can also be characterized to be in a state of "abstinence," actively avoiding all forms of inferior impulses and tendencies by observing high ethical code of his *sheikh*.

Nevertheless, it needs to be clarified, at this point, that this "abstinence" does not lead to asceticism. It also does not lend itself to develop a pious self which becomes judgmental and critical of others, which further separates one from the others. In summary, the goal here is the de-conditioning of the self from its original habits and addictions.

The third and the final stage represents the state of a*l-motma'ena* (that which is at peace). This stage is characterized by joyful satisfaction and removal of all doubts. The soul, at this stage, is in full compliance with divine will and becomes a mirror of God's attributes. This is also the stage of *ihsan* where the Sufi is continually in the presence of God and is humbled by the ever-increasing God-consciousness (Brown 2009).

The outward manifestation of this spiritual awakening will be reflected in not only a higher form of self-consciousness but also in one's strict observance of ethical values (*akhlaq)* and one's lofty character. This clearly depicts that Sufism is not just concerned with spiritual experiences but wants to translate those experiences as a higher form of ethical conduct in the daily lives of Sufis.

The ultimate goal of this spiritual quest is to become what ibn Arabi calls the "perfect man" (*insan al-kamil*): a "complete and total human being who has actualized all the potentialities latent in the form of God" (Chittick 1994: 23; also see Schimmel 1975). The concept of insan-e kamil represents the ideal to which human beings can aspire. Such a positive philosophy places before us the grandeur of humanity since God's love to "be known" can be fully instantiated in *insan al-kamil*. This perfect man is the object of God's love and realizing this excellence is/should be the main objective of any human being and will be a culminating point of human love for God (*ishq*). Let us turn to a Prophetic saying regarding God's love:

> Those who seek nearness to Me seek nearness through nothing I love more than the performance of what I have made incumbent upon them. My servant never ceases to seek nearness to Me through supererogatory works until I love him. Then, when I love him, I am his hearing through which he hears, his sight through which he sees, his hand through which he grasps, and his foot through which he walks. (as narrated in Chittick 2014: 235)

This presents the status of the self which reaches the state of *al-motma'ena* where it is totally engulfed by love. In that state man loses volition and self-centeredness and becomes aware of his situation of being separated from what he truly loves, God. This concept also informs us that all life including human life and all other creation of God cannot be separated from the original. In this sense, love for anything other than God is illusory and metaphorical in nature (Chittick 1995). In the words of ibn Arabi:

> The entities of the cosmos are all lovers because of Him, whatever the beloved may be, since all created things are the pedestals for the Real's self-disclosure. Their love is fixed, they are loving, and He is the loving. . . . . .In the case of the created thing, you know the entity and you love. It may be that the name is not known. However, love refuses anything but making the beloved known. Among us are those who know God in this world, and among us are those who do not know Him until they die while loving some specific thing. Then they will come to understand, when the covering is lifted, that they had loved only God, but they had been veiled by the name of the created thing. (ibn Arabi as narrated in Chittick 1995: 13)

Hence, *ishq* or love is actualized only by humans by loving the real, and even when they are loving a specific thing, they are loving Him since all are His creation. Hence, transformation of the soul is actually an increase in capacity for *ishq*. In order to develop this capacity, man needs to understand the characteristics, qualities, and dispositions of his soul wherein nobility exists. These qualities include *Taqwa* (piety), *Wara* (scrupulous fear of Allah), *Zuhd* (abstention), *Khushu* (reverence), *Khudu* (humility), *Sabr* (patience), *Sidq* (truthfulness), *Tawakkul* (reliance), *Adab* (etiquette), *Tawba* (repentence), *Inaba* (turning to Allah), *Hilm* (forbearance), *Rahma* (compassion), *Karam* (generosity), *Haya* (modesty), and *Shajaa* (courage). These are the essential hallmarks of a Sufi which are, in essence, inspired by the Prophet (PBUH) himself, and the Sufi attains such qualities by following *Shari'ah* under the guidance of an accomplished sheikh. Another important devotional practice in attaining such qualities is communal *dhikr* within a circle or *halaqa* (Elias 2013; Chittick 2004). The importance of *dhikr* in achieving spiritual transformation has been underscored by many scholars. For example, consider the following:

> . . . dhikr is considered to be a torrent which in addition to eliminating the undesirable qualities of the disciple and substituting Divine attributes for them, in the final analysis effaces the individual ego in such a way that not a trace of the 'I' remains. (Nurbakhsh 1990: 5)

The above quote depicts that *dhikr* is far more complicated and organic than simple "remembrance" since it introduces the disciple to a powerful spiritual passage with its own microcosmic dimensions. Many Sufi masters have documented how this Quranic validated means of meditation can cause the removal of barriers (*hijab*) between the Sufi and God (Ridgeon 2015; Rizvi 2005; Frembgen 2004).

Spiritual Experience

One manifestation of this removal is mystical revelation or divine disclosure (*kashf)* in which time, history, and all other forms of creation lose their independence and reveal their true ontological and epistemological nature (Saniotis 2007; Algar 1982; Attar 1966). According to ibn Arabi, such a man is in the realm of the "immutable entities" (*a'yan thabitah*), and he can now look at the things of the sensible world (Izutsu 1983) in order to transform social realities. Imam Ghazali has termed this spiritual tasting as *dhawq* and described it as a kind of perceptive faculty of the soul which allows it to discern truths. In his own words:

> . . . (dhawq) is a light which appears in the heart after it is purified of its blamable characteristics. Through this light are revealed many matters of which one had heard only the name and about which one had imagined vague and general meanings. As a result the meanings become clear until one has true knowledge of the nature of God, His attributes, His acts, the meaning of the term angels and devils . . . . and the meaning of prophecy, prophet, and the meaning of revelation. (Ghazali as cited in Shehadi 1964: 46)

Another meditative practice followed by the Sufis in order to generate this spiritual experience is contemplation (*muraqaba*) (Azeemi 2005; Ernst and Lawrence 2002). The Sufi masters consider *muraqaba* as a channel to attain spiritual "states of consciousness beyond the limits of the rational, discursive mind and the descriptive power of language" (Rozehnal 2007: 197). When a disciple engages in these contemplative exercises with the blessings of his Sufi master, he can attain certain spiritual stations (*maqam*). Each station has its own unique spiritual taste and feelings which produce an enhanced state of consciousness (Buehler 2015). In Imam Ghazali's account, this spiritual experience provides a direct spiritual experience of reality and in this sense is better than reason which only provides an indirect and mediated sense experience of reality. Such states produce the capacity to maintain focus of the disciple on different names and attributes of God and control his ego while absorbing spiritual energy. The two important stations on this journey include annihilation (*fanaa*) and permanent union (*baqaa*) (Ernst and Lawrence 2002: 16). Hence, these contemplative practices are used to attain a veridical cognition of realities as they really are (Hermansen 1997).

However, the communication of this spiritual experience is limited by human cognition and inadequacies of language (Tymieniecka 2011). This is the reason why most Sufis have resorted to rich allegorical poetry in order to demonstrate the depth of communication with the divine. The abnormal state of Sufi consciousness and the experiences it entails are conveyed via apparent paradoxes and symbols (Pskhu 2011). Although another individual on the same spiritual path might understand these symbols, others might get confused due to the semantic polysemy of Sufi texts. The most famous among these poetical works are Shaikh Saa'di's *Gulistan and Bostan*, Hafiz's *Divan*, and Jalal-ud-Din Rumi's magnum opus, *Masnavi Maulana Rumi*. Consider, for example, one poem of Maulana Rumi:

> Again I am raging, I am in such a state by your soul that every bond you bind, I break, by your soul
> I am like heaven, like the moon, like a candle by your glow; I am all reason, all love, all soul, by your soul
> My joy is of your doing, my hangover of your thorn; whatever side you turn your face, I turn mine, by your soul
> I spoke in error; it is not surprising to speak in error in this state, for this moment I cannot tell cup from wine, by your soul
> I am that madman in bonds who binds the 'divs'; I, the madman, am a Solomon with the 'divs', by your soul
> Whatever from other than love raises up its head from my heart, forthwith I drive it out of the court of my heart, by your soul
> Come, you who have departed, for the thing that departs come back; neither you are that, by my soul, nor I am that, by your soul
> Disbeliever, do not conceal disbelief in your soul, for I will recite the secret of your destiny, by your soul
> Out of love of Sham-e-Tabrizi, through wakefulness or nightrising, like a spinning mote I am distraught, by your soul
>
> Mystical poems of Rumi (Yarshater 2009)

Sufi Women

A general misconception is that women are excluded from Sufi brotherhoods or that they cannot attain a higher spiritual station. Such misconceptions might be a result of less reporting of pious females in Islamic history in the written form. However, this does not mean that females played a marginal role in Sufi practices and its transmission. For example, consider the following quote by Mumina bin te Bahlul from the tenth century which depicts how the love of God is experienced by a female:

> The world and the Hereafter are not pleasurable except through You. So do not overwhelm me with the loss of You and the punishment that results from it. (Cornell 1999: 86–87)

Perhaps the greatest female mystic and Sufi is Rabia al-Adawiyya al-Qaysiyya (may Allah's mercy be upon her; 718–801 CE) who was a freed slave. She led a reserved life devoting her time in compulsory as well as supererogatory prayers. As she was from Basra, Iraq, she is also famously known as Rabia Basri. Her love for God was so absolute and unconditional that the material world including heaven and hell became meaningless for her. She is reported to have said:

> O my Lord, whatever share of this world You have bestowed on me, bestow it to my enemies, and whatever share of the next world You have for me, give it to my friends. You are enough for me. (Attar 1966: 73)

She considered prayers to belong to the category of a delightful communication between lover and the beloved. She was especially fond of praying at night, as is reflected from her statement:

> O God, the night has passed and the day has dawned. How I long to know if You have accepted my prayers or if You have rejected them. Therefore console me for it is You to console this state of mine. You have given me life and cared for me, and You is the glory. If you want to drive me from your door, yet would I not forsake it, for the love that I bear in my heart towards You. (Smith 1994: 27)

Rabia Basri is not the only Sufi woman as several have chosen to embark on this journey (to see the details of other women, see Helminski 2013; Dakake 2006; Smith 1994). Nevertheless, she has a special place in the history of Sufism as she is renowned for the selfless love of God in her heart. The most illustrious event that shows her dedication and certitude has been described by Margaret Smith in her work as follows: Hazrat Rabia Basri (RA) was seen in the streets of Basra. She was carrying a pot of fire in her one hand and a bucket of water in the other. When people asked her why she is carrying these two things, she replied, "I want to throw fire into paradise and pour water into hell so that these two veils disappear, and it becomes clear who worships God out of love, not out of fear of hell or hope for paradise" (Smith 1994: 98).

Several aspects of her life suggest that she was intellectually and spiritually at a higher ecstatic state than many of her contemporaries. Consider, for example, a conversation among Rabia and her male fellow saints including Maalik bin Dinaar, Hassan Basri, and Shaqiq al-Balkhi about the question of sincerity and patience:

> Hassan Basri said, 'That person is not a true seeker of Allah who does not keep patience on the troubles befallen by Allah'. Rabia Basri replied, 'This saying reflects vanity, the argument must be better than this one'. Shaqiq al-Balkhi uttered, 'That person is not truthful in his seeking of Allah who does not enjoy the pain given by Allah'. Again Rabia Basri replied, 'This too reflects pride'. Finally Maalik bin Dinaar said, 'He is not a loyal seeker of Allah who is not thankful to Him even in pain'. Rabia Basri replied, 'He is not true to seek Allah who is not so much engrossed in the vision of his Beloved that he forgets every pain'. (Najib-ur-Rehman 2014: 374)

Her example depicts the luminous presence of female Sufis in the history of Islamic mysticism as they experience the love of God (*ishq-i haqiqi*). Even in the contemporary times, females are an important part of Sufi brotherhoods, some of which are transnational in character and function (for an example, see Diaz 2015 who conducted an anthropological study of the Moroccan brotherhood, Qadiriyya Budshishiyya).

Now that we understand the specifics of Sufism and the new thinking it generates, let us turn to its implications for organizational transformation.

Organizational Implications

The recent global financial and environmental crises have not only called into question the existing organizational systems, processes, and institutions but also the dominant imaginaries from which these systems are derived (Berberoglu 2014; Jessop 2012; Zaccai 2012). Drawing from the well of Sufism can mark the search for new ways and approaches to rethink and reimagine the role of organizations and its managers in society. The discussion in this chapter informs us that the real driving force behind transformation is *ishq* (love of the divine).

Below we will describe many significant changes that this radical imaginary can bring to the world of organizations. Please note that these different aspects are not mutually exclusive but build on each other.

Organizational Purpose

The first ramification of a Sufi imaginary of *ishq* would be in shaping the purpose of organizations. Within the Sufi framework, organizations are simply tools available to humans to be closer to God and seek His pleasure and love. Hence people can make only those business decisions which are morally responsible according to *Shari'ah's* injunctions while also serving the wider public. This sense of altruism for humanity and the associated social obligations are not just an afterthought but are the central organizing principles. Hence, organizations produce goods and services to serve humanity while generating a nonexploitative rate of return. This also implies that blind obedience to producing efficiency at all costs is discouraged or, in the words of critical theory, performativity is avoided (Spicer et al. 2016). The non-performative organizational purpose or intent, however, is not focused on critical emancipation but surrender to the will of God.

This is an important change from the existing situation of contemporary organizations which operate on a logic of secular rationalism. This logic has emphasized instrumental rationality of economic choice (Grandori 2013) and a continuous search for higher organizational efficiency and bureaucratic impersonality (Martin et al. 1998). These aspects have taken precedence over the search for meaning in human life (Parker 1998), and employees carry out a series of actions in the organization without having an idea of the ultimate existential ends of these actions. This is evident from the utter lack of discussion in the organizational discourse regarding issues of purpose, authenticity, and meaning. Despite the fact that current research on organizational commitment highlights the increasing detachment of employees from their workplace (Cartwright and Holmes 2006), the negative consequences of such detachment are visible in terms of loss of trust and high turnover leading to low performance (Schnell et al. 2015).

A solution, however, can be found in the Sufi radical imaginary of *ishq* since it links organizational actions with an ultimate purpose that goes beyond the performance of mundane tasks. The organization recognizes its particular place in the whole divine scheme of things and starts contributing to the greater community since this community represents God's creation. It rises above its individual entity and become part of an integrated whole. Here we are using community in a broader sense to make it all inclusive (the environment, the vulnerable and marginalized groups, animals, etc.).

This also cultivates a need of spiritual transformation in all those touched by such a spiritually informed organization. In this manner, by using this new radical imaginary, an organization satisfies not only the economic and social needs of people but also their "need for meaning." Another implication of such a transcendent organizational purpose is to conceptualize other firms not as "competitors only" whom we have to "beat" in this game. Rather, firms in the same industry need to collaborate with each other due to their common objective of seeking God's pleasure.

Importance of the Spiritual Leader

As we indicated in the section on Sufism, each Sufi brotherhood is primarily being led by a spiritual leader or sheikh. This leader not only provides religious instruction about Shari'ah and jurisprudence but is also responsible for the spiritual uplifting of his disciples (Rozehnal 2007). Moreover, he keeps a balanced and healthy relationship with individuals as well as political/religious entities external to the brotherhood. Since the leader is considered to be at a very high spiritual level owing to his nearness to God and his status as a *wali* (friend of God), the disciples follow his spiritual instructions and advice (Ernst and Lawrence 2002).

Similarly, the role of a leader of a contemporary spiritual organization is to look after and care for his employees. Any leader is simply a vicegerent or agent of God whose duty is to love God and His creation in this world, and the business organization is simply a tool or means to achieve this end. This purpose and vision of the organization should be made clear by the leader through his personal example of patience, gratitude, reliance on God, and humility. The purpose gets legitimized whenever this leader makes important organizational decisions which then become part of the organizational culture through specific routines and procedures. This significantly improves the meaning of organizational actions and practices for employees. Moreover, the genuine caring attitude of the leader toward his workers is going to energize them as they reciprocate with a sense of heightened responsibility. The more the employees are socially integrated in this organization's culture and value system, the more they feel committed toward the organization since their inner being, their soul, starts believing and embracing the organizational vision. This implies that the experience of their work will become increasingly important in their personal lives since it will serve as a conduit for spiritual transformation. As employee understanding and appreciation of their work increase, they start caring not only for the organization but also for each other. This will have positive consequences since it will inculcate an atmosphere of trust where people can provide each other honest feedback without any fear of marginalization.

Three-Component Model of Organizational Decision Making

The present organizational decision-making framework, at a theoretical level, is predominantly based on logic and reasoning with instrumental rationality and utilitarianism as two fundamental premises (Cabantous and Gond 2011; March 1991). Employees who can "prove" their point through rational argumentation and cost/benefit calculations are lauded and are given preference in performance evaluations. On the other hand, employees bringing up an emotional or ethical argument are generally denigrated and branded as irrational and/or idealists (Crane and Matten 2010: 162). However, many scholars have highlighted that managers, at a practical level, only engage with rational decision aids in particular circumstances and rely instead on their bodily intuition (Isenberg 1984; Mintzberg et al. 1976). This intuition is characterized by a fast perception of associations and patterns at an unconscious level which help in making holistic judgments (Calabretta et al. 2016). It has been suggested that managers should adopt a dual decision-making model by combining rationality and intuition (Neal 2006; Sinclair et al. 2009). However, it is important to note that this intuitive perception is also mental and/or bodily in nature and is developed from expertise of a particular area or domain of decision making (Salas et al. 2010). Additionally, due to fundamental differences in the way rationality and intuition operate, it is quite possible that their conjoint use results in inconsistent prescriptions for an organization, thus generating a paradox (Cabantous and Gond 2011).

Nevertheless, this dual decision-making model can be further improved in a Sufi-inspired organization by involving a third component, i.e., spiritual intuition (*ma'rifa*). Owing to its immediate experiential nature and its continuous state of attunement with truth, it has the power to resolve the paradoxes of a dual model. In other words, by using one's love for God, one can gain hints from Him on how to serve His creation in a better manner. In this way, *ma'rifa* has the power to integrate and synthesize both rationality and intuition in a way that also brings higher certitude.

Control Processes

The contemporary internal control processes of organizations are meant to ensure the achievement of objectives in terms of efficiency and effectiveness of its practices. This is done by rules and regulations meant to insure technical checks and balances. However, the procedures are silent about the basic human vices of egoism, greed, lust, malice, prejudice, jealousy, wrath, and spiritual blindness. On the contrary, the Sufi radical imaginary teaches us to add these elements in the organizational control procedures in order to avoid false beliefs and unworthy passions of managers and employees.

It has also been argued that organizational culture is an important tool available to leaders for managing internal processes (Pfister 2009; Grugulis et al. 2000). This is because the shared values emanating from the organizational culture instruct the employees about what issues are important. Furthermore, the cultural norms guide appropriate employee behaviors and attitudes to deal with these issues. Hence, it would make sense to build a culture which places high emphasis on virtues including humility, altruism, generosity, kindness, tolerance, and spiritual transformation. This would help the firm to change its employees' attitude from "It's not my problem" to "I care and feel responsible."

The spiritual leader plays an instrumental role in shaping such a culture. If a leader bypasses ethical values in order to gain undue benefits for his organization, he will be inviting the displeasure of God which will defeat the purpose of establishing the organization. In this sense, the principal-agent problem does not arise in a Sufi-inspired organization since the leaders, managers, and employees are all vicegerents of God performing different roles according to their capacity. The final and ultimate owner of all properties, assets, and everything else in this universe is God. Since the organization man is a trustee of these assets, he can only use them within the boundaries of Shari'ah and in achieving well-being of humanity.

It has also been observed in organizations that when the leaders of the organization engage in immoral activities or fail to show the importance of ethics through their personal example, the employees follow suit (Treviño et al. 1998). In this situation, rules and procedures become meaningless which result in negative firm performance and negative externalities for society (Toor and Ofori 2009).

For example, consider the case of UBS, the largest Swiss bank, which experienced \$3.4 billion loss in 2007 as a result of its investments in hedge funds in the US subprime mortgages (McCormick 2010). This resulted in a loss of 1,500 jobs, closure of its Dillon Read Capital Management fund, and the resignation of its CEO and chairman. The new chairman, Peter Kurer, analyzed the situation and found out that organizational culture was responsible for this reckless investing. He termed this aggressiveness as a "culture without brakes" (Pfister 2009: 3) which is undergirded by a vision of exponential growth strategy. The employees were more focused on achieving their short-term performance targets and did not analyze the complexity of the market. The internal controls were very relaxed in such a culture which ultimately questioned the long-term viability of such investments. This case depicts the importance of spiritual and ethical leadership as well as an ethical organizational culture to control human vices and promote virtues.

Business Ethics

Another implication of this imaginary is in the domain of business ethics (Khan and Naguib 2014). The lack of moral and ethical regulation at managerial and organizational level is evident in the current milieu (Jackall 2010; Jones et al. 2005). This reveals an interesting phenomenon: more corporate social responsibility (CSR) programs and ethical management initiatives do not lead to a consistent commitment to moral principles (Fleming and Jones 2013). Maybe what is missing in the current discourse and practice of business ethics is the spiritual component (Bouckaert 2015). Hence, from a Sufi perspective, the organizations can engage in economic activities which are beneficial for the society as a whole. It is from this perspective that this imaginary would lay great stress on keeping an eye on the spiritual and another on the material as is necessary to sustain the spiritual. Hence we can use the Sufi imaginary to transform contemporary organizational morality by focusing on the middle ground between the otherworldly ecstatic position and the very worldly material orientation.

This can be achieved by using the Sufi ethics of love and care. This ethics focuses on understanding the intimate personal relationship of each human being with God and with other human beings. God loves, cares, and nourishes His creation and His mercy takes precedence over His wrath. This love and mercy are the cause of creation which will return in the end to the same merciful God. Although mercy has a unidirectional flow, love has a bidirectional flow, and God gave humans the capacity to love Him as well as His creation. The higher the intensity of this love, the higher the intensity of spiritual transformation.

Spiritual Therapy of People in Organizations

The Sufi tradition underscores the importance of spiritual training as a method for the intuitive disclosure of reality. The spiritual bond that exists among the Islamic mystics of all orders and times is a phenomenal source of spiritual energy that the disciples receive during this training. It helps them in moving away from shameful desires to virtues which are praiseworthy in the eyes of God. The love of God in their hearts provides them true freedom which means that they do not submit to any worldly power other than God.

This freedom can also be achieved in an organization through discipline and training of the soul against false consciousness and a misunderstanding of reality. This will come from a recognition of the importance of moral norms and wisdom behind these norms. This wisdom will free one’s heart from material anxieties and stresses and will instill sincere devotion to the organizational objective and vision. This can come about through spiritual therapy and training sessions.

The employees and managers need to be taught that there are numerous methods of acquiring the truth including the spiritual way. This is important so that they don’t laugh or scoff at the mention of spiritual intuition (*ma’rifa*) as most have a materialist conception of the world in which spiritual aspects are entirely absent. This therapy, however, can make them realize the importance of the soul and their status in this world as a created and finite being.

The spiritual therapy can be achieved through three main types of practices including contemplative practices, physical practices, and discursive practices. The first, contemplative, includes *dhikr* and *muraqaba* which can be used as a method of inner purification and the purgation of the "sickness" of the soul and the mind. The second, physical practices, include dietary restrictions for a healthy lifestyle and self-mortification which pave the way for spiritual growth and ordering of one's life according to the ethics of care and love we described above. The discipline induced by these regulations will make it easy for the employees to channel their emotions and thoughts toward serving humanity and avoid worldly temptations including those generated by their own ego consciousness. The third practice is at the level of organizational discourse. This includes continuous dialogue in the form of debates and narratives to inculcate ideas compatible with the organization's ideology and non-performative purpose. The trainer can use several pedagogical exercises to challenge existing beliefs and understandings. These range from showing the organizational value beyond mere economic exchange to the organizational arena as a place to discover the ultimate meanings of life. Discussions can also reveal how spiritual demands are different from bodily needs and the diversity of methods to fulfill these demands. In case where managers don't believe in the epistemological and ontological truths described by Sufis, they can still be reminded of their own mortality (Khan and Naguib 2014). A purposeful conversation about the worldly ordeals and the necessity of death can alter not only their decisions but also their worldview. As Sigmund Freud points out, we "moderns" have a tendency to inauthentically embrace death by pointing out its material causes instead of its inevitability. In his own words:

> Our habit is to lay stress on the fortuitous causation of the death - accident, disease, infection, advanced age; in this way, we betray an effort to reduce death from a necessity to a chance event. (Freud 1915/1959)

Hence, the acknowledgment and realization of the finitude of materiality can help bring about, at least, ethical if not spiritual transformation.

This spiritual therapy would help employees to be disciplined over their selves and be ever vigilant while they perform work in the organization. This vigilance can benefit them in judging and considering their actions, both mental and physical, against the ultimate organizational purpose of seeking the pleasure of God guided by the radical Sufi imaginary of *ishq*.

Conclusion

We started this chapter with the intention of describing a new radical imaginary in order to solve the complex problems of the contemporary world. This imaginary is grounded in Islamic mysticism or Sufism which is an integral part of Islam along with Islamic law or Shari'ah. The imaginary can be named as *ishq-i haqiqi* or love of the divine and is radically different from the existing social imaginaries heavily influenced by neoliberalism and capitalism. This *ishq* or love emanates in the human heart for God, His nearness, and His pleasure. The way to attain this love is through Sufism or that branch of knowledge which deals with inner purification, sincerity of intention and action, and reformation of human character. This experiential and intimate knowledge purifies the soul (the most important part of a human being) from moral vices including greed, arrogance, jealousy, the machinations of human ego, and other noxious qualities. This is the starting point of a human transformation from a lowly instinctual nature to a state of eternal bliss. This state is characterized by a sincere love for God and the Prophet (Peace be Upon him) as well as an ultimate surrender of ego to God's will. When the human soul is in full compliance with divine will, it becomes a mirror of God's attributes. The outward manifestation of this state can be seen in one's lofty character, and the inward manifestation is reflected in the development of a certain spiritual intuition called *ma'rifa*.

In order to attain this state, a disciple follows Shari'ah under the guidance of a spiritual teacher called a sheikh. He also develops his soul through individual and communal *dhikr* (remembrance of God) and by receiving blessings from the company of his sheikh. Gradually his heart is blessed with an inner perception or intuition by which it can acquire intrinsic knowledge and can decide among right and wrong beliefs and practices. Another meditative practice followed by the disciples is *muraqaba* (contemplation) in order to attain higher spiritual stations. However, these spiritual voyages to the celestial stations are not possible without the guidance of the spiritual teacher and without the sincerity of intention. The outcome of all the stations, states, and practices is that one receives love of God, *ishq-i haqiqi*, with the understanding that all creation is His creation and God loves that person the most who is of greatest service to His creation.

There are several organizational implications of this radical imaginary which can be a driving force behind individual and organizational transformation. For example, the first change would be in organizational purpose from the present stakeholder wealth maximization to serve humanity and seek the pleasure of God. This will infuse the organization and its members with a universal meaning system and provide them with an ultimate purpose. Such a purpose will transform their horizon from the ephemerality of this material world to the certainty of the afterworld. Additionally, this imaginary will transform the conduct of the organizational leader, organizational decision making processes, internal control mechanisms, and the type of ethics the organization embodies. These are only some of the changes that we think will definitely benefit organizations, but we look forward to other researchers developing their own solutions by using the Sufi radical imaginary of *ishq-i haqiqi*.

Cross-References

► An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
► Management and Franciscan Spirituality as a Source for Personal and Organizational Transformation
► Spiritual Disciplines for Transformation, Renewal, and Sustainable Leadership

References

Adamson P (2015) Philosophy in the Islamic world: a very short introduction. Oxford University Press, Oxford

Algar H (1982) The path of God's bondsmen from origin to return: a Sufi compendium by Najm al-Din Razi, known as Daya. Caravan Books, Delmar

Amin S (1988) Eurocentrism. Monthly Review Press, New York

Attar FA-D (1966) Muslim saints and mystics: episodes from the Tadhkirat Al-Auliya' (trans: Arberry AJ). Routledge, London

Azeemi KS (2005) Muraqaba: the art and science of Sufi meditation. Plato Publishing, Sydney

Bashir S (2011) Sufi bodies: religion and society in medieval Islam. Columbia University Press, New York

Berberoglu B (ed) (2014) The global capitalist crisis and its aftermath: the causes and consequences of the Great Recession of 2008–2009. Ashgate, Burlington

Bouckaert L (2015) Spirituality: the missing link in business ethics. In: Zsolnai L (ed) The spiritual dimension of business ethics and sustainability management. Springer, Dordrecht, pp 15–26

Böwering G (2001) The light verse: Qur'anic text and Sufi interpretation. Oriens 36:113–144

Brown JAC (2009) Hadith: Muhammad's legacy in the medieval and modern world. Oneworld, Oxford

Brown J (2014) Misquoting Muhammad: the challenge and choices of interpreting the Prophet's legacy. Oneworld, London

Brown J (2015) Is Islam easy to understand or not?: Salafis, the democratization of interpretation and the need for the ulema. J Islam Stud 26(2):117–144

Brown J (2016) The shariah, homosexuality and safeguarding each other's rights in a pluralist society. http://almadinainstitute.org/blog/the-shariah-homosexuality-safeguarding-each-others-rights-in-a-pluralist-so/. Accessed 5 May 2017

Brown WS, Murphy NC, Malony HN (eds) (1998) Whatever happened to the soul? Scientific and theological portraits of human nature. Fortress Press, Minneapolis

Buehler AF (2015) Sufi contemplation: 'Abdullah Shah's *Suluk-i Mujaddidiyya*. In: Komjathy L (ed) Contemplative literature: a comparative sourcebook on meditation and contemplative prayer. SUNY Press, Albany, pp 307–358

Buehler AF (2016) Recognizing Sufism: contemplation in the Islamic tradition. I. B. Tauris, London

Burckhardt T (1976) Introduction to Sufi doctrine (trans: Matheson DM). Thorsons Publishers, Wellinborough

Cabantous L, Gond J-P (2011) Rational decision making as performative praxis: explaining rationality's *eternel retour*. Organ Sci 22(3):573–586

Calabretta G, Gemser G, Wijnberg NM (2016) The interplay between intuition and rationality in strategic decision making: a paradox perspective. Organ Stud 38(3–4):365–401

Campo JE (2009) Encyclopedia of Islam. Facts On File, New York

Cartwright S, Holmes N (2006) The meaning of work: the challenge of regaining employee engagement and reducing cynicism. Hum Resour Manag Rev 16(2):199–208

Castoriadis C (1994) Radical imagination and the social instituting imaginary. In: Robinson G, Rundell J (eds) Rethinking imagination: culture and creativity. Routledge, London, pp 136–154

Chan-Serafin S, Brief AP, George JM (2013) How does religion matter and why? Religion and the organizational sciences. Organ Sci 24(5):1585–1600

Chittick WC (1989) The Sufi path of knowledge: Ibn al-'Arabi's metaphysics of imagination. State University of New York Press, Albany

Chittick WC (1992) Faith and practice of Islam: three thirteenth-century Sufi texts. SUNY Press, Albany

Chittick WC (1994) Imaginal worlds: Ibn al-'Arabi and the problem of religious diversity. SUNY Press, Albany

Chittick WC (1995) The divine roots of human love. JMIAS 17:55

Chittick WC (2000) Sufism: a short introduction. Oneworld, Oxford

Chittick WC (2004) On the cosmology of *dhikr*. In: Cutsinger JS (ed) Paths to the heart: Sufism and the Christian East. World Wisdom, Bloomington, pp 48–63
Chittick WC (2005) The Sufi doctrine of Rumi. World Wisdom, Bloomington
Chittick WC (2014) Love in Islamic thought. Relig Compass 8(7):229–238
Chodkiewicz M (1993) An ocean without shore: Ibn Arabi, the book, and the law (trans: Streight D). State University of New York Press, Albany
Corbin H (1969) Creative imagination in the Sufism of Ibn ‘Arabi. Princeton University Press, Princeton
Cornell RE (1999) Early Sufi women. Fons Vitae, Louisville
Council on Foreign Relations (2015) A conversation with shaykh Abdallah bin Bayyah. http://www.cfr.org/radicalization-and-extremism/conversation-shaykh-abdallah-bin-bayyah/p36726. Accessed 5 May 2017
Crane A, Matten D (2010) Business ethics: managing corporate citizenship and sustainability in the age of globalization. Oxford University Press, Oxford
Dakake MM (2006) “Walking upon the path of God like men”? Women and the feminine in the Islamic mystical tradition. In: Michon J-L, Gaetani R (eds) Sufism: love & wisdom. World Wisdom, Bloomington, pp 131–152
Delanty G (1995) Inventing Europe: idea, identity, reality. Palgrave Macmillan, Basingstoke
Diaz MD (2015) Women in Sufism: female religiosities in a transnational order. Routledge, New York
Eid M, Karim KH (eds) (2014) Re-imagining the other: culture, media, and Western-Muslim intersections. Palgrave Macmillan, Basingstoke
Eidinow E, Kindt J, Osborne R (eds) (2016) Theologies of ancient Greek religion. Cambridge University Press, Cambridge
Elias JJ (2013) Sufi *dhikr* between meditation and prayer. In: Eifring H (ed) Meditation in Judaism, Christianity and Islam: cultural histories. Bloomsbury, London, pp 189–200
Ercanbrack J (2015) The transformation of Islamic law in global financial markets. Cambridge University Press, Cambridge
Ernst CW (ed) (2013) Islamophobia in America: the anatomy of intolerance. Palgrave Macmillan, Basingstoke
Ernst CW, Lawrence BB (2002) Sufi Martyrs of love: the Chishti order in South Asia and beyond. Palgrave Macmillan, New York
Esposito JL, Kalin I (eds) (2011) Islamophobia: the challenges of pluralism in the 21st century. Oxford University Press, Oxford
Fawzi S (2015) Social and political Islamophobia: stereotyping, surveillance, and silencing. In: Tottoli R (ed) Routledge handbook of Islam in the West. Routledge, New York, pp 229–243
Fisk R (1999) The West’s fear of Islam is no excuse for racism. The Independent, 7 Nov
Fleming P, Jones MT (2013) The end of corporate social responsibility: crisis & critique. Sage, London
Frager R, Fadiman J (2005) Personality and personal growth, 6th edn. Pearson Education, New Delhi
Frembgen JW (2004) From dervish to saint: constructing charisma in contemporary Pakistani Sufism. Muslim World 94(2):245–257
Freud S (1915/1959) Thoughts for the times on war and death. In: Riviere J (ed) Sigmund Freud: Collected Papers, Volume 4. Basic Books, New York
Gardener RWRW (1917) Al-Ghazali as Sufi. Muslim World 7(2):131–143
Gerholm T (1994) Two Muslim intellectuals in the postmodern West: Akbar Ahmed and Ziauddin Sardar. In: Ahmed AS, Donnan H (eds) Islam, globalization and postmodernity. Routledge, London, pp 187–208
Grandori A (2013) Epistemic economics and organization: forms of rationality and governance for a wiser economy. Routledge, London
Grugulis I, Dundon T, Wilkinson A (2000) Cultural control and the ‘culture manager’: employment practices in a consultancy. Work Employ Soc 14(1):97–116

Hallaq WB (2009) An introduction to Islamic law. Cambridge University Press, Cambridge
Hallaq WB (2013) The Impossible State: Islam, Politics, and Modernity's Moral Predicament. Columbia University Press, New York
Helminski CA (2013) Women of Sufism: a hidden treasure. Shambhala, Boston
Hermansen MK (1988) Shah Wali Allah's theory of the subtle spiritual centers (*Lataif*): a sufi model of personhood and self-transformation. J Near East Stud 47(1):1–25
Hermansen MK (1997) Visions as 'good to think': a cognitive approach to visionary experience in Islamic Sufi thought. Religion 27(1):25–43
Isenberg DJ (1984) How senior managers think. Harv Bus Rev 62(6):81–90
Izutsu T (1983) Sufism and Taoism: a comparative study of key philosophical concepts. University of California Press, Los Angeles
Jackall R (2010) Morality in organizations. In: Hitlin S, Vaisey S (eds) Handbook of the sociology of morality. Springer, Dordrecht, pp 203–210
Jessop B (2012) Economic and ecological crises: green new deals and no-growth economies. Development 55(1):17–24
Jones C, ten Bos R, Parker M (2005) Business ethics: a critical approach. Routledge, London
Kabbani MH (2003) Classical Islam and the Naqshbandi Sufi tradition, 2nd edn. Islamic Supreme Council of America (ISCA), Fenton
Keller NHM (1995) The place of tasawwuf in traditional Islamic sciences. http://www.masud.co.uk/ISLAM/ahm/newmadhh.htm
Keynes JM (1963) Essays in persuasion. W. W. Norton, New York
Khan AY (1965) Dalael us-Suluk (trans: Talha A). Idarah-e Naqshbandiah Owaisiah, Chakwal
Khan FR, Koshul BB (2011) Lenin in Allah's court: Iqbal's critique of Western capitalism and the opening up of the postcolonial imagination in critical management studies. Organization 18(3):303–322
Khan FR, Naguib R (2014) Reviving hearts and souls in managers: a Ghazalian Sufi perspective. In: Lupton NC, Pirson MA (eds) Humanistic perspectives on international business and management. Palgrave Macmillan, Basingstoke, pp 68–80
Komporozos-Athanasiou A, Fotaki M (2015) Imagination in organizational creativity: insights from the radical ontology of Cornelius Castoriadis. In: Garud R, Simpson B, Langley A, Tsoukas H (eds) The emergence of novelty in organizations. Oxford University Press, New York, pp 80–102
Lamptey JT (2014) Never wholly other: a Muslima theology of religious pluralism. Oxford University Press, Oxford
Le Gall D (2004) A culture of Sufism: Naqshbandis in the Ottoman World, 1450–1700. State University of New York Press, Albany
Lewis FD (2000) Rumi – past and present, East and West: the life, teachings, and poetry of Jalal al-Din Rumi. Oneworld, London
Lings M (1975) What is Sufism? Allen & Unwin, London
March JG (1991) How decisions happen in organizations? Hum Comput Interact 6:95–117
Martin JM, Knopoff K, Beckman CM (1998) An alternative to bureaucratic impersonality and emotional labor: bounded emotionality at the Body Shop. Adm Sci Q 43(2):429–469
Mathiesen K (2013) Anglo-American 'traditional Islam' and its discourse of orthodoxy. J Arab Islam Stud 13(10):191–219
McCormick R (2010) Legal risk in the financial markets, 2nd edn. Oxford University Press, Oxford
Metcalf B (1994) Remaking ourselves': Islamic self-fashioning in a global movement of spiritual renewal. In: Marty M, Appleby S (eds) Accounting for fundamentalisms. University of Chicago Press, Chicago, pp 706–725
Milani M (2013) The subtle body in Sufism. In: Samuel G, Johnston J (eds) Religion and the subtle body in Asia and the West: between mind and body. Routledge, London, pp 168–184
Mintzberg H, Raisinghani D, Theoret A (1976) The structure of 'unstructured' decision processes. Adm Sci Q 21(2):246–275

Mitchell RK, Weaver GR, Agle BR, Bailey AD, Carlson JD (2016) Stakeholder agency and social welfare: pluralism and decision making in the multi-objective corporation. Acad Manage Rev 41(2):252–275
Moad EO (2007) A path to the Oasis: Sharīʻah and reason in Islamic moral epistemology. Int J Philos Relig 62(3):135–148
Mohanty CT (1988) Under Western eyes: feminist scholarship and colonial discourses. Fem Rev 30:61–88
Motzki H (2016) Hadith: origins and development. Routledge, New York
Murad AH (1999) Understanding the four madhabs. http://www.masud.co.uk/ISLAM/ahm/newmadhh.htm
Mythen G, Walklate S, Khan F (2009) 'I'm a Muslim, but I'm not a terrorist': victimization, risky identities and the performance of safety. Br J Criminol 49(6):736–754
Najib-ur-Rehman M (2014) Sultan Bahoo: the life and teachings (trans: Malik YK, Moghees A, Tara N). Sultan-ul-Faqr Publications, Lahore
Nasr SH (1972) Sufi essays. Allen & Unwin, London
Neal J (2006) Edgewalkers: people and organizations that take risks, build bridges and break new ground. Greenwood Praeger, Westport
Nelson JA (2016) Poisoning the well, or how economic theory damages moral imagination. In: DeMartino GF, McCloskey DN (eds) The Oxford handbook of professional economic ethics. Oxford University Press, Oxford, pp 184–199
Neubert MJ, Halbesleben K (2015) Called to commitment: an examination of relationships between spiritual calling, job satisfaction, and organizational commitment. J Bus Ethics 132(4):859–872
Nguyen M (2016) Sufi theological thought. In: Schmidtke S (ed) The Oxford handbook of Islamic theology. Oxford University Press, Oxford
Nurbakhsh D (1990) Sufism and psychoanalysis. Sufi 5:5–10
Orwell G (1949) 1984. Secker & Warburg, London
Ormsby EL (1984) Theodicy in Islamic Thought: The Dispute Over Al-Ghazali's Best of All Possible Worlds. Princeton University Press, Princeton
Parker M (ed) (1998) Ethics & Organizations. Sage, London
Pfister JA (2009) Managing organizational culture for effective internal control: from practice to theory. Springer, Berlin
Pskhu R (2011) Poetic expressions in Sufi language (based on al-Niffary's "kitab al-mawaqif"). In: Tymieniecka A-T (ed) Sharing poetic expressions: beauty, sublime, mysticism in Islamic and occidental culture. Springer, Heidelberg, pp 213–216
Ridgeon L (2015) Mysticism in medieval Sufism. In: Ridgeon L (ed) The Cambridge companion to Sufism. Cambridge University Press, Cambridge, pp 125–149
Riedner RC (2015) Writing neoliberal values: rhetorical connectivities and globalized capitalism. Palgrave Macmillan, Basingstoke
Rizvi SH (2005) Mysticism and philosophy: Ibn Arabi and Mulla Sadra. In: Adamson P, Taylor RC (eds) The Cambridge companion to Arabic philosophy. Cambridge University Press, Cambridge, pp 224–246
Royal Aal Al-Bayt Institute for Islamic Thought (2012) Condemning terrorism: statements from Muslim leaders. Royal Aal Al-Bayt Institute for Islamic Thought, Amman
Rozehnal R (2007) Islamic Sufism unbound: politics and piety in twenty-first century Pakistan. Palgrave Macmillan, Basingstoke
Saeed A (2007) Media, racism and Islamophobia: the representation of Islam and Muslims in the media. Sociol Compass 1(2):443–462
Said EW (1979) Orientalism: western representations of the orient. Vintage Books, New York
Said EW (2000) A devil theory of Islam. The Nation, (This is a newspaper report; also available at https://www.thenation.com/article/devil-theory-islam/)
Salas E, Rosen MA, DiazGranados D (2010) Expertise-based intuition and decision making in organizations. J Manag 36(4):941–973

Saniotis A (2007) Mystical mastery: the presentation of *Kashf* in Sufi divination. Asian Anthropol 6(1):29–51
Schimmel A-M (1975) Mystical dimensions of Islam. University of North Carolina Press, Chapel Hill
Schnell T, Hoge T, Pollet E (2015) Predicting meaning in work: theory, data, implications. In: Leontiev DA (ed) Positive psychology in search for meaning. Routledge, London, pp 87–98
Shafii M (1988) Freedom from the self: Sufism, meditation, and psychotherapy. Human Sciences Press, New York
Sharifian F (2013) Conceptualisations of *ruh* 'spirit/soul' and *jesm* 'body' in Persian: a Sufi perspective. In: Caballero R, Vera JED (eds) Sensuous cognition: explorations into human sentience: imagination, (e)motion and perception. Walter de Gruyter, Berlin, pp 251–264
Shehadi FA (1964) Ghazali's unique unknowable God. E. J. Brill, Leiden
Sinclair M, Sadler-Smith E, Hodgkinson GP (2009) The role of intuition in strategic decision making. In: Costanzo LA, MacKay RB (eds) Handbook of research on strategy and foresight. Edward Elgar, Cheltenham, pp 393–417
Smith M (1994) Rabi'a: the life and work of Rabi'a and other women mystics of Islam. Oneworld, Oxford
Sofos SA, Tsagarousianou R (2013) Islam in Europe: public spaces and civic networks. Palgrave Macmillan, Basingstoke
Spicer A, Alvesson M, Kärreman D (2016) Extending critical performativity. Hum Relat 69(2):225–249
Stepaniants MT (1994) Sufi wisdom. SUNY Press, Albany
Stover D (1988) Orientalism and the otherness of Islam. Stud Relig 17(1):27–40
Sviri S (2002) The self and its transformation in Sufism. In: Shulman D, Stroumsa GG (eds) Self and self-transformation in the history of religions. Oxford University Press, Oxford, pp 195–215
Temple-Ralston D (2015) Prominent Muslim sheikh issues fatwa against ISIS violence. http://www.npr.org/2014/09/25/351277631/prominent-muslim-sheikh-issues-fatwa-against-isis-violence
Toor S-u-R, Ofori G (2009) Ethical leadership: examining the relationships with full range leadership model, employee outcomes, and organizational culture. J Bus Ethics 90(4):533–547
Tracey P, Phillips N, Lounsbury M (eds) (2014) Research in the sociology of organizations, Volume 41: religion and organization theory. Emerald Group, Bingley
Treviño LK, Butterfield KD, McCabe DL (1998) The ethical context in organizations: influences on employee attitudes and behaviors. Bus Ethics Q 8(3):447–476
Tucker E (2016) The Middle East in modern world history. Routledge, London
Tymieniecka A-T (ed) (2011) Sharing poetic expressions: beauty, sublime, mysticism in Islamic and occidental culture. Springer, Heidelberg
Ul-Haq S, Westwood RI (2012) The politics of knowledge, epistemological occlusion and Islamic management and organization knowledge. Organization 19(2):229–257
Weeramantry CG (1988) Islamic jurisprudence: an international perspective. Palgrave MacMillan, Basingstoke
Weiss BG (1998) The spirit of Islamic law. University of Georgia Press, Athens
Wielandt R (2016) Main trends of Islamic theological thought from the late nineteenth century to present times. In: Schmidtke S (ed) The Oxford handbook of Islamic theology. Oxford University Press, Oxford
Yarshater E (ed) (2009) Mystical poems of Rumi (trans: Arberry AJ). University of Chicago Press, Chicago
Zaccai E (2012) "Greening the crisis": the place of environmental factors in its story and aftermath. In: Schuerkens U (ed) Socioeconomic outcomes of the global financial crisis: theoretical discussion and empirical case studies. Routledge, New York, pp 23–37

Organizational Integration

Mel Toomey

Contents

Abstract

Imagine an organization where people's visions and commitments for the future are not compromised and where they can work together aligned in what they see and understand. This chapter is an exploration of how such an organization *could become possible*. This chapter presents a theory of organizations based on decades of experience working to bring out the full potential

M. Toomey (✉)
Center for Leadership Studies, Goshen, CT, USA
e-mail: meltoomey@me.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_73

of organizational systems. I describe three interdependent sub-systems of organizations – human systems, business systems, and developmental systems. I then describe three organizational disciplines – leadership, management, and development. Other key concepts discussed are the nature of reality in relationship to organizations, organizations as systems, and organizations as field phenomena. The chapter concludes with a discussion about the importance of integration of the human systems, the business systems, and the developmental systems.

Keywords
Business systems · Organizational development · Field theory · Leadership · Management · Quantum physics · Systemic change · Transformation

Organizational Integration

"*Change is the process by which the future invades our lives*."
Alvin Toffler

Introduction: What Is an Organization?

While we talk about organizations all the time, we seldom stop to ask: What is an organization? Why do organizations exist? How are they designed? We may assume that we already know the answers, and perhaps we do. There is a compelling evidence in our society that our implicit answers are no longer sufficient to handle the challenges people working in organizations face today. Every day, we see the evidence for this in the news and in our own organizations. What follows is a theory of organizations based on over 50 years of personal observation, with the last 20 years spent formulating the theory and checking it against my observations. The elements of this theory that will be discussed in the material that follows include:

- Human systems, business systems, and developmental systems as the three primary sub-systems of organizations
- The three disciplines within organizations, leadership, management, and development, and their functions
- Organizations as systems
- The two classes of reality
- Organizational reality
- Language and reality
- A language for non-physical reality
- Organizations as field phenomena
- Modes and strategies for thinking about organization
- A taxonomy for organizations

Two Primary Sub-systems: Complex and Chaotic Systems

Organizations are complex, chaotic systems comprised of three essential sub-systems: human systems, business systems, and developmental systems. The day-to-day business of any organization is structured by its business systems and conducted by its human systems. While business and human systems are distinct, they are also closely interrelated. It is the interface between them, developmental systems, that constitutes an organization. An important distinction is as follows: Organization's business systems derive from its human systems, but the reverse is never true. While business systems are very important and impact on human systems to a degree, they are the overarching concern of only a small fraction of an organization's population. The majority of people working within an organization are concerned with its human systems – what people are committed to, how they work together, and what they need to get their jobs done. Too often, these things are not recognized within an organization's business systems.

Not having a clear distinction between business systems and human systems can also lead to waste in the application of human resources. We can witness such waste in any number of circumstances, for example, when moments of extraordinary creativity are followed by unpredictable results. A dubious form of "cleansing" usually follows, along with a squashing of the very means through which the creativity had emerged. The justification often used by management is that people went outside the established rules of engagement to produce the results. They are told, "This is not the way we do things around here." Sometimes when extraordinary results are produced people are told, "We expect this of our people." Or "Compared with our competition we still have a long way to go." Neither response is empowering. Even when the results justify the means, if the rules get broken to produce the results, it is considered the worst possible offense. If we are totally honest about it, most of us frequently break the rules of our organizations. Sometimes rule breaking is actually systemic and includes unwritten rules for engagement around breaking the rules for engagement.

One of my favorite examples of rule breaking that ultimately paid off is the survival of GM's Corvette. Back in the early 1950s, Harley Earl, GM's famous head of design, wanted to build a roadster for college students that would sell for about $1800. Right from the start, his brainchild faced extraordinary challenges to its existence. For those interested in the early history of the Corvette's survival story, details are available at http://100megsfree4.com/corvette/1950/vet56-1.htm.

Not included on this site is an incredible story that appeared on March 18, 1997, on the Money section front page of *USA Today*:

Covert Activity Saved Sports Car

> The 1997 Chevrolet Corvette is an amazing car, mostly because it exists at all. A cadre of Corvette lovers inside General Motors lied, cheated and stole to keep the legendary sports car from being eliminated during GM's management turmoil and near bankruptcy in the late 1980s and early '90s.
>
> In fact, GM's auditors and security staff wound up probing Chevrolet for suspected embezzlement because more than $1 million had been secretly diverted to unauthorized Corvette test vehicles. Chevy General Manager Jim Perkins, now retired, told GM sleuths he

> did it: "We needed the cars. It was that important. And if I have to resign my job and find a way to pay you back out of my own pocket, I'll do it." That ended the inquiry.

The article later continues:

> "Were they doing something outside the system?" GM spokesman William O'Neill asked rhetorically, answering. "At the time, the system was broken and needed to be fixed. Today's system has been fixed, not completely, but enough that people wouldn't be put in that same position again." (Healey 1997: 1B)

The story goes on to relate how the team broke rules, laws, and traditions, such as forcing designers and engineers to cooperate and work together as a team, to bring the car to market. The full story is recounted in *All Corvettes Are Red*, by James Schefter (1997). This is a classic example of how we risk destroying creative thinking in an organization when we don't fully understand how business, human, and developmental systems work and how they are interrelated. The question is how can we respect the rules for engagement on one hand and, on the other, honor creativity and the willingness to break with conventions and norms to forward the purpose of our organizations?

One view is to change people – that's the answer. While this is, in my view, a valid statement, I am not sure this view provides the greatest leverage for change. A better understanding of organization may have far more leverage. To better understand the concept of organization, we need new ways to think about organizations. If we can see the inner workings of organization, find the levers for systemic change, and understand the design of the interface between business, people, and organization, and then I am certain there is considerable leverage available.

Overview of Organizations as Systems

Three organizational disciplines. Organizations can be thought of as systems comprised of three overarching organizational disciplines: leadership, development, and management. In organizations where the nature of systems is neither appreciated nor understood, these three disciplines collapse into an indistinguishable blur. When these disciplines are appropriately defined, leadership is concerned primarily with human systems, management with business systems, and development with the interface between the two. Development focuses on developmental issues at the scale of the entire organization.

Management

Of the three disciplines, management has the most visibility. As the steward of organizations, it is concerned with continuous improvement of business systems. If we assume that the fundamental objectives of management are the creation and maintenance of *reliability*, *predictability*, and *certainty* for the business, then management's preeminence is appropriate.

Leadership

Leadership gets a lot of airtime, and most people agree that it's important to organizations, but many organizations give little or no formal attention to its role or quality. Its "seat at the table" is seldom equal to that of management. Discussions about leadership usually lead to people telling stories about their favorite leaders or sharing what they think leadership *really* is, citing books and programs to reinforce their views. Odds are good that a conversation about leadership will move from discussion to debate, since books and programs take very diverse approaches on the subject. After a few rounds, debate usually devolves into an agreement to disagree, after which people become less inclined to share what they're really thinking. "Been there, done that, not worth it," they rationalize, until they locate others who agree with them. Then private conversations follow which satisfy individuals and make little difference to the organization. In many organizations, this seemingly endless set of conversations serves only to neutralize the development of their leaders.

What is the function of leadership? Topping the list of the most important things leadership provides is *new possibilities* for an organization's business. Possibilities arise when people are in communication and communication is understood to be a cornerstone for human systems. Possibilities are more than ideas about new or different ways of doing things. They are distinct in that they not only alter the future of the organization, but they also reach back into the organization's history to recontextualize it, bring new meaning to its history, and empower the work done so far.

From my research and consulting work, I have found that most views about leadership and approaches to developing leaders share related roots. While some views appear to be opposing, when held in the appropriate context, they are actually complementary.

Unlike management, the field of leadership is not highly codified, with a consistent body of knowledge about what constitutes leadership. From a linguistics point of view, codification is the process of *standardizing a language* that was not previously crystallized in *writing*. While a lot has been written *about* leadership, it has not been treated as a language and codified to nearly the same extent as management. So that leaves leadership open to a much wider range of views, interpretations, and opinions. Perhaps the nature of leadership does not allow for the same levels of codification as does management. In fact, a good case can be made that attempts to codify leadership actually disempower our relationship with it. That leads us to inquire: What if our understanding of leadership would benefit from an approach that is distinct from codification?

Understanding the distinctions between management and leadership is fundamental to understanding organizations. These disciplines are neither differing levels of the same thing nor interchangeable disciplines. Rather, they operate interdependently with developmental systems serving as an intermediator between them. When we understand this, we can begin to apprehend organizations as systems comprised of systems. It is then possible to find key points from which to leverage systemic change.

Development

Development serves as the intermediator between management and leadership, building bridges between the possibilities accessed by leadership and the realities handled by management. The goal of development is to bring *efficacy* to possibility, thus grounding it into a manageable reality. This process of transformation takes place across a spectrum of *feasibility* that begins with possibility and concludes with a manifest new reality – literally, transforming of possibility into reality. With many missteps and failures along the way, it is seldom a smooth ride.

Because most organizations have limited tolerance for anything beyond what can be shown to be reliable, predictable, and certain, the discipline of development is generally under-regarded. Yet, the more an organization resists distinguishing and recognizing this discipline, the more likely that sub-rosa groups will emerge which are engaged in development activities. Even when they have no management agreement or support, these groups carve out a space for development. Some become so well organized that they can take on the appearance of secret societies. Knowing that their work is not sanctioned, they stay out of sight, working for a perceived "common organizational good." As shown above in the Corvette story, in some cases, their work actually contradicts specific management decisions. They stay below the radar, work hard, and trust the results they produce which are sufficient to later gain forgiveness for transgressing the established norms.

Creative Development

While they may not always be hidden, development activities are frequently not actively revealed. For example, my company, the Generative Leadership Group, was asked by the newly hired divisional head of HR, we'll call her Mary, to consult with a large processing service division of a major financial institution. The division employed a few thousand people, the majority of whom were earning between $10 and $15 per hour. Our assignment was to work with the division's senior management to develop their leadership abilities. We discussed her expectations and agreed that we could fulfill them. We had worked with Mary previously, when she was the head of HR for a large division of a major drug company. Because she had established her jurisdiction in the drug company, her request to fund our program was granted without much question. At the financial institution, her request was denied, and attempts to overcome the denial were politely, but firmly, rebuffed.

Mary asked us to wait until she could find a way to move forward with our assignment. True to her word, she called several months later and reported, "I have the funding now." She had applied for a grant from a state fund set aside to develop leadership that would impact people living in inner cities – as did most of this division's employees. So, we launched the leadership development program, along with other work for which she had received grant money. The results proved to Mary's superiors that funding her requests for developing leadership was a good investment. She was then able to procure a budget for training and development in her division that did not require grants.

However, Mary did not stop there. When she learned that her company would pay 80% of the tuition for any accredited degree program, she made a deal with a local university to provide a 2-year associate degree for some of the division's hourly workers at a reduced cost in exchange for making sure that their program registration was filed. Mary set up internal support for those interested in pursuing an associate degree. She helped people fill out applications, arranged for temporary funding of tuition until the company reimbursements were processed, and found that many of her people had attended a university in their homeland and welcomed the opportunity to continue their education. In January of 2004, workers in Mary's division filed two programs at the university, and she is now negotiating for a similar arrangement on a 4-year degree program.

Mary did not operate outside the policies of her organization. She came up with creative ways to work within constraints and to find approaches to her development objectives that were consistent with the objectives of her company's management. She says she is fairly certain that if she had asked permission to do these things, she would have been denied. This is a good example of how development can work when an individual takes initiative and is able to make a difference. To be effective in her efforts at development, Mary had to think creatively about how to meet her objective.

Organizational Leadership: Is It Theory or Theoretical?

At this point, it's important to understand the distinction between a theory and what is theoretical. Awhile ago, a friend and colleague, who heads a small New England university specializing in Master's degrees for new fields of study, reviewed my material. He commented, "What you are saying here has the makings of a compelling theory." In recounting the conversation over the next few weeks, I realized that my friend uses language in a very deliberate, specific way. He had used the word *theory*, not *theoretical*. As I brushed up on the distinction between the two terms, I saw something that influenced how I was thinking about organizations and about leadership:

The word *theory* derives from the Greek *theorein*, which means "to look at." Theories are based on *what has been observed.* In science, a theory is called a *hypothesis*. While the terms *theory* and *theoretical* are related in derivation, *theoretical* is once removed from its origin. What is considered *theoretical* is based on *something that has not yet been observed*. In science, this is called *conjecture*. For example, black holes were *theoretical* (based on conjecture) before they were observed, and now that they are observable, we have an emerging theory of black holes.

With this in mind, I conclude that what is presented in this chapter is a theory about organizations based on the critical observations of participating observers. Therefore, it is more of a hypothesis than a conjecture. Readers working inside of organizations, as well as scholars studying organizational phenomena, can judge for themselves just how much this theory helps them understand their own experiences and observations.

Organizations and Reality

While modern organizations have been examined extensively in case studies, they remain largely unexplained in terms that give us direct access to the potential of this domain. There is no unified theory for organizations, one that accounts for all possible manifestations. Perhaps the realm of organizations, like leadership, does not lend itself to codification. Therefore, we will need a theory to deal with it.

At this time, we have myriad models for organizations, most of which are valid but seem to place organizations in categories, such as pharmaceutical, consumer products, financial services, community base, profit, not for profit, etc. This categorical approach even reaches down to individual organizations, such as Ford, IBM, Citibank, and Microsoft, which have been observed and modeled in case studies that are useful for people who work within each organization and somewhat useful for others in their industries, as well. Yet, a foundational examination of organizations has yet to be undertaken – one that would account for the fundamental nature of most, if not all, organizations. Such an examination would provide an understanding of organizations of all types – community, enterprise, governmental, and military. To accomplish this, we must first make a shift in thinking that changes our view of organizations and the way we think them. Today, we view organizations categorically, classifying them according to type, industry, and function. What if we could see organizations in dimensional rather than categorical terms? When we view something through a categorical lens, our understanding of it includes *prescribed meaning*. When we expand our observation of something to include its many dimensions, we also have the possibility of viewing *generated meaning* – the kind of meaning that is not, and perhaps cannot, be foretold or worked out in advance. *This chapter explores* the development of such a dimensional view – a view in which holographic representations become possible. With this understanding, we can then begin to examine the processes of integrating change and transformation.

A Traditional View for Defining an Organization

When we speak of organizations, what do we mean? The topic is a broad one, but generally, an organization is defined as a group of people with one or more shared goals operating in a formal structure. It is useful to note that a broad, well-done definition does not constitute a theory, unified or categorical. However, defining the subject provides a useful starting point for us. The following is the Encarta Dictionary's (2009) definition of an organization:

or·gan·i·za·tion (plural **or·gan·i·za·tions**) noun

Organization – a social unit of people that is structured and managed to meet a need or to pursue collective goals. All organizations have a management structure that determines relationships between the different activities and the members, and subdivides and assigns roles, responsibilities, and authority to carry out different tasks. Organizations are open systems – they affect and are affected by their environment.

Reference: http://www.businessdictionary.com/definition/organization.html

Each aspect of this definition is in concert with my experience and observations. Yet, while each seems to point to what organizations are, none provides access to their basic nature. Before we begin to look more closely at the underlying nature of organizations, we will broaden the work of defining them categorically. Management science provides a more specific look into organizations by categorizing them into five types (Scott 2016; Handy 2005; Peter and Hull 1976; Coase 1990):

- Pyramids or hierarchies
- Committees or juries
- Matrix organizations
- Ecologies
- Composite organizations

Management science is often used synonymously with **operations research** because the underlying thinking for both disciplines is similar, yet there are specific distinctions in the way the terms are used. As defined below, operations research is concerned with the problems of industrial engineering. Management science is concerned with the problems of business management:

- **Operations research**
  Addresses industrial engineering challenges. Provides aids for decision-making around complex real-world (physical) systems to improve performance.
- **Management science**
  Addresses business management challenges. Provides aids for decision-making around complex business (non-physical) systems to improve performance.

Here, as in many other attempts to address problems within organizational systems, we find a physical world model used as the precursor for addressing non-physical world challenges. What solves physical world problems may well serve as a good means for understanding non-physical world problems and for creating and applying variations of the "cause-and-effect" model of Newtonian physics to non-physical world business problems. Business systems seem to respond well to this approach, while human systems appear at first to respond to this approach for solving problems but then in only very limited ways.

For example, the well-documented 70–80% failure rate of reengineering initiatives in organizations provides a good example of the serious "limits-to-efficacy" that result when a model derived from the physical world is applied to non-physical world challenges. Perhaps this result can be attributed to not distinguishing the limitations inherent in this approach in its application to some aspects of business systems and most aspects of human systems.

Reengineering, as well as many other similar disciplines, has been applied across a wide range of industries with uniformly limited results that demonstrated consistently the "limits-to-efficacy" of such approaches. Despite this well-documented fact, we continue to think of organizations almost exclusively in terms of simple or complex "causes and effects." Even though notable attempts have been made to reach beyond such linear thinking, we are still caught inside this deep and pervasive worldview.

As detailed later, it is possible to expand our thinking about organizations beyond the limits of traditional thinking without defeating this approach but rather by picking up where it leaves off.

Organizational Structures

Thinking, in general, requires some type of language, be it words, gestures, images, or the like. Hence, the way we think about organizations is defined, even limited, by the language we use. The definitions that follow are examples of the language we typically use today to envision and give shape to organizations:

- **Pyramids and Hierarchies**
  A hierarchical structure allows an authority to direct others who have lesser authority. This is the classic bureaucracy. One "rises" through a hierarchy by seniority or by acquiring authority over more people. Pyramidal structures within hierarchies are used to achieve repeatable results because they are believed to provide the shortest path between the authority and standard-setter to the worker. Because this structure is only as good as its weakest link, it suffers from poor communication and supervisory faults and is lacking in creativity and the opportunity to innovate.

  The classic fix for the communication problem is a company newsletter. In another solution, people email their bosses about what has been done and what is planned, including an outline of current problems. Each boss makes a summary for his group and sends it up the chain of command. Then all the bosses send their summaries downward, appended to the summaries from their bosses. Each version represents a shift in context, agenda, and meaning, so the information does not necessarily communicate once it leaves its originating context and gets escalated and interpreted by the next level of context.

  Context is the source of meaning for the content of communication, and the context in which a communication originates is often distinct from the one in which it is subsequently received. As a result, the meaning of the content tends to morph. Because meaning is a significant shaper of action, the results of communications are too often inconsistent with the actions and results that are intended or needed. For simple, straightforward solutions, hierarchies have their place. For example, the hierarchical structure at the Printronix, a supplier of printing solutions, freed up cash equal to a year's revenue, sped up engineering cycles sixfold, reduced defects by two sigmas, increased inventory turns tenfold, and doubled product service life. People found out what to fix and where.

  The pitfalls of hierarchies are satirized in *The Peter Principle* (1976), a book that introduced the term *hierarchiology* and the axiom, "In a hierarchy every employee tends to rise to their level of incompetence."
- **Committees and Juries**
  Committees and juries make group decisions as peers, sometimes by casting votes. Whereas committees are usually assigned to perform or direct further

actions after making initial decisions, juries are charged only with reaching a particular decision. In common law countries, legal juries render decisions of guilt and liability and quantify damages.

Sometimes a selection committee functions like a jury. In the Middle Ages, juries in continental Europe were used to determine the law according to consensus among local notables. When committees lack structure, they can flounder aimlessly without making decisions. To help prevent floundering, they can use such methods as parliamentary procedure as described in *Robert's Rules of Order* (Robert and Patnode 1989), the more user-friendly *Interaction Method* (Doyle and Strauss 1992) of meeting design and facilitation, or its recent interpretation in *Roberta's Rules of Order*. Many groups designed as teams and function more like committees or juries than teams. Sometime a group starts out as a team and from there devolve into committee or jury.

- **Staff Organization or Cross-Functional Team**

  An expert's staff helps him get his work done. To this end, a "chief of staff" decides whether an assignment or problem is routine or unique. If it's routine, it's assigned to a staff member who is a junior expert. The chief of staff schedules the routine tasks and checks on their progress and completion.

  If a task is not routine but is critical, the chief of staff passes it on to the expert, who solves the problem and educates the staff, thereby converting the unique problem into a routine problem.

  A staff has the capacity to make decisions quickly and to carry out assignments efficiently, though less reliably than committees or matrices. For this reason, businesses often prefer to work through a staff. However, a staff can break down easily, usually because of issues between people. In the comic strip *Dilbert*, the boss is a non-expert trying to run a staff.

  An executive committee *can* be a staff with special expertise in choosing people. This is how the General Electric succeeded under Jack Welch. As with an executive committee, the boss of a "cross-functional team" *has* to be a non-expert, because so many arenas of knowledge are required.

- **Matrix Organization**

  On the face of it, this is the perfect organization. As illustrated below, the horizontal dimension is "functional," assuring that each type of expert in the organization is well trained and measured by a boss who is a super-expert in the same field. We can think of this as the professional services part of an organization. The vertical dimension is the "executive" branch of the organization in which the boss has a broad understanding of many areas of expertise. Operating together, these dimensions of the matrix initiate and complete projects through experts led by generalists or through experts led by experts interfacing with generalists. In any case, each intersection is a potential field for initiative.

  Matrix organizations can consistently create complex technical products like airplanes, engines, or software. Even so, it can take time to go through channels. Getting to the point of actually *doing* something can require the approval of each type of expert and each expert's boss! One way to speed up this procedure is to practice alignment. This is a way of moving things forward on the premise that it is more important to put the game in play than it is to get the game perfect before play (Carse 2011; Pinchot and Pellman 1999).

- **Ecologies**

  Based on the principle of "survival of the fittest," ecologies are good metaphors for organizations in which the culture encourages intense competition. Meritocracies, in which ability leads to position and authority, are a type of ecology, as is the ranking system used in the military. One could make a case that the Internet and other open source and free software projects are also run as forms of meritocracy that operate like ecologies.

  Ineffective groups in such an organization will starve and eventually "die," and effective groups will get more resources. Every group is paid through budget allocation for what they actually do, and in effect, runs a tiny "entrepreneurial" business that has to show consistent returns measured by results.

  Ecologies can be very effective organizations, but they can also be wasteful. While an ineffective group may have valuable training, it is very hard to recycle its people into other parts of the business if what was worked on is seen as a failure or the group is seen as ineffective. This can lead to bitterness, followed by reorganization and downsizing (Fig. 1).

  At the 1997 World Future Society conference, Tachi Kiuchi, former chairman and CEO of the Mitsubishi Electric America and chairman of the Future 500, gave an address entitled *What I Learned from the Rainforest*. In it, he illustrated how his experiences in the ecologies of the natural world influenced his approach to leading his company (Shireman and Kiuchi 2001).

- **Composite Organizations**

  A composite organization attempts to apply each of the above types of structures appropriately within the various functions of the organization. Very occasionally,

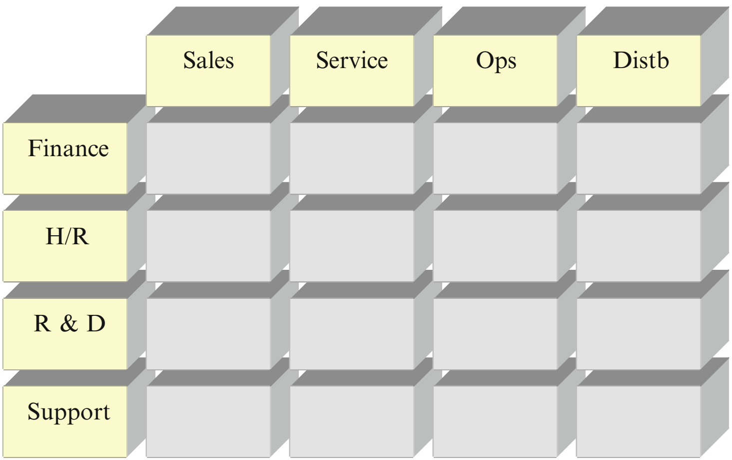


Fig. 1 Matrix organization

a true organizational genius can make this work for a while but not necessarily for the long term. Success can outgrow the ability of the genius and so many special cases can emerge that handling them becomes unmanageable.

One golden exception may be a hierarchy of staffs, where every staff above the first level works to find or develop the right people. This is the model used at the General Electric.

- **"Chaordic" Organizations**
  An emerging model of organizing human endeavors, based on a blending of chaos and order (hence "chaordic"), comes from the work of Dee Hock (1999), founding CEO of the Visa International, and his early creation of this multifaceted financial network. Blending democracy, complex systems, consensus decision-making, cooperation and competition, and the chaordic approach attempts to encourage organizations to evolve beyond the increasingly nonviable hierarchical, command-and-control models. More information about this experimental approach is available at www.chaordic.org.

Having reviewed some means of categorizing organizational types, we can recognize the reality of these categories, particularly the ones we have experienced. When we see something as being "real," we seldom ask ourselves what are the implications of applying this term.

What Is Reality?

The term *reality* is used in many ways and has many meanings. In common colloquial usage, *reality* means our individual "perceptions, beliefs, and attitudes" as in, "Well, that may be your reality, but it's not mine!" Some philosophers have contrasted *reality* with nonexistence. For example, a house made of pure silver is a possibility, but it's not real. Other philosophers theorize about reality by saying what it is, rather than what it is not.

How we interpret reality can also depend to a large extent on what we *say* it is not.

In ethics, arts, and political theory, reality is distinguished by contrasting *the ideal* and *the real*. In ethics, *ethical perfectionism* suggests that we have an obligation to be perfect human beings, which is *the ideal*. This is contrasted with our notions about human nature, which, combined with our experience of one another, forms our *reality*. As illustrated in the examples that follow, how we view human nature shapes our actions.

During the Romantic period, artistic portrayals represented *the ideal*. This was followed by the realism movement in the nineteenth century, which evolved into naturalism, where visual portrayals represented *the reality*.

In US politics, we have theories that fall generally into two broad camps – liberal and conservative. The reality of liberalism includes *the ideal* that it is possible for human nature to change. In direct contrast, conservative reality holds that human nature is not likely to change in any meaningful way. We actually live in a multiverse of realities with ample evidence that both views are true. What if our organizations not only exist in a multiverse but are themselves multiverses? What would this suggest?

As these examples illustrate, when the context shifts (ethics, art, politics), so does the meaning of reality. This suggests that *reality* is *context-dependent* and that we can't take our relationship to it for granted. This is a key point in our exploration and begs the question, "Do we spend enough time creating a context for projects and initiatives (intended future realities)? Do we build context into our communications?" If we do, are we also considering the context in which the communication will land?

While all the above models for structuring organizations are valid and provide contrast, they do not address the elements that constitute organizational reality. So I will not be drawing from them directly in our exploration. Rather, I'm inviting us to think of organizational reality in several other ways.

What Constitutes Organizational Reality?

One way of thinking about organizational reality emerges from the view that everything that communicates brings forth the organizational reality we inhabit, i.e., what we see, sense, or know in the presence of communication. This view of reality suggests the possibility that reality is a by-product of ongoing creativity.

Another way assumes that everything already exists but may not as yet have been fully represented in language. So our job is to more accurately represent what is already there. In the first case, we are creating and, in the second case, we are representing. What if both are true for an organization? This suggests that *everything that actually exists* is only part of the *reality* of organization.

The implications of considering *reality* as "what is real" can be tricky. "Is" can include what actually exists, as well as what does not exist yet seems feasible. Perhaps the things we say, see, sense, and know all contribute to creating a given reality.

Both these modes of thinking about organizational reality view it through the lens of what can or could be observed, apprehended, or understood inside the language and container of a given systems of analysis, such as philosophy, psychology, mathematics, or science.

A third viewpoint from which to consider organizational reality is *possibility*, which lies outside the scope of most current systems of analysis but is an important aspect of our exploration. At times, the reality of *possibility* goes beyond our individual and collective imaginations. As we become aware of how our own view impacts the way in which reality emerges, we open the door to inhabiting possibility. This means that, to live in the realm of possibility, we must become more responsible for knowing, seeing, and sensing what we believed previously was not available to us. This will require us to transform our relationship with language.

The Johari Window

A good tool to bring to this part of our exploration is The Johari Window, created by Joseph Luft (1969). As illustrated below, it can be used to clarify the nature of interpersonal communications by using four quadrants that represent two dimensions: whether information is or is not known by each of the two parties (Fig. 2).

The Four Quadrants of the Johari Window

- In the first quadrant, called **The Arena**, both parties know the information. Open communication is based on common assumptions and knowledge about how the first person acts. A key adjective to describe information in the Arena is "open."
- In the second quadrant, called **The Facade**, the first person knows information about himself of which the second person is unaware. The first person can choose to bring the information into the open (self-disclosure) or use it surreptitiously to his own advantage.
- In the third quadrant, called **The Blind Spot**, the first person is unaware of information about himself of which the second is aware. The question for the second person is whether or not and how to inform the first person about his blind spot.
- The fourth quadrant is called **The Unknown**. This represents information unknown to both parties.

As presented in our exploration so far, when viewing the concerns of organizations, we can look through a lens that includes three dimensions of reality: the aspects of reality that exist and can be seen, the aspects that do not exist but are imaginable, and those aspects that are unimaginable, yet possible, if we knew how to look for them. When we look through this lens, we create a *context* for generating *reality*. In the *context of organizations*, that *reality* has a unique meaning. Therefore, as a concept, *reality* is contrasted to what is not reality.

What Is "Possibility"?

In thinking about organizational reality, we can also go beyond *what it is* or *is not* and view it in terms of *possibility*. Consider that what it *is* implies that something is present and what *is not* implies that something is missing. Interestingly, the condition of *is not* is dependent upon the condition of *is*. Implicit in the condition *is* is the

Fig. 2 The Johari window (Luft 1969)

Johari Window	Known To Self	Not Known To Self
Known To Others	Open The Arena	Blind The Facade
Not Known To Others	Hidden The Blind Spot	Unknown The Unknown

condition *is not*. Said in another way, *is* and *is not* are interdependent conditions (Fig. 3).

Interdependent conditions can form a spectrum. Let's look at these two conditions that way and see what we find. Depending on which side of the center we find something is more or less real. Another way to think of this is that a non-physical reality is subject to a mutable existence (Fig. 4).

Let's imagine we are walking through a village market in Europe in the mid-seventeenth century. The question "Where are all the taxi cabs?" will never be heard because taxi cabs do not exist at this time. So the question would have made no sense and would be meaningless. For taxi cabs to not exist, they first must exist. Only from our current perspective in time can we say sensibly that taxicabs were missing in the mid-seventeenth century. However, placing ourselves back in that timeframe, we can imagine that "self-propelled" transportation might exist in the mind of a genius inventor. Given the mental constraints of that time, such a person would want to be careful of such conjecture lest he find himself confined to the local "madhouse."

Numerous studies have concluded that *adverse circumstances* can be *precursors* to new and better realties (Nayak and Ketteringham 1993). Similarly, we can hypothesize that *created possibility* can act as a *precursor* to new and better realities.

If we add possibility of the spectrum of existence above a fundamental shift occurs in what can be imagined. Now rather than an infinite number of points on a spectrum, we have an infinite number of points on a field. The spectrum allows for categorization; the field allows for dimensionality (Fig. 5).

Now consider that possibility is multidirectional and *is-is not* is bidirectional. This suggests that *possibility* changes the shape of a field and therefore alters dimensionality (Fig. 6).

Fig. 3 Spectrum of *is* and *is not*

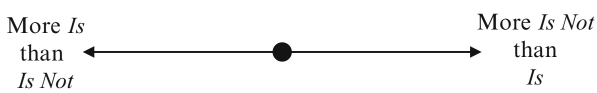
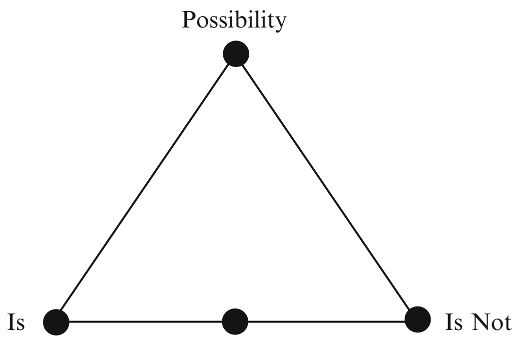


Fig. 4 Interdependent spectrum of *is* and *is not*



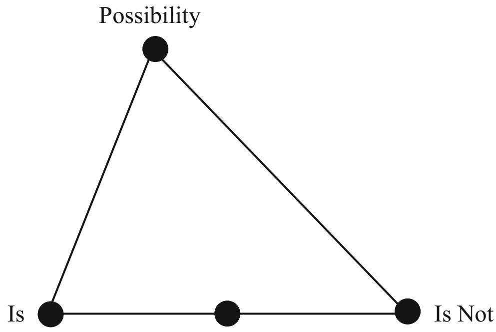


Fig. 5 Bidirectional *is* and *is not*

dimensionality.

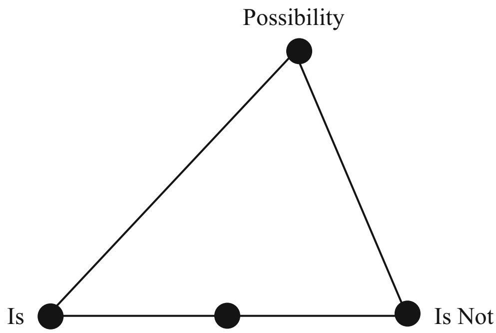


Fig. 6 *Possibility* changes the shape

Even though circumstance and possibility are events that create a disturbance in the status quo, *circumstance* and *possibility* are fundamentally different types of *precursors***.** With circumstance, if the event is sufficient to *provoke reaction*, we must work after the event has occurred or behind the curve, in response to an unexpected outcome. With *possibility*, the event *stimulates action not reaction*, and we can work in front of the curve to influence the creation of the future and mediate outcomes that are desirable.

We can think of *possibility* as a field phenomenon that argues for the existence of certain patterns but not for others. This deserves a lengthy discussion that would go beyond what is appropriate at this point. For this examination, consider *possibility* as a product of *design*, not of a fortuitous epiphany. While epiphanies are interesting, we can't count on having them. But we can count on designing *possibility* as a matter of choice. When we design possibility in the context of an organization, we can take into account the *patterns* we want to emphasize. Sometimes thought of as organizational behaviors, these patterns are precursors to the various social actions that we want to encourage within human systems.

A field of possibility is naturally chaotic and does not lend itself to imposed order. One way to encourage the emergence of patterns of possibility is to design *attractors* (Gleick 1998). In organizations, key performance indicators (KPIs) can serve as attractors. When they are designed with the same care and forethought used in designing the field of *possibility*, KPIs become *attractors* within that field. The careful design of KPIs is essential because they can also serve as unintended detractors. In addition, KPIs used as attractors in a field of possibility are quite different than those used to account for what is already there, or the *current reality*, because they do not lend themselves to *methods of* quantitative *analysis*. Their real value is mined through *methods of* qualitative *evaluation*.

Qualitative evaluation is an assessment process that answers the question, “How *well* did we do?” Here are some examples from a qualitative evaluation of a school literacy program:

- **Content, quality, and relevance of a program:**
  What was learned?
  Are the learners using their new knowledge? If so, how?
- **Attitudes and achievements of the learners:**
  What do the learners think about the classes, the teachers, and the materials?
  Do they think the literacy classes made a difference in their lives? If yes, what kind of difference?
- **Selection, training, attitude, and ability of teachers and other literacy personnel:**
  Did the teachers do a good job of communicating the new information?
  Did they respect and support the learners?

In contrast, quantitative analysis breaks down a subject into its constituent parts in order to describe the parts and their relationship to the whole. It can also be used to derive information, such as using the analysis of financial information to establish financial ratios, the cost of capital, asset valuation, and sales and earnings trends and ratios.

Two Classes of Reality

To better understand organizational reality, it is helpful to explore the principles that inform its existence. In the exploration that follows, I will propose that there are two broad classes of reality, Classes I and II, and that organizations belong to Class II Reality. To understand their fundamental nature, I propose we step back from organizations and explore the class of reality to which they belong. We’ll begin by looking at the basics of both classes of reality and then focus on Class II Reality and the principles that govern organizations. As we uncover these principles, we will begin to see how organizations are synthesized.

Class I Reality is the tangible, physical world, which can be measured directly and consistently, such as the weight of a cinder block or a volume of water. Class II Reality is the non-physical world that either is not measurable or is measurable indirectly. It is also inconsistent across events of measuring yet forms recurring patterns when viewed through the proper perspective. Class I Reality is what we can observe and engage with most directly, such as inert matter and living matter. While Class I Reality has many rich languages for dealing with its existence, it does not require those languages to exist. *Class I Reality exists independent of language*.

In contrast, Class II Reality exists only in language and *depends entirely on language for its existence*. Organizations belong to this class of reality, which is intangible and exists nowhere else but in language. While this reality often manifests physical artifacts – products, for example – at its essence, it is non-physical, and its artifacts represent realized *possibility* and a means for measuring indirectly an organization's existence and performance.

So your desk, the coffee cup on your desk, and the building you work in all exist in Class I Reality. Even though Class II Reality has artifacts that mark its existence, Class II Reality itself lives only in language. A nation exists in a Class II Reality. Even though nations have people, products, and natural resources (all Class I Reality) that *represent* the nation, they are not the nation. Where is the United States? Of course, it is in North America, but that's a landmass, mountains, rivers, etc. The nation itself exists only in language. Moreover, there are Class II Realities that come together to form other Class II Realities. States or provinces, currencies, languages, and borders are all Class II Realities that combine to define the existence of a nation. Organizations are similar in that they have headquarters, logos, products, and advertising, but organizations are not located within these things. They are located in language (Fig. 7).

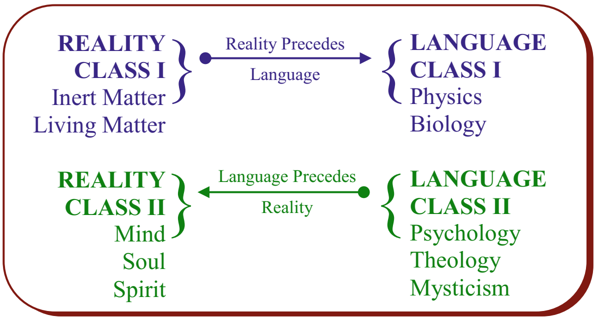
Language and Class II Reality

The challenge in examining the phenomenon of organizations lies in the nature of language itself and in the basics of definition. Any attempt to define something presupposes two things: that it exists and that it lends itself to a language of reference and description. Consider describing a simple physical object. Descriptions, no matter how elaborate, may be useful, but they are reductions of what is observed and can never render a faithful representation of the object itself.

Consider the challenge of describing a work of art. Such attempts are difficult for two reasons:

1. Descriptive language is reductionistic.
2. Descriptive language does not capture the originating experience but only its memory.

Fig. 7 Reality and language



A former colleague suggested the following: Imagine you are in Rome in the church of San Pietro in Vincoli. In the nave of the church, you encounter Michelangelo's "Moses." The statue is *overwhelming in its dimensionality*. Never standing in one place, you move to capture all aspects of the statue. After a time, details emerge that were not apparent in your first or even second viewing. You become *aware of the lighting*, *the church itself*, *the sounds*, *and the smells.* Soon you become *aware of your own responses to the work*.

Now try to imagine describing the physical object, your experience of the surroundings, and your own responses to the work. Even the most exhaustive description will not fully integrate the experience. The most careful detailing of the statue itself will not capture its majesty, much less the religious, political, or emotional overtones.

When we consider physical reality, there is no question that we include and can relate to *physical objects*. There is another class of reality represented by *non-physical objects* that we do not necessarily think of as reality, at least not in the same way we think of physical objects. So, in the case of something that is *not there* in a non-physical form, such as the organization in which we work, how much more difficult is the challenge of using language to describe it?

A Language for Non-physical Reality

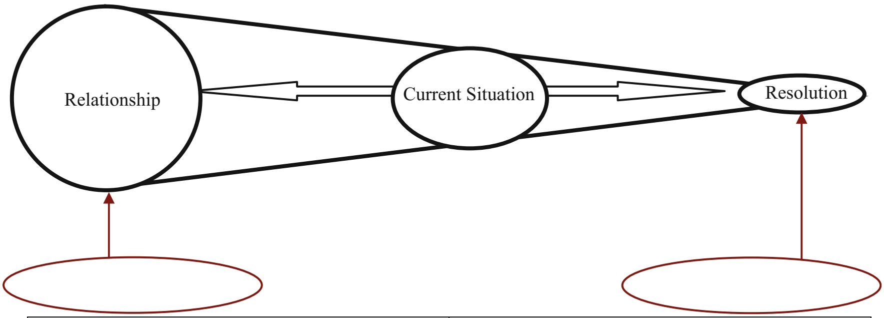
One of the challenges in interpreting organizations is that they are in a state of constant change. Because we do not have a rigorous *language for change*, we are relegated to *descriptive-reductionistic language* when we attempt a description of organizational processes and systems as a means for change. Thinking of organizations as quantum phenomena is a way to enrich what we can know about them and serves as a foundation for creating a language for change. What if we were able to use a combination of both languages, descriptive-reductionistic language, and a language for change? By adding to our more familiar descriptive-reductionistic language a way to think of or to apply language to organizations in change, we could apprehend concurrently the location-in-time, direction, and velocity (Heisenberg 1927) of a given organization.

Descriptive-reductionistic language is critical. It provides us with a "snapshot" of a "state-in-time." It allows us to isolate variables, identify constants, and understand where an organization is at a particular point in time. Descriptive-reductionistic language "nails" *location-in-time* but does not give us *direction* and *velocity.* This is where a language for *organizations in change* could make a significant difference in our ability to lead change efforts. It would be like working from a motion picture instead of just a snapshot.

When both descriptive-reductionistic language and a language for change are available, we can ask the question: "Given the current situation, do we need to better understand how things work together (*relationship*), or do we need to better understand each thing in greater detail (*resolution*)?" To increase resolution, we must also increase the number of *constants* and reduce the number of *variables*, thus moving toward Class I Reality. To increase relationship, we must do just the opposite as we move toward Class II Reality. So, in any given situation, it is useful to assess in which direction to begin working. Move to the right to better understand the relationship between things, or move to the left to better understand of the details of the things. No matter which direction we move first, it follows logically that a move in the other direction is also needed to bring a more complete understanding of the situation. The following diagram and table provide some of the key corresponding attributes of Class I and Class II Realities (Fig. 8).

Language, for the purpose of this exploration, doesn't mean only spoken or written language, such as English, French, or German. In our use of it here, the term has a broader definition that includes math, psychology, physics, theology, geology, dance, and music as languages, as well. This is important because we *think in language*, and what we can think is limited by the language we use to choose to think in. Consider this question: "In what language can you think of the whole of your organization?"

When we look closely, it is not hard to see that *there is no language in which we can think about organizations*, let alone a language for an *organization in change*. We do, however, have languages for parts of organizations. Finance, operations, sales, marketing, and research and development, for example, all have their own languages. While these are also the names of departments, each has a language of its own – an artful language designed to use in thinking about the problems and challenges peculiar to its sphere. When we deal with systemic issues in an organization, meetings with groups of the various stakeholders can sometimes seem like a Tower of Babel. We leave them confused and feeling that we've neither understood



CLASS II REALITY	CLASS I REALITY
Subjective	Objective
Conjecture	Prediction
Evolving Norms	Fixed Norms
High Deviation from Norms	Low Deviation from Norms
Lower Frequency	Higher Frequency
Higher Amplitude	Lower Amplitude
Lower Resolution	Higher Resolution
Relationship Dependence	Relationship Independence
Scale: Macro	Scale: Micro
Inquiry	Reductionistic Thinking

Fig. 8 Relationship – resolution continuum

others nor been understood. If others tell us they don't understand, we often give them more details because we assume that more facts will bring them more clarity.

Just as different organizational languages need translating for those unfamiliar with them, the same is also true for "concepts." We often have to *translate* what we say about concepts in our fields of organizational expertise into terms that are understandable by others who have different sets of expertise. Translation always diminishes what we see and, at best, leaves others with some skeletal outline of the concept. Because areas of specialization call for special languages, there will always be a need for translation.

What I am proposing is that we also need a *language for change*. That is, we need a language to use in thinking about change that addresses an organization as a whole. The whole organization cannot be apprehended through the sum of its parts alone or even by bringing the parts into greater resolution. It also cannot be apprehended through the descriptive lens of any one discipline. Therefore, we need a new language that allows us to talk about the organization as a whole progressing through change. Change occurs in time and over time. Grasping change in relationship to temporality is fundamental for changing Class II Reality.

Time, the Present, and Class II Reality

In the Western world, Class II Reality existence occurs inside a temporal paradigm that is so old and so pervasive that we no longer see it or notice its implications. About 1600 years ago, St. Augustine made a compelling observation about temporality. He wrote:

> . . .The PRESENT of past things is the memory, the PRESENT of present things is direct perception, and the PRESENT of future things is expectation.

This quote from *Confessions* was written around 400 AD, 30 years before St. Augustine's death at the age of 76. It articulates the temporal paradigm that is the foundation of Class II Reality. It also points to a pervasive and unexamined background that shapes our contemporary world. There are powerful insights in what St. Augustine suggested. He saw *everything* as existing in the present, including the past and future. Even 1600 years after his compelling insight, we do not think this way. In our world, we have been taught to believe:

- There *is* the present, preceded by the future and followed by the past.
- There *is* the past, preceded by the present and the future.
- There *is* the future, followed by the present and the past.

This suggests that we think of the past, present, and future as sequential attributes of time, not as related and distinct phenomena of temporality. What if time and temporality are related but are not the same thing? Suppose time is categorical and processional – future into present and present into past. Then what is temporality? Consider this possibility: temporality is dimensional not categorical and it is about the present (*the now* framed by the *past* and the *future*), in a non-processional relationship in which the past *informs* the now, the future *shapes* the now, and the now *establishes* the present. Temporality is dimensional-relational and time is categorical-processional. While this is correctly said (at least I hope so), it is not easy to understand. Language is a limitation and we are challenged by this limitation not the idea being put forth.

Because language is basically linear, writing about this construct of the *present* must also be linear. Can you imagine the present happening all at once, something like the scene in a photograph? This way of looking at the present allows us to see it *more like a snapshot than as a sequential construct like watching a film*. Think of it this way: time is about measurement (categorizing) and temporality is about relationship (bringing together).

When we place a snapshot in time along with a series of properly related and sequenced snapshots, something more than a picture or series of pictures forms. We literally begin to see patterns of *change-in-relationship* that are not available looking at the snapshots separately. How much and what is revealed depends on *perspective, frequency, amplitude, frame, and depth-of-field.*

Taking this idea a little further, we do not think or say there is "now" and there is "the present" or that the present exists only when now is framed by the past and the future. It does not occur to us that the past and the future, as temporal phenomena, are in the present and that the present is formed by the *now* in relationship with the past and future. In taking this view, we must also consider *depth* and *centricity*. That is to say, there is "temporal depth" or a certain amount of the past and future in the present. There is also temporal-centricity, a certain relative weighing of the past and future in the present (Fig. 9).

Another way to think about this idea is to overlay on the terms past, present, and future and the terms *memory*, *perception*, and *expectation*. This formulation of the model has these three elements in a new relationship where memory *allows for* expectation, expectation *shapes* direct perception, and direct perception establishes Class II (non-physical) Reality. Here memory and past arise together. Expectation and future arise together.

Direct perception now arises together. Memory, direct perception, and expectation form a framework we call *present*. This construct is one way of accounting for the way we conceptualize the present. These relationships suggest that our memory of the past gives rise to our expectations for the future and that our perceptions in the moment (now) are colored or shaped by a remembered past and an expected future. This also suggests that without memory, there is no past and without past, there is no future.

Scaling this model from the memories, expectations, and perceptions of an individual to those of an entire organization provides useful insights into the nature of non-physical realities and new possibilities for dealing with them more effectively. The following material presents and develops some of these possibilities.

Organizations and Language

This section builds on the following principles:

1. Class I Reality is dealt with in *time*, originates outside of language, and does not require language for existence.

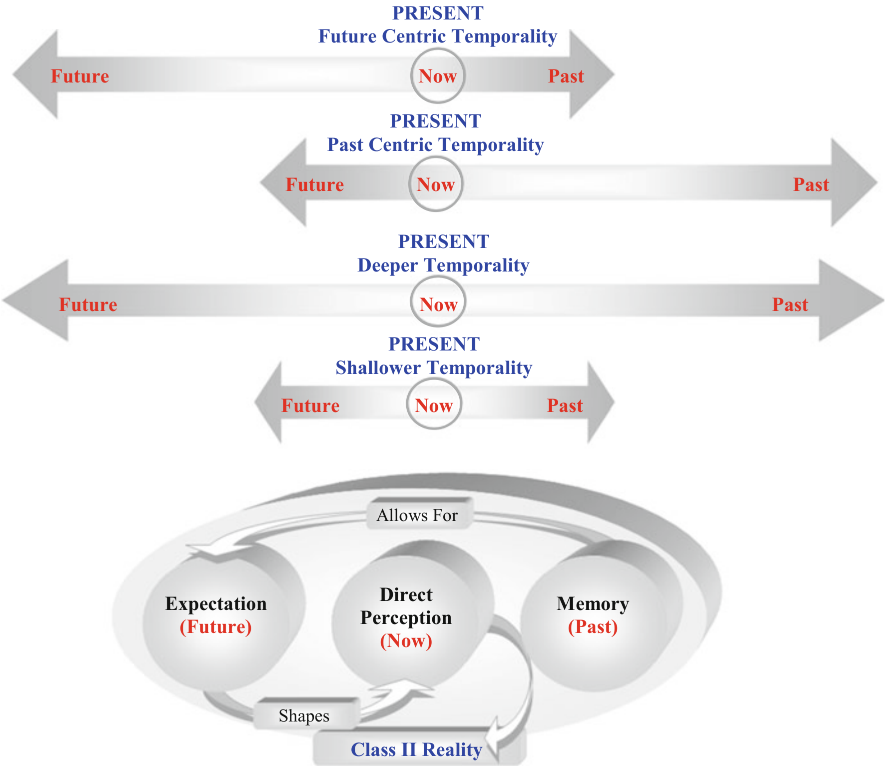


Fig. 9 Temporal depth and centricity

2. Class II Reality is dealt with in *temporality*, originates inside of language, and requires language for existence.
3. Organizations exist only in language and in Class II Reality.
4. We think inside of language(s).
5. The language(s) we think inside of create boundaries around our thinking.
6. Communication occurs through the medium of language and, therefore, shapes organizational reality.

Non-physical reality comes into existence through a series of events that can begin with a simple idea that occurs as a possibility in conversation. The possibility moves through stages of feasibility (early, intermediate, and late). From there, it moves into a grounded (objectified) non-physical reality. If we follow the beginning stages of any organization, we can account for what takes place through this lens as a system in motion – one that is dynamic and always changing.

An organization is a *system* phenomenon. As such, it is *interactive* and *auto-forming*. It lives beyond the boundaries of Class I Reality, descriptive-reductionistic language, objective reality, and its parts. The singular term “organization” refers to the abstract conceptual field of the dynamics that creates and maintains individual organizational entities.

To better see into organization, we will use quantum mechanics as an analogy for organizational systems. Thinking of organizations as quantum phenomena is not sufficient to explain the whole reality of organizations but can help to clarify organizational performance and to formulate ways to influence it. Organizations exist only in language and the medium for language is communication. If we think of communication as *energy*, then the nature of communication might well be informed by the thinking of quantum mechanics and, in particular, the field theory of quantum mechanics.

Class I and Class II Reality as Field Phenomena

We can think of a field in several ways:

- As a complex set of forces that serve as causative agents in human behavior
- As a region or space in which a given effect exists
- As an area of reality where some things are more likely and/or others are less likely to happen than others

Communication is a field phenomenon. Once this principle is accepted, it can then be leveraged not only by individuals but also by organizations.

Early in the nineteenth century, there was revolution in the then nascent field of physics. An English scientist named Michael Faraday (1791–1867) proposed a reversal of conventional thinking. A modern physicist described that reversal as follows:

> According to Faraday, rather than looking upon the potential field of force that could be exerted by a bit of matter on other matter (should the latter be located at any of the continuum of spatial points) as a secondary derivative property of that matter, one should rather consider the continuous field of potential force as the elementary feature.
> He then viewed the "discrete particle" aspect as a secondary, derivative property. *According to the field theory proposed, the real stuff of the material world is the abstract (*i.e. *not directly observable) aspect associated with the potential field of force of matter.* (emphasis added)
> This view challenged a prevailing philosophic stand, presently known as "naive realism," which asserts that only that which we human beings directly perceive to be there, outside of us, is the reality from which a true description must follow. Faraday's abstract approach, on the other hand, took the fundamental reality to be at a level underlying that of human precepts. (Sachs 1974: 21)

It took over 100 years for the genius of Faraday's view to be appreciated. Not until the development of quantum field theory, in the 1930s and 1940s, was the view that fields might be the "real stuff of the world" accepted among physicists and then only to a limited degree. As reported by Gary Zukav in his groundbreaking book, *The Dancing Wu Li Masters* (1979), today's quantum physicists have shown that "According to quantum field theory, fields alone are real. *They* are the substance of the universe and not "matter." Matter (particles) is simply the momentary manifestation of interacting fields which, intangible and insubstantial as they are, are the only real things in the universe" (Zukav 1979: 200).

So, what are these elusive phenomena called fields? We cannot observe them directly. We recognize them only by their effects. When observing an apple falling from a tree, Newton introduced the first field, gravitation. As defined by Faraday, gravity is a secondary derivative property of matter. Einstein later postulated that the gravitational field was not a property of matter at all, but the result of space-time curving in response to matter. Thus, gravity for Einstein was not a force, but a medium – an agency through which something is accomplished.

The other field with which we are most familiar is magnetism. We can infer its presence from, for example, iron filings lining up in rows instead of scattering randomly.

The dictionary defines a field as:

- An area or division of an activity
- The sphere of practical operation outside a base
- A space on which something is drawn or projected
- A region or space in which a given effect exists
- A complex of forces that serve as causative agents in human behavior
- A particular area in which the same type of information is regularly recorded

Michael Talbot, a prominent modern physicist, has said:

> Although we know a great deal about the way fields affect the world as we perceive it, the truth is no one really knows what a field is. The closest we can come to describing what they are is to say that they are spatial structures in the fabric of space itself. (Talbot 1986, cited in Wheatley 1994: 46)

For purposes of our work in communication, we can take a probability-based definition of a field as "an area of the world where some things are more likely to happen and/or others are less likely to happen." Thus, when iron filings are within a magnetic field, they are more likely to line up than in the absence of such a field. The stronger the magnetic field, the greater the probability of the filing lining up. In the gravitational field of earth, objects are more likely to fall down and less likely to float than they are in outer space, where the gravitational field is weak or nonexistent.

Recent thinking in quantum physics and chaos theory has hypothesized that fields are far more pervasive than was previously thought. Field theory may account for the effect of *intention* in human behavior, as well as for nonlinear physical phenomenon such as cause-at-a-distance (Schafer 2013).

Perception and Reality

While listening to the president of a large mining company explaining why his organization was not like others, I realized something. After reviewing of a list of our clients, he said his company was unlike companies from other industries such as pharmaceutical, consumer goods, manufacturing, high-tech, etc. For that matter, it was even unlike other companies in the mining industry. He made it clear that he saw his organization as unique, and everything he said to support this claim made sense. Then he began to describe the challenges his organization faced. As I listened, I realized that what he was saying about his company's challenges actually did apply to the majority of our clients. In most cases, the challenges were categorically the same. I also noticed that he was describing the challenges in terms of what his organization *was not*, and it dawned on me, "What if we perceived organizations in light of *what they are not?*" It didn't take long to see the validity of this observation. This led to two other questions: "What is common across every organization? And, what is an organization anyway?" I sensed the importance of this realization given the recurring patterns of challenges faced by all varieties of organizations. These initial realizations have evolved into an inquiry about new ways to perceive the reality of organizations and to inform alternative approaches to fostering organizational integration.

Organizations as Field Phenomena

Organizations can be seen fundamentally as field phenomena. As such, they are both complex and chaotic. When we view their *effect at a distance*, their complex nature is revealed. Sometimes, when something curious happens, we may be moved to ask "Why did that happen?" or to say "Wow! That came out of left field." We are pretty sure that somewhere, there's a *cause* and, given the complexity of the system, finding it seems almost impossible. The chaotic nature of organizations means they are *starting conditions sensitive*. This condition is easy to observe. We can attempt to repeat a process in exactly the same way it was done previously. Then we may notice that the outcome is completely and inexplicably different. What we don't always observe is that the state of the system has changed between our applications of the process. This occurs because different parts of the system are subject to differing rates of change. Predicting rates of change is more likely in those parts of the system that lend themselves to continuous improvement and is least likely where discontinuities occur on a regular basis.

For organizations to grow and flourish in ever-changing business climates requires new leadership competencies that cannot be developed just through additional knowledge (*content*) or by applying new ways and means to work (*processes*). What is required is mastery of a third domain – the domain of meaning (*context*). With this mastery comes the power to design, influence, and create at the level of *field*, where peoples' actions are shaped. Mastery of all three domains allows us to design and implement at the scale of the whole system, as well as to tune applications to the specific needs of sub-systems, and to conduct tactical execution that is consistent with an organization's business objectives.

This means that developing an effective organization includes going beyond the traditional work of increasing skills and competencies and going beyond the redesign of processes. It is also essential to develop the capacity to establish purposeful contexts in which strategic thinking and breakthrough business outcomes become part of the organizational norm. Such environments allow people to constantly learn, grow, and develop new ways to produce results that are not necessarily predictable based on the past performance.

Elements of an Organizational Field

What creates an organizational field? The most honest answer to this question is "It depends...," or even "We just don't know." When we look into to this question carefully, we find many possible and valid answers to it, and there is no one *right* answer. There are answers that may be useful, depending upon one's objective. In the material that follows, we'll focus on the objective of *systemic change* to discover a new way of answering this question, one that has proven very helpful in thinking about how to foster systemic change in large-scale systems (Fig. 10).

Creating a field: We'll start by applying the three-circle model used for examining temporality. In this model, the existence of a field is dependent on the presence of three members: *content*, *process*, and *context*. It is also dependent upon these three members being in a particular relationship, along with multiple relationships. For a field to exist, the base flow of relationship is as follows: Content *allows for* context, context *invites* process, and process *establishes* field.

Organizations: What makes organizations unique as fields is that they exist in two states at the same time: a *default state*, where it works to *maintain continuity*, and a *generated state*, where it works to *create and integrate discontinuities*. The dominate norm for most organizations most of the time is the first state. On occasion, an exception to the norm appears, one that does not displace the norm, yet can cause considerable disruption. This is a *generated state* in which something outside of the norm becomes real for the organization. That something may be seen as good (a *breakthrough*) or as not good (a *breakdown*). In either case, something is present that is a major deviation from the norm and is unexpected. How the discontinuity is seen, as *breakthrough* or *breakdown*, can be very misleading, because a breakthrough is a breakdown in continuity (Fig. 11).

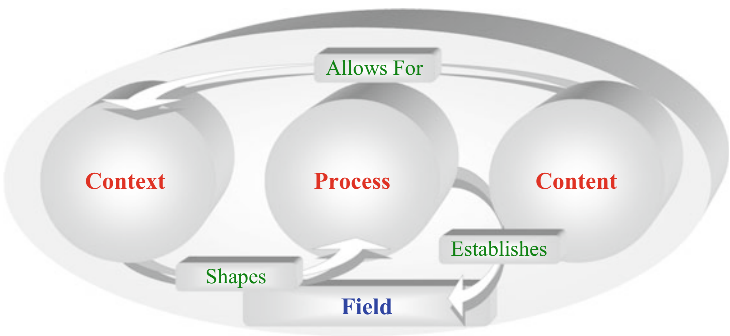


Fig. 10 What constitutes a field?

Continuity: Continuity is achieved by working with business systems (*processes*) and understanding results (*content*), along with the way these components interact. They can interact as either virtuous circles (positive feedback loops) or as vicious circles (negative feedback loops). Both interactions function as closed systems. The graphic at the right is a simplification of a complex process. Examples follow (Fig. 12).

A company invests in its employees' ability to provide service to customers by training employees and creating a corporate culture in which they are empowered. This leads to increased employee satisfaction and competence and results in superior service delivery and customer satisfaction. In turn, this creates customer loyalty and improves sales and profit margins. Some profits are reinvested in employee development, thereby initiating another iteration of a virtuous cycle (Fig. 13).

A company decides to harvest their investment in people and culture by reducing costs to increase earnings. This reduces wages, training, product development, and understanding of customer needs. This leads to employee dissatisfaction, lowered

Fig. 11 Closed system

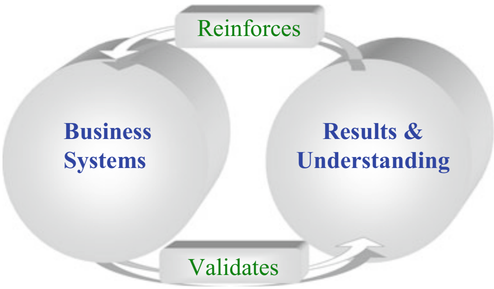


Fig. 12 Virtuous circle

competence, and increased turnover and results in poor service, customer dissatisfaction, increased customer turnover, and loss of market share. Reduced sales and margin lead to further reduction of investment, thereby initiating another iteration of the vicious cycle.

The preceding are examples of *continuity*, the first being a *positive feedback loop* and the second a *negative feedback loop*. These models exemplify the way change is thought through in many organizations (Fig. 14).

Prevailing norm: *Best practices* are a good example of something that can lead to organizational change. Identifying best practices leads to examining business systems (*process*) and resources (*content*). By providing new *content* and *processes*, garnered from an examination of best practices in a large number of organizations, advisory consultants (Bain, McKinsey, PWC, etc.) help companies increase their overall efficiency. The magnitude of the changes needed often exceeds the tolerances for change inherent in the *current prevailing norm*, also referred to as "The way it is around here." New *content* (knowledge and information) and new *processes* (ways and means) fall flat when those who must use and apply them do not embrace them. The resiliency of the prevailing norm, coupled with attachment to the status quo, is often underestimated. The basic *reinforcing-validating loop* of process and content has evolved in organizations over the last few hundred years to insure consistency. This means there is limited room for change (Fig. 15).

Unexamined context: The prevailing norm is necessary to maintain an organization. In maintaining "the way things *are* around here," all but the most superficial aspects have been entrenched for a long time. "The way it is" includes deeply embedded cultural and societal characteristics, most of which have stood the test of time. Nothing has killed them off – so far. In our model, organizational culture and society are located within context. If the proposed changes don't violate the

Fig. 13 Vicious circle

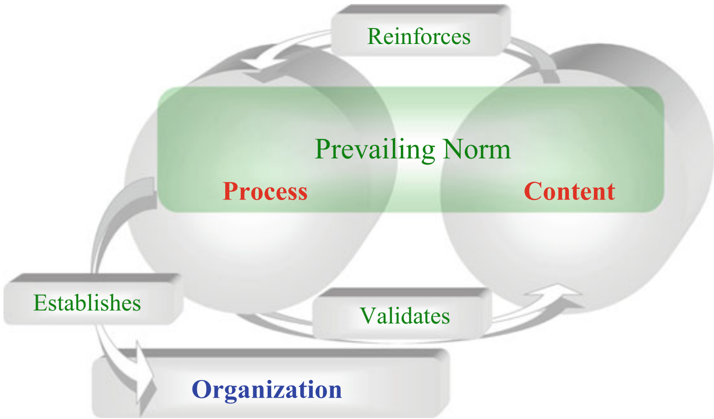


Fig. 14 Prevailing norm

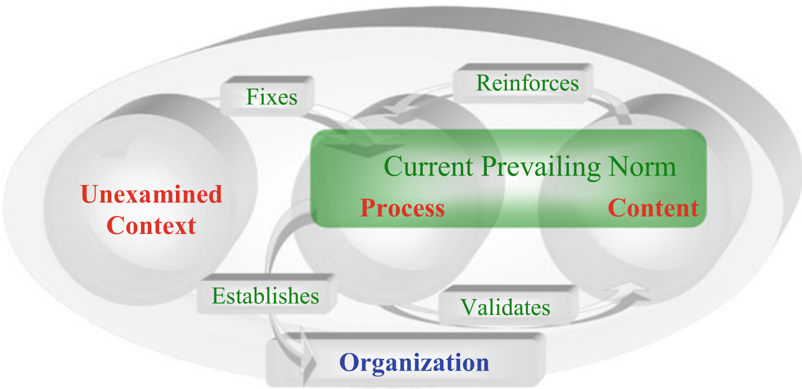


Fig. 15 Unexamined context

prevailing norm too much and if enough effort is applied, change can take hold. This means that changes in process and content do not have much effect on context. So the existing context either accommodates the intended change or not. Context is the second thing needed to establish an organization initially, as well as to make any significant shifts within it. Unexamined context is what *fixes* (makes solid) the prevailing norm. Together, they not only establish an organization, but they are the last elements needed to create the *field* that holds it all together. In most organizations, context is assumed and goes unexamined. A note of caution: cultural surveys and 360 ° evaluations are valuable, but they are grossly insufficient for examining organizational context.

Generated context: Context provides meaning and purpose for process and content. The context for an organization is always already there, unexamined and inherited. We can say, "It comes with the territory." When the existing context is insufficient to allow for the level of change needed in the organization, then it is possible to generate context. A generated context is one that goes beyond the preexisting context. When we include the preexisting context inside of the new context, it has the effect of empowering all that it has taken to get an organization to its current state. A designed context helps those who work in an organization to understand *why* they are doing something and to *see* the difference it is making. When we bring context to the foreground and examine it, we see the implications of a possible change and how our work can contribute to activating that change. A well-developed context increases the probability that people will take actions consistent with the needed change, even those actions that have previously seemed "outside the box." Context helps us think differently about the challenges we face and amplifies the application of new processes and content. The presence of a generated context changes the relationships between all elements within its field and sets up a dynamic that allows for an organization to maintain norms for consistency, on one hand, and benefit from *planned discontinuities*, on the other hand (Fig. 16).

When context is generated, many norms are possible within the whole of an organization. Because process and context reinforce and validate one another, they energize the field for other organizational elements to move toward change. Norms *inform* process shaped by context. This shaping of process shifts the system from being a closed system to an open one. An open system is more amenable to change, more open to contribution, and less likely to be lost in orthodoxy. All systems are subject to limits of growth, and when limits are encountered at a systemic level, changing process and/or content is not enough. Context shift is also required (Meadows et al. 2004).

Leadership, Development, and Management as Organizational Disciplines

Taking this model one step further, we can get another "window" into organizations. As we touched on earlier, in most business literature, *leadership* is indistinct from

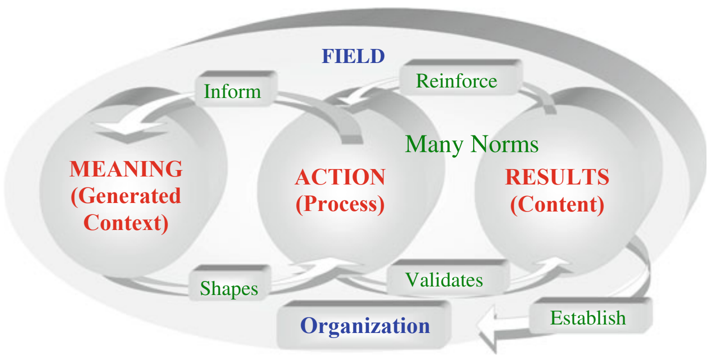


Fig. 16 Generated context

management. The model that follows makes explicit distinctions between leadership and management and identifies a third discipline called *development*. These three disciplines constitute the primary sub-systems of organizations: human systems, business systems, and developmental systems. In proper relationship, they make it possible for organizations to create new, sustainable, and compelling realities. All three disciplines are present in every organization. It's not that of any one of them is missing and needs to be added. Rather, they are generally indistinct, with the result that a powerful relationship between one or more of them is missing. After we define and distinguish these three disciplines, we can then examine how they fit into our model of process, content, and context.

To understand these disciplines and how they are interrelated, we need to continue to build a common language with consistent meaning. The following summation draws from my observations in our work with organizations to this point. These are working definitions and a model in development, and I am committed to them remaining so. Because every engagement both confirms and expands this exploration, it remains in the mode of open inquiry, while it continues to grow into a new theory that can be applied and tested for validity over time:

- **Leadership** *is about creating possibility for futures that do not currently exist*. Leadership is the discipline of creating and communicating new futures that are beyond an extension or continuation of the past. Because effective leadership requires a powerful relationship with possibility, it is an essential ingredient of breakthrough change in organization.
- **Development** *is about efficacy*. Efficacy is the fostering and nurturing of the new possibilities that leadership creates. Efficacy is the test for demonstrating feasibility or the kind of demonstration that brings definition and resolution to possibility at levels sufficient for management to do its part. Development works on a spectrum that begins with an early stage of refining a possibility so it can be seen as feasible and continues to a late stage of designing the systems that allow possibility to become the reality required for it to be passed along to management. The focus of development is effectiveness. A powerful relationship with development leads to the socialization of discontinuities (breakthroughs) while preserving reliability, predictability, and certainty during periods of change.
- **Management** *is about stewardship*. It brings predictability, reliability, and certainty to the day-to-day affairs of the business. Management focuses on efficiency, along with preserving and improving the current reality through the use of incremental change processes such as continuous improvement. Management of the current reality allows for the time, money, and permission to create new futures. In a well-managed business, the current reality is not a limitation, but rather a way to inform leadership about the foundation on which possibility can be created. Hence, leadership is only possible to the degree that the current reality is succeeding.

When we map *leadership*, *development*, and *management* onto the model that demonstrates the relationship between *context*, *process*, and *content*, *possibility* becomes the overarching *context*, *efficacy* becomes the overarching *process*, and *stewardship* becomes the overarching *content* in organization.

Newtonian physics and cause and effect give us the understanding we need to change the world of Class I Reality (physical). Because organizations are a Class II Reality (non-physical), bringing about changes in this reality requires a different approach (Fig. 17).

Sorting Out the Chaos of Organizations

As we discussed earlier, fundamentally, an organization is a chaotic system. All organizations generate recurring, fractal-like patterns at the *scale of the entire organization* or the whole system. Most of these patterns are not unique to an organization and only a few are unique to an industry. These patterns arise from entanglements between these three sub-systems:

- *Human systems* which are the concern of *leadership*
- *Developmental systems* which are the concern of *development*
- *Business systems* which are the concern of *management*

Chaos can lead either to integration or disintegration (Lorenz 1995). When chaos leads to integration, the organization has evolved to a higher level of complexity, adaptability, and sustainability. When chaos leads to disintegration, the organization's viability is threatened. Trust is one of the key variables that makes the difference.

Trust

According to political economist Francis Fukuyama (1995), societies grounded upon efficient trust networks will be the most successful at building sustainable, efficient economic systems. Fukuyama's observation applies to organizations also because they too have all the attributes of a society. When trust is present in an organization,

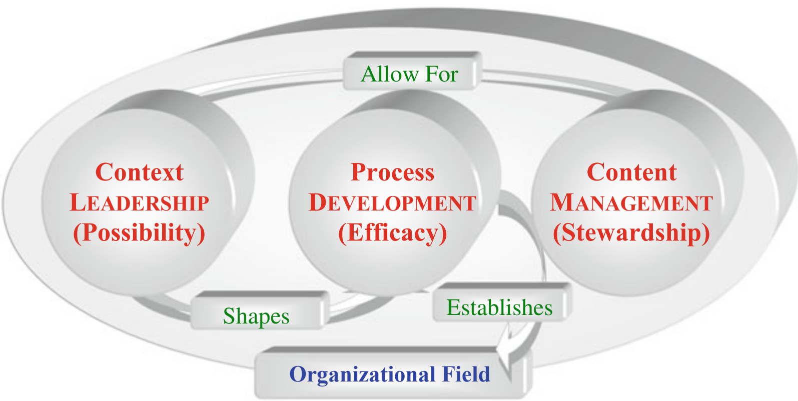


Fig. 17 Organization as field

the possibility of integration increases, and the system is more likely to function as an integrated whole.

When trust levels are high, organizations can grow large and efficient. They enjoy lower administrative costs and higher institutional reliability. Alternatively, low trust carries with it the disadvantages of corruption, trade with influences, and small, inefficient organizations – all symptoms of disintegration that can lead to collapse (Gibb 1978).

Since the 1990s, trust in business has been severely shaken by corporate financial disasters. Among these have been the Enron, WorldCom, Andersen, and Tyco accounting and reporting frauds that created a crisis in confidence in the leadership of corporate America.

Public distrust for corporate leadership has threatened investor confidence to the extent that the US Congress passed the Sarbanes-Oxley Act ("SOX," also known as the Public Company Accounting Reform and Investor Protection Act) in 2002.

The responsibility for restoring public trust ultimately falls to all who are in roles that call for leadership. This responsibility is not just for those in the senior ranks; it is there for those willing to provide leadership without regard to rank. The importance of building trust within our organizations is even more critical today as we face additional substantive breaches of the public trust.

Business leaders now face the aftermath of failures in banking, real estate, insurance, and manufacturing and, in the current economy, the worst recession since the Great Depression. Uncertainty about the future continues fueling fear for jobs and raising questions about senior leadership's intentions for the future. Employee engagement surveys continue to reflect these fears, showing little, if any, improvement year over year in most organizations.

Years before the most recent economic crisis, there were strong indicators of brewing trouble. According to a global Towers Perrin study published in January 2006 (Towers Perrin 2006):

- Overall, only 14% of employees were "fully engaged" on the job.
- The vast majority (62%) was "moderately engaged" at best.
- And nearly a quarter were "actively disengaged."

That same year a Gallup research report revealed employees to be hardly more enthusiastic. While 29% of employees reported themselves to be "engaged" on the job, 56% were "not engaged" and 15% were "actively disengaged" (Krueger and Killham 2006).

Disintegration and Integration

What continues to impede improvement *inside* organizations? What can organizations do to stem the vicious downward cycle of disintegration? We offer the following for consideration:

1. We miss the mark when we think organization is all about business. When organization is dominated by business concerns, it is easy to think that running

the business, doing business, and developing business pass for the whole of organization. Though important and essential, these three elements are, in fact, only a portion of organization. We must look beyond business to see the true nature of organization and to understand what's happening within.

At its core, organization is quite simple: people and organization are interdependent and mutually arising. We can't get one without the other, and each depends on the other for existence. Organization is a system designed by and for people. Yet in leading our organizations, the emphasis on the "human systems" is underrepresented in our thinking, and we misdirect our focus upon the "business systems." An immense source of power, flexibility, and creativity is lost when we view organization primarily through the lens of "business."

2. Perception shapes organizational reality, for better (integration) or worse (disintegration). History has shown repeatedly that creativity bottoms out in the absence of vertical and horizontal integration of hierarchical systems such as organizations.

   We may not see it clearly in our everyday interactions, but disintegration is a by-product of the rifts created by differing perspectives – both organizational and personal. It's fair to say that there are as many unique relationships in an organization as there are people within the organization. We can easily fail to agree upon what's important because we each notice only that portion of the whole that applies to us and to our concerns and commitments combined with our experiences.

Depending upon our individual area of authority ("jurisdiction"), leadership can see purposes, goals, and responsibilities differently. When this is the case, our organizations may appear vertically integrated, that is, integrated *within* a jurisdiction, but they are likely to be horizontally disintegrated, that is, not integrated *across* jurisdictions (Fig. 18).

Interviews with C-level executives indicate that they tend to see their organization as integrated. When asked for examples, they talk about the way their part of the organization is working. This suggests that jurisdiction can be delineator for integration. Any organization that doesn't communicate laterally across jurisdictions is not likely to coordinate activity in ways that seize on opportunities for growth.

At the scale of organization, there is, at best, integration within but not across the boundaries of C-level executives. Of further concern is the fact that those who report into C-level executives offer similar examples, thus demonstrating at one scale down the view that integration is present only within, but not across, jurisdictional boundaries.

This and other evidence makes it clear that designs based on hierarchies inherently move toward disintegration. This condition is holographic – it exists at every scale of organization. Disintegration and sub-optimization are organizational correspondents – when you get one, you get the other. Disintegration is the natural state of organization. Integration is a form of organizational hygiene – it's something that no matter how well done this time must be done again. Organizational integration is not a state of being, but rather it is a temporary condition that is subject to the forces of entropy.

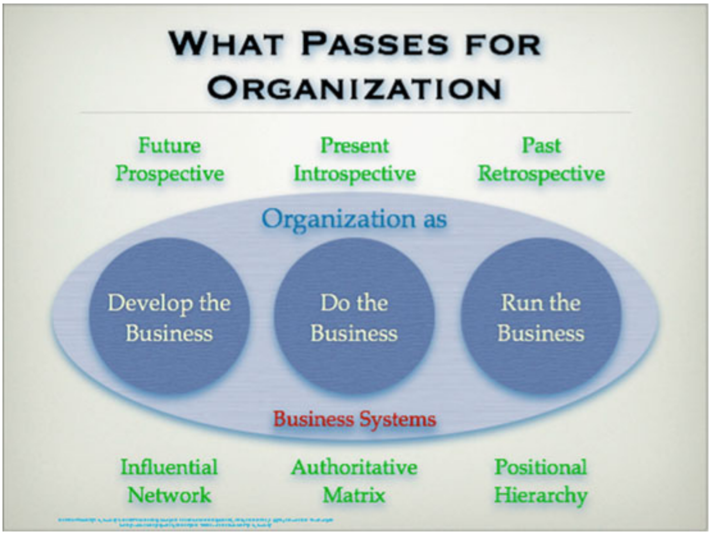


Fig. 18 Business organization

3. The missing link – integration. It is useful to recognize that business systems represent only one of three systems that actually comprise a whole organization. The other two, human systems and integration systems, are generally missing in our thinking. To focus only on maintaining "*business* as usual" in the name of stability is inherently disintegrative. When we can recognize the holographic design of organization, we can begin to consider where our thinking comes from, compare our thinking to the thinking of others, and see new possibilities for integration among sub-systems that can lead to optimizing organization.

In summarizing, an overemphasis on business keeps our horizons from expanding, even though we know intuitively that to compete successfully, organizations need more creativity, innovation, and the courage to step into the unknown. In addition, we are saying that business *demands* attention and rightfully so, but it is easy to lapse into perceiving organization as straightforward, repeatable acts of business that offer a seductive promise of stability. Those who of us who choose to lead in organization need to expand our awareness and that of others, lest our organizations perish while focused on preservation.

The Linear Mind

As we touched upon earlier, we propose that at the most basic, human level, our seeming lack of will to explore the unknown in organizations actually reflects a habitual reliance on linear thinking, a reliance that we can trace back over five millennia to the introduction of the alphabet. A brief history of how we got to where we are today adds some context to this discussion.

According to neurosurgeon Leonard Shlain (1998), reliance on linear thinking is probably programmed by our predominant left brains. Shlain argues that wherever alphabets were adopted, a destabilizing imbalance in human relationships ensued. This imbalance reflected a radical physical change in the structure of the human brain to accommodate literacy. In order to interpret strings of letters arranged in lines as abstract symbols for words, the left side of the brain – our “masculine” side – enlarged to favor focused, *linear*, *sequential* thinking. Along with these attributes, other left brain functions became exaggerated, too – concepts of *time* and numeracy, aggression, strength of will, and “if this, then not that” reductionist logic. Our thinking became lopsided, at the disadvantage of the right side – our *creative* “feminine” side – which governs *images*, *pattern recognition*, and *holistic*, *simultaneous*, *synthetic*, *intuitive thinking* (Fig. 19).

Our propensity for linear thinking places constraint – in the broadest terms – upon the ability of people in organization to imagine new possibilities for organizational growth. Consider that if we associate linear thinking with business systems which are the domain of management, we can likewise associate creative thinking with human systems, the domain of leadership. The good news, as Shlain points out, is that with awareness and some practice, we can generate balanced use of both sides of our brains. We can be focused and think holistically, too – both advantages for different purposes.

Risk and Uncertainty: We’re Confused!
A second constraint operating against organizational integration and growth was first identified in the 1920s through the research of economist Frank Knight, who authored *Risk, Uncertainty and Profit* (1921). He studied the “radically distinct” difference between uncertainty and “the familiar notion of risk, from which it has

Fig. 19 Optimzing organization – What’s missing?

never been properly separated – there are far-reaching and crucial differences in the bearings of the phenomena depending on which of the two is really present and operating. . .a measurable uncertainty, or 'risk' proper." Risk proper is about the possibility of losing all or part of something we already have, while uncertainty is about what don't have but we might get if . . .!

Knight saw that uncertainty, when it is misidentified as risk, hamstrings decision-making by leaders at all levels of organization. In other words, the fear of the unknown – approaching uncertainty as if it is risk – can hobble attempts to put creative projects into play. Risk, which can be measured in numbers or dollars and cents, is properly the jurisdiction of business systems and the day-to-day operations for efficiencies, reliability, and repeatable results. Uncertainty lies in the realm of leading human systems to create and innovate what does not yet exist. As such, uncertainty cannot be measured quantitatively, but only by agreed-upon qualitative terms of effectiveness.

Qualitative evaluation is a research method based on inquiry. It is used to form an understanding of uncertainty and to assign measures that provide a basis for consistent comparisons. This method investigates the *why* and *how* of decision-making, not just *what*, *where*, and *when*. Smaller but focused data samples are more often needed, rather than large samples.

Actuarial science, often taught as a part of the management sciences, is the discipline that applies mathematical and statistical methods to assess risk. In most cases, results are improved with larger data samples.

The Scientific Method and Organization

Thirty years after Knight opened the discussion on risk versus uncertainty, a growing challenge to organization came into fuller view. It had started with the Industrial Revolution and Henry Ford's assembly line. Then in 1952, it gained full recognition as a pinnacle of technology. *Automatic control* was heralded in the September 1952 issue of *Scientific American* as "a scientific and technological revolution that will powerfully shape the future of man." Using "automatic control," science was able to engineer tools that could make other tools and consumer products with a minimum of human intervention.

The advent of automatic control reinforced the application of the scientific method in managing business and people. The scientific method, as applied in organization (the management sciences), is an outgrowth of *operational research*, which was used during World War II to deal with complex logical issues. Automatic control and the Machine Age increased reliability, predictability, and certainty in organization, and it also threatened to put the final nail in the coffin for individual enterprise, employee engagement, and trust within organization. Today we are still trying to figure out why the scientific method can work well when applied to business systems and fail completely when applied to human systems. It seems almost too simple to say that business systems benefit from standardization and people contribute best through individual and unique expression. For optimal performance, organizations need to better integrate *method* and *process* (business systems) with *form* and *art* (human systems).

The experience we have with perceptions and jurisdictions, linear thinking, our relationship with risk versus uncertainty, and applying rules we use for working with tools to working with people all illustrate a fundamental concept that *how we think* about organization puts constraints – limits – on how far the system can grow (Meadows et al. 1974). Our current economic crisis has roots in traditional organizational thinking, which has reached the limits of its usefulness.

When something reaches the limits of its application, it's important to recognize there is nothing wrong, but rather there is something missing. What's missing in our thinking is the recognition that organizational breakthroughs occur when there is an integration of the business systems and the human systems. This next section explores the relationship between breakthroughs and breakdowns.

Breakthroughs and Breakdowns

Breakthroughs are desirable outcomes that go beyond our expectations for what's predictable. Here is our formal definition:

> A breakthrough is any outcome that exceeds, by a notable margin, highest expectations that would be remotely predictable as a function of past performance.

Breakdowns, in contrast to breakthroughs, have outcomes that are significantly short of expectations. Here is our formal definition of breakdown:

> A breakdown is an outcome inconsistent with that which is intended and to which a commitment has been made.

When you're working to achieve breakthrough-level change, you can expect that some breakdowns will happen along the way. (You may even need to nudge a breakdown to get past a sticking point in a change integration.) In fact, breakthroughs always cause breakdowns – the change will be destabilizing and reactions will occur – but the reverse is not true. Breakdowns provide opportunities for breakthroughs, but they do not actually cause them.

Breakthrough can occur at almost any scale, be it personal, group, team, organizational, etc. or all the way up to encompass an entire society. By integrating breakthrough-level change, we also gain an opportunity to generate additional breakthroughs. Thus breakthroughs are *recursive*. At any scale, both breakdowns and breakthroughs can result from *circumstance*, be coincidental, or they can result from *intention* – being purposeful.

Circumstantial cause: Coincidental activity with consequences unforeseeable or unforeseen

Intentional cause: Purposeful action with consequences unforeseeable or unforeseen

The 1965 northeast blackout is a well-known societal-scale example of circumstantial breakdown. It provided opportunity for an intentional breakthrough.

1965 Northeast Blackout

Breakdown in 1965: On November 9, 1965, a power station in Niagara Falls, New York, unexpectedly shut down because one small protective relay of the size of a coffee tin failed. The relay on the transmission line was calibrated for power demands that were exceeded at 5:16:11 P.M. As it tripped, the relay triggered a chain of shutdowns that affected Ontario, Canada, Connecticut, Massachusetts, New Hampshire, Rhode Island, Vermont, New York, and New Jersey. Nearly 30 million people were left without electricity for as long as 12 h.

Breakthrough in the 1970s: In the early 1970s, the US Senate held hearings on the lack of R&D within all sectors of the American electric utility industry. In response, the industry voluntarily pooled member funds to begin one of the most successful collaborative R&D programs in the world. The Electric Power Research Institute (EPRI) was formally established in 1973 as an independent, nonprofit organization to manage this public-private research program on behalf of the electric utilities, their customers, and society at large.

Today EPRI focuses on environmental protection, power delivery, retail use, and power markets. EPRI provides solutions and services to more than 1,000 energy-related organizations in 40 countries. Some of their breakthroughs include:

- More than 900 patents
- The groundwork for flexible AC transmission systems
- The largest electric and magnetic field health program in the world, playing a pivotal role in resolving scientific questions concerning potential links to cancer
- The world's largest center for nondestructive testing, used first for nuclear inspection and now for internal diagnostics of fossil power plants and industrial systems

To better understand the integration of breakthrough change, let's visit a few events in history. Within each of the two constant and overarching influences – *circumstantial cause* and *intentional cause* – certain grouped consistencies arise. You can depend upon *religion*, *warfare*, *environment*, and *beliefs* to create the conditions for circumstantial breakthroughs. We'll see how religious practices led to a breakthrough in timekeeping, how warfare led to a breakthrough in maps, how a big freeze led to a breakthrough in building safety, and how a certain set of false beliefs led to a breakthrough in quality of life. Within intentional cause, *context shifts* and *goals with unexpected results* open doors to important benefits beyond wildest expectations.

Breakthrough: Four Stories of Circumstantial Cause

Whenever we talk about breakthrough integrations, pretty soon someone repeats the old saw that "necessity is the mother of invention." This certainly applies to breakthroughs with circumstantial causes. Breakthroughs like these are never cut and dried. The changes can be gradual, over numerous recursions, with many contributors over long periods of time. The motivations are as varied as the people driving the changes, as we will see in the four short stories that follow.

1. **A Breakthrough in Timekeeping**
   Were it not for the need of some medieval monks to know when to pray each day, and we might not have a watch to wear. The moral necessities and technical skill of the medieval monks were crucial factors in the development of modern-day clocks. Medieval religious institutions required timepieces, because daily prayer and work schedules were strictly regimented, a constant reminder in the Middle Ages that God's work was to bring order out of chaos. For centuries, schedules where kept with devices like water clocks, sundials, and marked candles. For obvious reasons, these weren't very reliable. Then mechanical timepieces were conceived and perfected through trial and error. Improvements were shared among religious communities. Mechanical clocks could be used to broadcast times and durations in combination with bells, rung either by hand or by a mechanical device.
2. **Some Breakthroughs Beget Breakthroughs**
   The maps our parents and grandparents looked at in grade school geography class were made possible by cannons. The invention of the cannon – most likely a Chinese breakthrough in warfare based upon the innovative use of large bells – forced towns to reconfigure their layouts for their defenses. This new specialized science of town planning created a demand for precision surveying instruments that could measure longer distances and "turn" exact angles. The new equipment was another breakthrough that was later used to produce still another advance in the accuracy of maps.
3. **Environment and Chimneys: A Circumstantial Breakthrough**
   The fireplace you enjoy during winter months descends from a hot new idea that was all the rage when a cold snap in Europe lasted several hundred years. In the twelfth century, fireplaces with chimneys appeared in Northern Europe in response to a bitterly cold period. Chimneys provided a safer method to direct sparks and smoke up from rooms indoors and away from rooftops outside. Safer living spaces allowed for the luxury of several fires to heat a single building, creating more warmth and light. People could move their activities inside and work and play longer hours more comfortably. Chimneys radically changed how people lived in buildings and the ways that they used their buildings.
4. **False Beliefs and Air Conditioning: A Cool Combination!**
   The air conditioning we take for granted is possible because someone held a hair-brained notion about disease. Dr. John Gorrie, a nineteenth-century Apalachicola, Florida, physician, is considered to be the father of refrigeration and air conditioning because he believed in the miasma theory that heat and "bad air" from swamps caused malaria. He was wrong (and others with him!). However, his belief inspired him to experiment with new compressor technology to try to cool the air for patients in his small hospital. In time, his experiments paid off and he was able to freeze enough water into ice to create air conditioning. Dr. Gorrie had a vision that 1 day his invention would be used to cool large buildings and even cities. That day came after his passing.

Breakthrough: Stories of Intentional Cause

Upon broader consideration of the idea that necessity is the mother of invention, we'd like to distinguish that most designs are the brainchildren of intent. An invention starts with some specific purpose. The inventor is searching for a one-time, exclusive solution to a problem. The search is not so much out of necessity as it is based upon perceived benefit. There's often a motive of profit driving the invention. But then something unexpected happens, and the breakthrough takes the inventor in a new direction that could never have been anticipated.

1. **From Organs to Looms: When Existing Technology Goes Visiting**
   Aunt Agnes could afford those fancy paisley cushions in her living room because in 1801 French weavers transferred an existing technology into a new context. They saw it might be possible to apply principles behind an invention used for controlling automatic organs to build looms capable of weaving complex, repeatable patterns. The breakthrough result was the Jacquard Mechanical Loom. It was controlled by punch cards. This innovation allowed Joseph Marie Jacquard to use his loom to manufacture elegant textiles at affordable prices. If Jacquard were advised by a modern-day business consultant, the accomplishment would be characterized as having monetized hole-punch technology by successfully scaling its application to looms.
2. **A New Product Category Arises When Intention and Chance Combine**
   This one will make you wonder just how many possibilities in your company are lost because the outcome doesn't match the goal. William Perkins, in London in the mid-nineteenth century, was attempting to make artificial quinine. The white powder he produced was not quinine. Whether in frustration or from curiosity, he threw it in some water; the liquid suddenly turned a beautiful mauve. Perkins had invented the first artificial dye entirely by chance.

Principles for change integration

1. If you're not prepared to be wrong, you can't lead a change initiative.
2. If you're not prepared to be surprised, you can't integrate change.

Does knowing that these and other breakthroughs have all happened to help us to cause a breakthrough or increase our ability to integrate change? In other words, if we somehow recognize patterns and influences, can we plan to leverage and manipulate change? Not likely! There are too many variables and permutations. There is no way to know enough before engaging with change, but essential learning happens in your engagement with change itself. It seems there is no way to tell if something you are creating will eventually be used or where it will lead. It is virtually impossible to forecast change with one exception – the rate at which change will occur. It's going to happen faster than it did before. Abundant historical evidence suggests that this is a predictable constant. At best, you can be prepared to follow wherever the path of breakthrough may lead.

Communication Drives the Velocity of Change

What's making change happen faster? Increases in the ease and speed of communication are primarily responsible. Here are two macro examples:

A. Following the Dark Ages, there was a surge of invention in Europe once safe communication between cities was established.
   In the 1450s, one such invention was the printing press. By the sixteenth century, this breakthrough led to the ability to print affordable books in large numbers, which gave scientists the means to share their discoveries with multiple others.
B. About a hundred years ago, we marked the emergence of telecommunications. Here we have, perhaps, the best modern-day example of a correlation between ease of communication and rate of change.

Using book publishing and telecommunication as our starting point, let's look further into the fact that the rate of change increases with the ease and speed of communication.

Publishing: The ability to publish knowledge in machine-printed books marked the beginning of the rapid growth of *specialization*. It allowed those who specialized, like scientists, to coin and publish terms that only others in their fields could understand. It's interesting to watch the ripple effect (and paradox!) that developed with the printing press. One breakthrough change – the printing press – allowed for faster and easier and more communication. Improved communication led to specialization, a breakthrough for building knowledge but also a breakdown, because specialization is the most challenging barrier to the integration of change in organization. Specialization both helps and hinders communication.

When any big change is underway, it is not uncommon to find that those who are introducing the change – the specialists and executive leaders – don't speak in terms meaningful to those who must cope with the integration at other levels within their organizations. Precious little of the information imparted helps us to see how we will be impacted or how we can support the change beyond doing what we're told to do or how the organization will register the difference we and others make. Is this new arcane language a power play on the part of the change initiators? Hardly. This stressful situation happens because in many ways *change* and *integration* are also developing their own specialized vocabulary as the process unfolds. Even the change sponsors are asking one another, "So what is it we're doing here? Can you repeat that, please?"

Telecommunication: A later familiar breakthrough in the speed and ease of communication and telecommunication significantly increased the opportunities for trade and commerce to expand. Businesses grew in number and size. The complexity of doing business increased accordingly, and integrating changes in the ways in which business was conducted grew increasingly difficult. As commerce grew, out of necessity organizations of all types began to subdivide work into specialized activities. Each specialization created its own lexicon. Over time these specialized activities broadened into specialized fields of learning, each with its own language. Today, we take many specializations for granted and can find many types represented in the management sciences.

The Three Laws for Integrating Change

With a Big Nod to Newton

As we said earlier, the rulebook for change integration has not been written, and it is unlikely there will be a rulebook anytime soon. However, there may be *laws* for integrating change that can provide some guidance. We propose three universal laws as a starting point. But first an acknowledgment is in order.

It is said that plagiarism is a high form of praise. In this sense, our "three laws for change integration" are high praise for Sir Isaac Newton (1642–1727), because we have unabashedly borrowed upon his "three laws of motion" in modified form for our purposes. Newton did the heavy lifting and basic thinking. We have taken his breakthrough work in physics for use in a different context. This is a good example of *innovation*. Innovation is a form of change that is the product of intention. We innovate by taking something that has been established and applying it in a new way, for different purposes with the intention of producing a useful outcome. The Jacquard mechanical loom mentioned earlier was another innovation.

Here's the quick refresher on Newton's three laws of motion. His laws are used to explain *cause-and-effect* phenomena observable in the physical world. In their most simplified form, they are:

1. A body persists in its state of rest or of uniform motion unless acted upon by an external force.
2. The net force on an object is equal to the mass of the object multiplied by its acceleration.
3. To every action, there is an equal and opposite reaction.

Editing each of Newton's laws of motion, while maintaining the integrity of his thinking, brings new meaning to the nature of integrating change in organization.

Toomey's Laws for Change Integration

Toomey's First Law for Change Integration:

> **Survival and change amenability are inversely related.**
> *The longer a system survives, the less amenable it is to change.*

For example, an organization persists in its current state in the absence of an energetic intervention. It's a natural tendency of organization to keep on doing what it's doing. All organizations resist changes to whatever state they are in. In the absence of an intervention, an organization will maintain its state – homeostasis. From the organizational perspective, interventions are a form of "unbalanced energy." This kind of energy is the ally of leadership and the bane of management. Leadership generates interventions to create discontinuous change – to shake things up, move forward, and keep ahead of the curve. Management is charged to maintain states of reliability, predictability, and certainty, so it strives to neutralize unbalanced energies. It's little wonder that there can be so much tension around integrating change.

Toomey's Second Law for Change Integration:

The work needed to change is equal to the complexity of the system multiplied by the needed rate of change.

- A system's complexity is a function of the number of specializations and their interrelatedness.
- Capacity to absorb change increases with each successful change.
- Capability to cause change may exist at levels that exceed the organization's capacity to absorb change.

Change is initiated when work is directed at the organization to be changed, the target system. The greater the complexity of the system, the more energy (work) is needed to initiate change. When integrating change, a balance between capacity and change can be achieved by modulating the expected rate of change against the capacity of the system to absorb change. Carefully stretching an organization's capacity to absorb change by modulating the frequency and amplitude of the change being integrated reduces uncertainty, minimizes collateral damage, and grows more capacity. The Apple Computer is an organization that shines in this area.

Sometimes an organization has the capability – technology and "brain power" – to effect change, and does so, without being able to absorb the destabilizing energy that it releases. Several such events come to mind; the deployment of the atom bomb to end World War II and the BP oil spill in the Gulf of Mexico are just two.

Toomey's Third Law for Change Integration:

To every act of change integration, there is an equal and opposite reaction directed at disintegrating the change.

Experienced leaders know it best – estimate the amount of work needed for integration and then double the estimate. (And now the budget will only be exceeded by half the amount it would have been otherwise!) This means that the system naturally works to counter attempts to change it. Skillfully designed integrations absorb and neutralize this "reactive energy." It also follows that every large-scale change requires a certain amount of work to integrate change and additional work to neutralize and convert opposing forces. Typically in organizations, the planning for change integration fails to account for the additional work required to stabilize and sustain changes that constitute discontinuities for the system.

BACK TO PETROLEUM
By Ed Crooks
Financial Times, July 7, 2009

A slogan that was too successful

Rarely have two words proved as powerful, or as troublesome, for a company's reputation as "beyond petroleum". Launched in July 2000, the slogan—with a new logo and a lavish advertising budget—sent BP's brand awareness soaring in the US and helped it craft an image as the world's best-run oil company.

Critics argued that it also sent a message to the majority of the company's workforce that theirs was an outdated part of the business. It also set BP up for attacks from green campaigners, who could never be persuaded that the company had done enough to live up to its promise.

Lord Browne, then chief executive, had staked out his position on climate change, in opposition to the oil industry's tendency to deny or ignore it, in a speech at Stanford University in 1997.

When he set out the strategy, advised by Ogilvy, the public relations group, some BP executives were skeptical; others were enthusiastic.

In May, Tony Hayward, BP's present chief executive, described the company when he took over in 2007 as having "too many people that were working to save the world".

Not that the motivation was purely altruistic. In a business heavily dependent on government relations, a good public image is an advantage. The advertising blitz helped BP in the US, where it had transformed its business with the acquisitions of Amoco and Arco.

The sense that BP could go beyond petroleum was also seen as important for attracting the brightest and the best recruits.

One former BP executive remembers: "John Browne said: 'I don't want this company to turn into another BAT [the tobacco-based conglomerate]: we need to show that BP has a future'."

However, even the biggest enthusiasts failed to predict the slogan's impact. While the detail of BP's advertising made it clear the company was setting out in a new direction rather than changing overnight, the impression was created that it was no longer in the dirty – and sometimes hazardous – old oil and gas business.

There was substance behind the slogan: BP committed more strongly to renewables than other oil companies. Its downfall was that it failed to maintain the highest standards in its core business. When problems emerged, they were seized on vigorously by BP's critics.

Disintegration: When Organizational-Scale Communication Is Missing

Ever wonder why, when a business emergency occurs or when there is a material decline in performance, there often appears a positive response from employees? People rally; there is an organic response to emergency circumstances. Ad hoc groups and teams form to deal with the issues. Differences and disputes are set aside and adversaries work together. Situations that appear to be dangerous and emergencies are circumstances that provide clear consequences for a failure to take corrective action. The amplitude of the breakdown overrides most barriers, and people are motivated to figure out how to communicate and work together.

On the other hand, have you ever wondered why compelling new opportunities fail, particularly those with apparent potential to break with existing norms? Let's use the British Petroleum (BP) and their campaign to go "Beyond Petroleum" as an example. Despite a well-publicized, well-financed foray into new sources for energy, the Alternative Energy business offices for BP are closing, investment is being cut, and its chief executive took early retirement according to a July 2009 *Financial Times* article. A dramatic but not uncommon example, BP belongs to an industry faced with extinction if the company does not transform and it chooses to hunker down around its core business. But somehow the core got sloppy and BP was criticized for taking its eye off the ball. How did BP lose its grip on the core business in the first place? What did BP sacrifice in declaring its position as an industry leader in alternative energy?

Read the inset for an overview of the disastrous debacle. We have underlined two seemingly unrelated statements in the inset, because we think these explain why BP lost its grip on the core business.

First statement:

> *Critics argued that it also sent a message to the majority of the company's workforce that theirs was an outdated part of the business*.

The critics' observations were ignored. BP treated the warnings as mere speculation in the swirl of commentary on the new corporate direction. Surely stakeholders and the public could see the bigger picture. The message that BP sent in 2000 announcing the new slogan "Beyond Petroleum" was right on the money for the world's needs, where the industry needed to focus, and a bright new future for BP and its workforce.

The CEO's declaration was no empty statement. Capital was allocated; a new logo was adopted and an aggressive ad campaign followed. The message raised brand awareness and polished up the BP image, both very desirable outcomes. By promising to take leadership in finding alternative energy sources, the CEO took a courageous stand on BP's behalf. Certainly all would come to see the wisdom of this momentous course of action.

Given that BP is an energy company built on petroleum-based products, this new direction with its clear and compelling intentions would require fulfilling upon many breakthroughs. BP has a long history of engaging in breakthrough work and in developing leaders who can lead breakthroughs. So there was no reason to believe that this company-wide initiative would not succeed. What was missed?

Executive leadership at BP failed to recognize how business systems and human systems interrelate at the scale of organization. The announcement might have made explicit that the new endeavor was possible only because the excellent work accomplished by people in the core business would be the company's rock-solid foundation for transition into the future. Instead, BP put a macro game into play: The core business was pitted against "the new thing." The deadly game of "us against them" is never conducive to the integration of change. Put on the defensive, people are marginalized. They cannot see how their day-to-day jobs will contribute to making a difference. Nor can they see ahead to how their "obsolete" team or division will fit into a changed organization. This leads us to the second statement:

Its downfall was that it failed to maintain the highest standards in its core business.

> *It's this simple: People, business, and organization are one. There is no business or organization without people, and these people are listening very carefully to what their leaders have to say. This seems obvious on its face. Why don't we design and integrate companies like this is true?*

Obviously BP didn't do "downfall"; companies don't do anything. It's people who do things. One thing they do is to contribute excellence, but another thing they can do is to withdraw their contribution. When people contribute excellent work, they communicate that they believe in what they are doing. They can see how their work makes a difference and their work occurs for them as relevant. A company cannot buy excellence from its employees. Time, work, and reasonable quality can be purchased, but excellence is a gift given by employees. This gift maintains the high standards that every company needs in order to thrive. But the workforce at BP withdrew their gift. Over time, their pain in being marginalized communicated in terms of sinking performance. The second underlined statement, "…*it failed to maintain the highest standards*…," reflects how employees at BP sent a message back to leadership.

While unintended, with just one communication, executive leadership at BP told the majority of their employee base that they were not invited into the shiny new future of change. In turn the workforce let BP know that excellence would no longer be given. We admit that this story simplifies what must be a very challenging and complex situation at BP. However, the simplification does not invalidate the fact that, if leadership and management are not in communication with employees – which means listening on both sides – then the quality of relationship is insufficient for maintaining high standards of performance.

Human performance in all its forms depends upon trust, communication and relationship. . .nothing new here!

As if the first insult in 2000 were not enough, the new president of BP, Tony Hayward, issued another slap in 2007. He remarked that BP had "... too many people that were working to save the world." How many times does the same lesson need to be delivered before leaders see that people – not just some people, but all – in an organization are an interrelated whole? It's this simple: People, business, and organization are one. There is no business or organization without people, and these people are listening very carefully to what their leaders have to say. This seems obvious on its face. Why don't we design and integrate companies like this is true?

The quality of any business, its products and services, is mainly dependent upon employees and their relationship with the business end of the organization. Yet leadership too often takes that relationship for granted and behaves as if signing on for the job makes it reasonable to expect high performance. This is valid only up to a point. The limits to application are reached when a compelling reason to rise above a prevailing norm surfaces within the organization. Human performance in all its forms depends upon trust, communication, and relationship. Employees in an empowered relationship with their organization are a source of energy, flexibility, and creativity. That priceless equity is lost when human systems and business systems are not integrated. BP missed integration and its oversight was ultimately the source of its downfall.

Employees in an empowered relationship with their organization are a source of energy, flexibility, and creativity, and this is lost when human systems and business systems are not integrated.

Breakthrough: Art, Craft, and Science

At this moment, before we proceed further, let's briefly review what we've been discussing.

Breakthroughs at inception take *form* through *art*, *the work of leadership*; they are creations. Therefore, conceiving a breakthrough is an *art form*. Breakthroughs have the quality and impart the feeling of being unique. Each is very much one of a kind, beginning existence as somebody's inspiration, which is the case with all art.

Once in demonstrable form, breakthroughs move from the conceptual level of *art* toward functional reality via *craft*, *the work of integration*. A good example of the role of craft is the Sony Walkman. Its first expression, while functional and working in Sony laboratories, was crude in comparison to the portable little marvel that started the "small" revolution in consumer electronics. During *craft*, the path that the rough prototype followed from the lab to a finished product was, in part, a function of *dialectics*. (Should it look like this or like that? Should it work like this or like that?)

In *craft* the focus moves from "Can we make it work?" to "Can it be made to be effective?" Now more refined examples of the possibility demonstrated in the lab are crafted and tested. Can a prototype work smoother or faster, be bigger or smaller, cost less to produce, or look more attractive? Only once the *craft* phase has demonstrated reasonable feasibility and efficacy is the last phase, *science*, undertaken.

With science, the work of management and the game takes a turn to *method* and *methodologies*. It's all about efficiency, cost reduction, and quality control. In this phase, multiple disciplinary areas must coordinate: manufacturing, packaging, branding, distribution, marketing, sales, and service.

These three phases – *art*, *craft*, and *science* – are all forms of integration, each with unique effects and unique challenges. For the successful integration of breakthrough change, the "artful" leaders, the "crafty" integrators, and the "methodical" managers will keep communication flowing vertically and horizontally through all the levels of organization, until a new organizational paradigm is safely in place and all the stakeholders are satisfied winners in the new game. We can think of no better example of the relevant phases that art, craft, and science play in breakthrough than this story of change that took 800 years to integrate, as breakthroughs begot others.

Double-Entry Bookkeeping: 800 Years of Integrating Breakthrough

Art in 1211: Eight hundred years ago, a breakthrough occurred that planted the seeds of modern bookkeeping. We can see the earliest-known evidence of what we now know as the double-entry system in paper fragments found in Florence, Italy, and dated 1211. The fragments were once part of an account book that belonged to a Florentine banker. Why would we consider this newly conceived idea from the science of mathematics to be an art form? – because it was born in the realm of creativity. From 1211 forward, we can watch bookkeeping evolve and integrate.

Craft in 1458: As the practice of double entry grew in the fertile soil of commerce in Italian Renaissance, it began to shift from art form to craft. This phase took over 250 years. The "rules" were developed and codified through trial and error. Benedetto Cotrugli (1416–1469) is believed to have written the first book to mention double-entry bookkeeping in 1458. It was titled *Libro de l'Arte de la Mercatura* (*Book on the Art of Trade*). His and other similar handwritten manuscripts circulated throughout Italian city-states during the fifteenth century. We next see that in Venice in 1494 the Italian monk Luca Paciolo (1445–1517) published a book on mathematics. *Summa de arithmetica, geometria, proportioni et proportionalita* (*Everything About Arithmetic, Geometry and Proportion*) was a digest and guide to mathematical knowledge, a kind of *Everyday Math for Dummies*. Double-entry bookkeeping was one of five topics covered in 36 brief chapters. He made no claim to the invention of the double-entry system. He is, however, generally recognized as the author of the first published double-entry bookkeeping text.

Science in 1890: In the craft phase of bookkeeping, work was done by hand. Some rules were developed that allowed for shortcuts in record keeping, but it was still all work by hand. Then in 1880, a clear and compelling need for speed with accuracy presented itself. The US Constitution mandates a census every 10 years to apportion taxation between the states and to determine congressional representation. Thanks to the rapid growth of the US population, the 1880 US census took 7 years to complete, which made the data already obsolete by the time it was tabulated. Between 1880 and 1890, immigration continued to drive the population explosion. The Department of Commerce feared that if the snail's pace of the 1880 census process were used, the 1890 census could take over 13 years to complete (Fig. 20).

They found a faster way – remember punch cards used to manufacture the intricate patterns of Jacquard weaving? The German-American statistician Herman Hollerith (1860–1929) invented a mechanical tabulator. Once again based upon punch cards, it could rapidly tabulate statistics from data. The advantages of his technology were obvious for accounting and tracking inventory. Hollerith founded the Tabulating Machine Company in 1896. In 1911, four corporations, including Hollerith's firm, merged to form the Computing-Tabulating-Recording Corporation (CTR). Under President Thomas J. Watson, it was renamed International Business Machines (IBM) in 1924. Tabulators were used widely until 1940 when the first electronic computers began to appear. Here's a bird's-eye view of the progression of the science of automated bookkeeping:

1880 Hollerith Census Tabulator
1940 Computers based on vacuum tubes
1960 Computers based on discrete transistors
1964 Computers based on solid logic technology (SLT)
1981 Computers based on microprocessor central processing units (CPUs)
1990 Computers based on discrete integrated circuit (IC) CPUs

From the first tabulators to the early accounting machines (also called bookkeeping machines) to today's super computers, a myriad of applications have developed

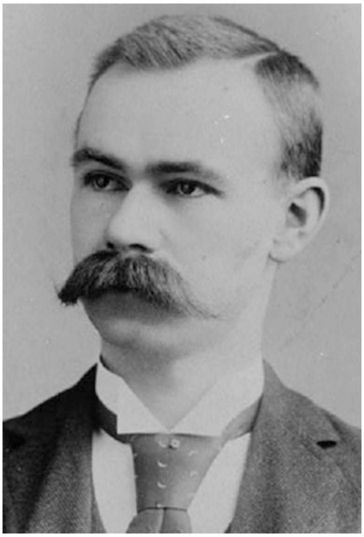


Fig. 20 Herman Hollerith

for recording data and reporting information. Today companies of all sizes have ready access to bookkeeping, accounting, and finance applications.

The capability in computer technology from 1990 forward allows for huge and complex applications. Today's *enterprise resource planning* (ERP) systems such as SAP and Oracle exemplify just two of many. While obvious, it's worth marking that advances in any technology lead to corresponding advances in application and compounded complexity. These combined factors necessitate the integration of change on a company-wide scale and the concurrent integration of breakthroughs at multiple levels.

As growing complexity drives the need for breakthrough at multiple levels, so the rate at which breakthroughs are required is increasing just so we can cope. Viewed from our current perspective, some might say that this 800-year historical outline is a continuous integration of breakthrough change all in the name of saving time. It began slowly and inconspicuously with one initial notion of double-entry bookkeeping and has gained momentum right through to automated ERP, accounting, and financial systems. Are we there yet? When do our heads stop spinning?

Key Points:

- *Art*, *craft*, and *science* are discrete phases of change integration.
- Breakthrough change can emerge in response to the need or because someone sees a new possibility for something that could be and would bring about positive change.
- Breakthroughs fall into two temporal categories:
  1. Some breakthroughs emerge across generations. Some take hundreds of years to fully integrate because the initial breakthrough leads to other breakthroughs, setting off a chain of breakthrough.
  2. Some breakthroughs must integrate within a single generation of management. This challenge is made more complex by a new phenomenon. For the first time in history, there are now five generations in the workforce, each with distinct worldviews, and therefore likely to approach integration in diverse ways.
- There is always at least one committed individual who stands for a possibility. It's someone committed to change who takes action and demonstrates results.
- People are at the source of integrating breakthroughs, and where breakthroughs occur, it is people who cause them. Societies, communities, and companies do not cause breakthrough, but they are the social systems where breakthroughs register – becoming visible to the rest of the world.
- Breakthrough begets breakthrough. Each breakthrough that is sustained leads to other breakthroughs.
- With each new technological breakthrough. we become increasingly dependent upon things we understand little about. This leads to specialization, which involves knowing a great deal about a small part of a larger whole.
- Sophisticated systems such as business organizations are technologically advanced entities that depend upon a wide variety of experts having disparate knowledge. Experts understand important, although small, parts of the whole. They provide little insight into the elements that hold the interdependent whole of organization together. They are likely to miss the forces that shape organization and provide cohesion for those who do the work that produces results.

Conclusion

In summary, we have shown that leaders in organization need to expand our awareness, lest organizations perish in self-preservation. Treating organization as strictly business keeps our horizons from expanding, even though we know intuitively that to compete successfully, organization needs more creativity and courage to step into the unknown. We lapse into perceiving organization as straightforward, repeatable acts of business that offer the seductive promise of stability.

The experience we have with perceptions and jurisdictions, linear thinking, our relationship with risk versus uncertainty, and applying rules we use for working with tools to working with people all illustrate a fundamental concept that *how we think* about organization puts constraints – limits – on how far the system can grow. Our current economic crisis has its roots in organizational thinking that has reached its limits of usefulness. When we apply a holistic view to organizations – integrating human systems with business systems – organizations will prosper.

Human systems integration is a phrase seldom used in business. However, many familiar methodologies depend on the integration of human systems for their success. Some examples are project management, governance, risk mitigation, total quality management, reengineering, six sigmas, lean, human factors engineering, safety, training, and simulations. When applied to business, these methodologies can produce valuable results, but there are limits to their application. The basic limitation arises.

There are two basic assumptions underlying the application of traditional disciplines within business systems (the processes for acquiring, developing, and fulfilling on business objectives). The first assumption is that as business systems are changed, people will fall in line. The second assumption is that an explanation regarding what is being done and why it is being done, combined with information and training, will insure that people fall in line. While there are compelling examples of these traditional approaches providing real value, research indicates that it only happens in 20% to 30% of the cases (Hammer 1990). Examination of the research indicates to me that the traditional approach works at certain scales and not others. The larger the change that is undertaken, the less likely it is that the traditional approach will meet expectations. Examples of large-scale systems change include mergers and acquisitions, total quality management, reengineering, and the implementation of enterprise-wide software systems. The results in each area support this assertion.

To be successful in flipping the odds from 20/80 to 80/20 in large-scale change, we need to shift contexts by placing human systems integration in the context of organization rather than in the context of business systems when what is possible takes on new meaning. It is an approach that is distinct from the traditional one, in which human systems are dealt with in the context of business systems. In this new approach, human systems are addressed concurrently with business systems, and both are now placed in the larger context of organization. There then arises an expanded set of implications, which includes significantly improved adoption rates and considerably increased leverage, particularly when dealing with what seem to be recurring, unsolvable, or insurmountable business problems.

To address human systems in the context of organization requires a state shift in our thinking. The first step in shifting our thinking is to begin to see and understand "organization" as a whole system. The second step is to see and understand that business systems are one part of the whole and that these two terms (business systems and organizational systems) are not alternate ways to say the same thing. The third step is to recognize that a state shift in thinking from the scale of business systems to organizational systems is the same kind of shift needed when one moves from a Newtonian "cause-and-effect" view (how we tend to think of business systems) to a quantum view (how I am proposing we begin to think of organization). Besides a state shift in our thinking, we also need to understand that state shifts can occur in organizations.

Think of an *inflection point* as that point in a system where there is a state shift. When there is a state shift, the content remains constant, and the form and shape shift, e.g., there is a shift in state. I offer water as an example. There are two temperatures at which water goes through a state shift. At 112 °F water ceases to be liquid and becomes gas. At 32 °F water ceases to be liquid and becomes solid. Gas, liquid, and solid are the states in which water is the constant and 112 °F and 32 °F are the inflection points for state shifts to occur.

With that example in place and the idea that people are the constant in the existence of organization is all it states, consider this. Human systems integration is about managing the state shifts within organization and between organization and the world in which it exists. It is about working at the inflection points (the liminal, in-between, threshold places) where state shifts occur. Organizational, business, human, and developmental systems exist distinctly much as does gas, liquid, and solid (H_2O, being the common element). The common element for organization and its three sub-systems is people. In the same way that H_2O has particular properties and unique behaviors in each of its states, so do groups of people exhibit unique properties and behaviors in the various states of organization. When working with gas, liquid, and solids, it requires differing methods of interaction. This is also the can when working with organization and its three sub-systems. How we work to change businesses systems is not the way we must work when change is occurring in human or developmental systems. Each requires a significantly unique approach.

Groups of people in each of the states are both the source of results (positive leverage) and the most likely place for breakdowns (negative leverage). When people are, on one hand, integrated with the whole system and, on the other, dealt with in terms of the concerns that arise when they are working within a particular sub-system (the state), a synergy occurs that cannot be explained in terms of the sum of the parts. This is what our work is about.

Cross-References

► A New World is Already Here: Lessons from Radically Different Organizations
► Activating the Corporate Soul
► Creating a Flow Organization to Lead into the Future
► Cultivating a Global Mindset Through "Being-Centered" Leadership

▶ Global Transformation: Visions of an Imminent Future
▶ Whole System Transformation with Music

References

Carse J (2011) Finite and infinite games: a vision of life as play and possibility. Free Press, New York
Coase R (1990) The firm, the market, and the law. University of Chicago Press, Chicago
Doyle M, Strauss D (1992) How to make meetings work – the new interaction method. Jove Books, New York
Fukuyama F (1995) Trust: the social virtues and the creation of prosperity. Free Press, New York
Gibb J (1978) Trust: a new view of personal and organizational development. Guild of Tutors Press, Los Angeles
Gleick J (1998) Chaos: making a new science. Viking Penguin, New York
Hammer M (1990) Reengineering work: don't automate, obliterate. Harv Bus Rev 90:104–112
Handy C (2005) Understanding organizations. Penguin Business Library, New York
Healey J (1997, March 19) Covert activity saved sports car. USA Today: 1B
Heisenberg W (1927) Über den anschaulichen Inhalt der quantentheoretischen Kinematik und Mechanik. Z Phys 43:172–198
Hock D (1999) Birth of the chaordic organization. Berrett-Koehler, San Francisco
Knight F (1921) Risk, uncertainty and profit. Houghton Mifflin Company, Boston
Krueger J, Kilham E (2006) Who's driving innovation at your company? Business Journal, September 14, 2006. Retrieved from http://news.gallup.com/businessjournal/24472/whos-driving-innovation-your-company.aspx on 13 Feb 2018
Lorenz E (1995) The essence of chaos. University of Washington Press, Seattle
Luft J (1969) Of human interaction. National Press, Palo Alto
Meadows D, Randers J, Meadows D (2004) Limits to growth: the 30-year update. Chelsea Green Publishing, White River Junction
Nayak P, Ketteringham JM (1993) Breakthroughs. Mercury, Didcot, England
Peter L, Hull R (1976) The Peter principle: why things always go wrong. Bantam Books, New York
Pinchot G, Pellman R (1999) Intrapreneuring in action: a handbook for business innovation. Berrett-Koehler, San Francisco
Robert H, Patnode D (1989) Robert's rules of order (original 1876 edition revised). Berkeley Books, New York
Sachs M (1974) Ideas of the theory of relativity: general implications from physics to problems of society. Wiley, New York
Schafer L (2013) Infinite potential: what quantum physics reveals about how we should live. Deepak Chopra Books, New York
Schefter J (1997) All corvettes are red: the rebirth of an American legend. Simon & Schuster, New York
Scott R (2016) Organizations and organizing: rational, natural and open systems perspectives. Routledge, New York
Shireman B, Kiuchi T (2001) What we learned in the rainforest: business lessons from nature. Berrett-Koehler, San Francisco
Shlain L (1998) The alphabet versus the goddess: the conflict between word and image. Viking Penguin, New York
Talbot M (1986) Beyond the quantum. Bantam Books, New York
Towers Perrin (2006) Towers Perrin global workforce study. Towers Perrin, Stamford, CT
Wheatley M (1994) Leadership and the new science. Berrett-Koehler, San Francisco
Zukav G (1979) The dancing wu li masters. William Morrow and Company, New York

Spiral Dynamics Integral and LGBT Workplace Equality: An Integral Approach to Diversity Management

Terry H. Hildebrandt

Contents

T. H. Hildebrandt (✉)
Terry Hildebrandt and Associates, LLC, Denver, CO, USA
e-mail: terry@terryhildebrandt.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_71

Abstract

Full inclusion of lesbian, gay, bisexual, and transgender (LGBT) employees into the workplace continues to be a challenge, despite progress in legal protections and social acceptance in the last two decades. A new transformational, developmental model for managing LGBT diversity in organizations is proposed, applying Spiral Dynamics Integral (SDi), where multiple value systems exist within employee groups. Several diversity management paradigms are integrated with seven value systems levels of SDi to explain how organizations differ in their approaches to LGBT workplace equality. A process model of change is proposed to show how individuals and organizations transform their thinking and strategies under certain life conditions. The next evolutionary diversity management paradigm is also hypothesized. Specific diversity management and communication strategies for LGBT workplace inclusion are proposed for each of the seven levels. Lastly, a process model for applying SDi principles to LGBT workplace advocacy is proposed.

Keywords

LGBT · Gay · Sexual orientation · Spiral dynamics · Diversity · Inclusion · Gender identity · Integral · Workplace · Values

Introduction

During the last decade, much progress has been made providing legal protection for lesbian, gay, bisexual, and transgender (LGBT) people. The U.S. Equal Employment Opportunity Commission (EEOC) now “interprets and enforces Title VII’s prohibition of sex discrimination as forbidding any employment discrimination based on gender identity or sexual orientation. These protections apply regardless of any contrary state or local laws” (U.S. Equal Employment Opportunity Commission 2017). However, the EEOC’s position is still being debated in federal courts to determine if Title VII includes sexual orientation or not (Cohen 2017). As of early 2017, only 19 states and the District of Columbia had laws prohibiting discrimination based on sexual orientation and gender identity, and three states prohibit discrimination based only on sexual orientation (American Civil Liberties Union 2017b). In the workplace, both corporations and nonprofit organizations in the USA and internationally are dedicated to improving LGBT workplace equality (Human Rights Campaign Foundation 2007; Lambda Legal 2007; Out and Equal Workplace Advocates 2007; Stonewall 2007). Much progress has been made in the USA toward this goal. In 2016, 92 percent of the Fortune 500 companies include sexual orientation in their nondiscrimination policies and 82 percent include gender identity (Human Rights Campaign Foundation 2016). However, a 2014 study by the Human

Rights Campaign found that "despite a changing social and legal landscape for LGBT people, still over half (53 percent) of LGBT workers nationwide hide who they are at work" (Human Rights Campaign Foundation 2014, p. 2). Clearly much work is still left to be done.

How we think about our world and *why we think this way* are key dimensions of diversity. Research has shown that how individuals and cultures think emerges along a predictable path (Cowan and Todorovic 2005). Understanding the key stages of this emergent process can give us insight into how to best understand ourselves and others, and this understanding in turn has application to workplace equality strategies. What if LGBT advocates customized their strategies based on the worldviews of the people in specific organizations? This is where Spiral Dynamics Integral (SDi) comes into the picture. SDi is inherently a transformational model that describes how individuals and organizations evolve in their thinking from multiple perspectives, as I will describe in detail below.

I have three key objectives in this chapter: (a) understand a key vertical dimension of diversity – worldviews and value systems – based on the work of Clare W. Graves and Spiral Dynamics Integral, (b) explore the various approaches to diversity management common at each level of human emergence, and (c) develop a preliminary framework for LGBT workplace equality strategies which appeal to organizations and individuals based on their specific levels.

Levels of Human Existence and Spiral Dynamics Integral

Spiral Dynamic Integral (SDi) is a theory describing value systems that have manifested in human history to explain the diverse worldviews and belief systems of individuals, organizations, and cultures (Beck 2002b). Don Beck and Christopher Cowan (2006) developed Spiral Dynamics® from the original work of Dr. Clare W. Graves (1914–1986), a Professor at Union College, Schenectady, NY. Graves (1981) called his theory the "Emergent, Cyclical, Double-Helix Model of Adult Biopsychosocial Systems Development" also known as "Levels of Human Existence Theory" (Graves 1970a, b) or "Emergent-Cyclical Levels of Existence Theory" (ECLET or E-C) (Cowan and Todorovic 2005). Graves (1974) describes his theory as follows:

> Briefly, what I am proposing is that the psychology of the mature human being is an unfolding, emergent, oscillating, spiraling process marked by progressive subordination of older, lower-order behavior systems to newer, higher-order systems as man's existential problems change. (p. 72)

Don Beck and Christopher Cowan studied under Clare W. Graves during the last decade of his life and coauthored the book *Spiral Dynamics: Mastering Values, Leadership, and Change*. Spiral Dynamics® added the nomenclature of colors and vMEMEs (value memes) to popularize ECLET. Beck went on to develop Spiral Dynamics Integral incorporating Ken Wilber's (2001) Integral Model. Next, I will provide a brief overview of Graves' research and the basic concepts and structure of Spiral Dynamics Integral.

Clare W. Graves' Research

Clare W. Graves endeavored to better understand human nature (Cowan and Todorovic 2005; Lee 2002). This started in response to one of Dr. Graves' students asking him which psychological theory was "correct" after completing Graves' introductory survey class of psychology in the 1950s. This question led to 21 years of research in four major phases (Cowan and Todorovic 2005). In Phase 1, Graves asked his students to develop a "personal conception of psychologically mature behavior" (Cowan and Todorovic 2005, p. 45). In Phase 2, Graves classified the conception papers into categories of *existential states* using independent judges. In Phase 3, Graves further investigated the categories via direct observation of student groups and standard psychological testing. In Phase 4, he conducted library research comparing other theorists' work to his new model.

Graves' Findings

Graves (1970a) found that human nature is an ever emergent, open system which evolves by "quantum-like jumps from one steady-state system to another" (p. 133) and that human values change as each system emerges. Graves (1970a) called these systems *levels of existence* or *existential states*. Beck and Cowen (2006) later named them *values memes* (vMEMEs). A vMEME is a core adaptive intelligence, a value system, and a worldview that permeates thought structures, decision-making systems, and various expressions of culture (Beck 2002b; Beck and Cowan 2006). Each vMEME is "organizing principle, centre of gravity, geometric fractal, self-replicating force, and magnetic field that attracts content-rich little memes" (Beck and Cowan 2006, p. 31). To date, eight levels, stages, waves, or vMEMEs have emerged in human history. These levels are a product of interaction between humans' external conditions of existence (*life conditions*) and their activated neurological systems (*coping mechanisms*) to deal with those life conditions (Beck 2002b; Graves 1970a). The life conditions are denoted by the first letter of the existential state name (A, B, C, D, E, F, G, and H), and the coping mechanisms are denoted by the second letter (N, O, P, Q, R, S, T, and U). Table 1 provides a brief summary of the eight levels, which I will explore in greater detail later.

Key Concepts

Value systems or vMEMEs describe *types in people* rather than *types of people* (Beck and Cowan 2006). The value systems describe how a person thinks, not what is valued (Beck and Cowan 2006). None of the value systems is inherently better or worse than any other; however, each level can be expressed in healthy, positive behaviors or unhealthy, negative behaviors (Beck and Cowan 2006; Graves 1970a). People at each state are motivated by different things (Graves et al. 1970). The vMEMEs alternate between focusing on self-expressive systems (RED, ORANGE,

Table 1 Summary of vMEME levels and motivations

SDi color	SDi name	Graves' names	Motivation
BEIGE	SurvivalSense	A-N automatic/ autistic	Survival, physiological needs of hunger and sex
PURPLE	KinSpirits	B-O tribalistic/ animistic	Safety, protection, placating spirits, honoring ancestors
RED	PowerGods	C-P egocentric	Power and control, hedonism, sensory pleasure, exploitation
BLUE	TruthForce	D-Q saintly/ absolutistic	Order, purpose, one right way, salvation
ORANGE	StriveDrive	E-R materialistic/ multiplistic	Success, goal orientation, influence, autonomy, achievement
GREEN	HumanBond	F-S sociocentric/ relativistic/ personalistic	Connection, harmony, humanitarianism, affiliation, love
YELLOW	FlexFlow	G-T cognitive/ systemic	Learning, knowing, independence, systems thinking, self-worth
TURQUOISE	GlobalView	H-U experientialistic/ intuitive/differential	Synergy, global community, world consciousness, planetary concerns
CORAL			Too early to tell

Source: (Beck 2002a; Beck and Cowan 2006; Cowan and Todorovic 2005; Graves 1970a, 1974; NVC Consulting 2001)

and YELLOW – the warm colors) and self-sacrificing or collective systems (PURPLE, BLUE, GREEN, and TURQUOISE – the cool colors) (Beck and Cowan 2006). The vMEMEs are *holons* (or whole-parts) in that each successive vMEME is a complete system in itself (a whole) but is also part of the next higher-order system (Wilber 1995). As each vMEME emerges in a natural hierarchy, it *transcends and includes* the previous levels like the layers of an onion (Beck 2002b; Wilber 1995). In this way, a person may have a center of gravity (COG) at GREEN but at times can express, reject, or suppress earlier thinking systems. Value systems can ebb and flow as our life conditions change (Beck and Cowan 2006). Consequently, value systems can consist of an infinite number of combinations and patterns. Lastly, the first six vMEMEs are *subsistence levels* which are also known as *first tier*; YELLOW and TURQUOISE are the beginning of the *being levels*, also known as *second tier*, which are continuing to emerge (Beck and Cowan 2006; Graves 1970a).

Spiral Dynamics Integral

Beck (2002a, b) has worked with Wilber (1995, 2001) to add the Integral Map conceptual framework of quadrants, levels, lines, states, and types to create Spiral Dynamics Integral (SDi) presented in Fig. 1. Each vMEME can be examined from four perspectives: self and consciousness, brain and organism, social systems and environment, and culture and worldview. This conception is consistent

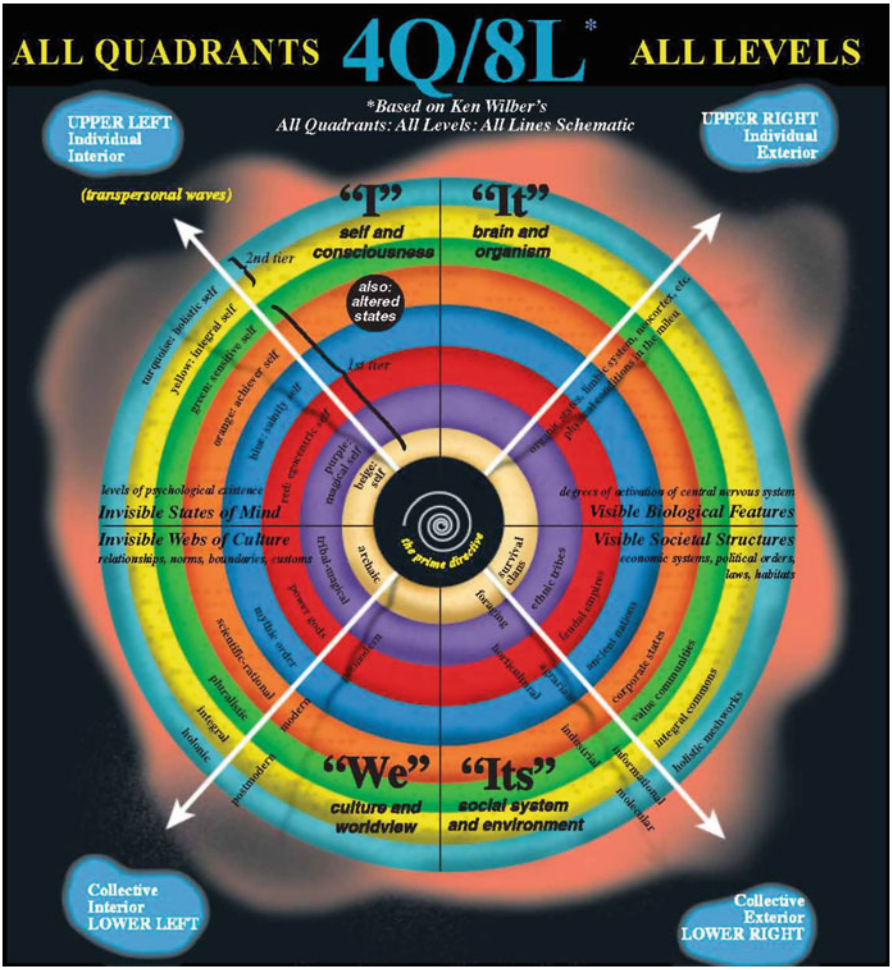


Fig. 1 Spiral Dynamics Integral Map (Copyright 2002 by Don Edward Beck. Reprinted with permission)

with Graves' original theory consisting of biopsychosocial systems with *bio* being upper right (UR), *psycho* being upper left (UL), and *social* being the lower quadrants (LL and LR).

Movement of the Spiral

Graves also developed an extensive theory of how individuals, groups, and entire cultures evolve and move up the spiral to more complex thinking as life conditions activate new coping mechanisms within people. Graves (1974) described *six* *conditions for change* necessary for the higher-order coping mechanism to allow new, higher-order states to emerge. These are (a) *potential* in the brain, (b) *resolution* of problems at present and earlier levels, (c) *dissonance* due to a breakdown of the current level coping mechanism not working for the present life conditions, (d) *insight* into alternative ways to solve the new problems, (e) *overcoming barriers* to implement the insights, and (f) *consolidation* and support to implement the details of the insights into a new way of thinking. Graves (1970a) also found that as human thinking and capacities evolve to solve the life conditions at one level, this in turn creates new problems, resulting in the need for further evolution resulting in a "never ending quest of human emergence" (Cowan and Todorovic 2005, p. 417). Beck and Cowan (2006) elaborated on the process of change and defined five steps in the change process, illustrated in Fig. 2.

1. The ALPHA fit is where the individual, group, organizational, or cultural coping systems are working well for the current life conditions.
2. The BETA condition creates dissonance in that the coping mechanisms no longer are effective in dealing with the life conditions or the external environment. At this point, individuals or organizations can try several strategies. They may look to previous systems (regress) for solutions. They may also try what has worked

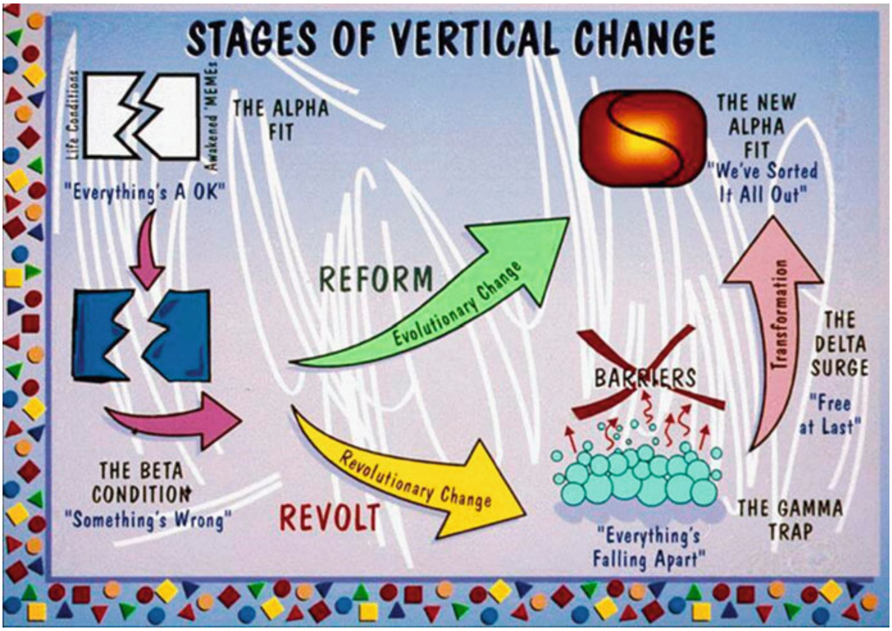


Fig. 2 How individuals and groups move through the spiral (*Note*: Spiral Dynamics: Mastering Leadership, Values and Change (p. 86) by D.E. Beck and C. C. Cowen. Great Britain, Blackwell Publishers. Copyright 1996 by Don Edward Beck and Christopher C. Cowen. Reprinted with permission)

before, usually to no avail. They many also fine-tune or make evolutionary changes to improve the situation, thus moving to a NEW ALPHA. If these strategies are not successful, and none of this works, people can get stuck in a GAMMA trap.
3. The GAMMA trap is a state of frustration, stress, hopelessness, and anger. Nothing seems to be working and people feel stuck. This is where insight is needed to be able to move forward and overcome the barriers.
4. The DELTA surge occurs when the insights are realized and the barriers are overcome. A surge of energy occurs at this time that enables a flurry of activity as a breakthrough has occurred. However, there is risk of rejecting the lessons of the previous vMEME resulting in regression to previous states or destroying the platform which got them to where they are now. People also need consolidation and support in maintaining their newfound ways of thinking and being.
5. The NEW ALPHA state is a new equilibrium where the lessons of the previous vMEME and the insights to overcome the GAMMA trap are integrated into a new way of thinking that provides solutions to the new life conditions. However, over time the new vMEME creates its own set of new problems which can initiate a new BETA condition to start the cycle of emergence again.

An individual's potential for change can also be thought of as OPEN, ARRESTED, or CLOSED (OAC) (Beck and Cowan 2006, p. 76). In the OPEN state, one can potentially move through the five phases as life conditions change. In an ARRESTED state, one is blocked by current barriers. In the CLOSED state, one may not have the neurological or biopsychosocial capacities to recognize that life conditions have changed or see the barriers to change. Graves (1971) found that employees in an OPEN state like to be managed by principles and managers one level above their current level. Those in CLOSED states prefer approaches and managers at their current level. Graves et al. (1970) called this the *congruent management strategy*. Understanding how change occurs is an important component to leading and facilitating the change process.

The cycle of human emergence can be applied to individuals, organizations, and entire cultures. My interest in this chapter is to explore how this relates to workplace equality and managing diversity. Next, I will review some of the literature on diversity management and demonstrate how Spiral Dynamics Integral can be applied.

Diversity Management Paradigms

Diversity management researchers have identified several paradigms to explain the various approaches that organizational leaders take in managing diversity. I will present two frameworks describing diversity paradigms commonly used in organizations. As I will show later, these paradigms map nicely into Graves' levels of existence theory.

R. Roosevelt Thomas, Jr.'s, Diversity Paradigm

R. R. Thomas, Jr. (Thomas 1996), describes in his diversity paradigm framework eight action options: include/exclude, deny, assimilate, suppress, isolate, tolerate, building relationships, and foster mutual adaptation. Note that his diversity paradigm applies to not only people but to any situation where diverse mixtures are present. Each of the action options is summarized in Table 2.

I will demonstrate later that R.R. Thomas, Jr.'s, diversity paradigm action options correlate with different vMEMEs in the spiral. Next, I will look at other paradigms for managing diversity.

Dass and Parker's four Perspectives to Managing Workforce Diversity

Dass and Parker (1999) have described four perspectives which leaders use in managing workforce diversity. Three of these are based on the diversity paradigms work of Thomas and Ely (1996). The four diversity perspectives are resistance, discrimination-and-fairness, access-and-legitimacy, and learning-and-effectiveness (Dass and Parker 1999; D. A. Thomas and Ely 1996). Since D. A. Thomas and Ely used the term *paradigm*, and Dass and Parker used the term *perspective*, I will use the terms paradigm and perspective interchangeably in this chapter. Next, I will describe the four paradigms and explore how they correlate with vMEMEs.

Table 2 R. R. Thomas, Jr.'s, diversity paradigm's action options

Option	Description
1. Include/exclude	Include by expanding the number and variability of mixture components or exclude by minimizing the number and variability of mixture components
2. Deny	Minimize mixture diversity by explaining it away
3. Assimilate	Minimize mixture diversity by insisting that "minority" components conform to the norms of the dominant factor
4. Suppress	Minimize mixture diversity by removing it from your consciousness – By assigning it to the subconscious
5. Isolate	Address diversity by including and setting "different" mixture components off to the side
6. Tolerate	Address diversity by fostering a room-for-all attitude, albeit with limited superficial interactions among the mixture components
7. Build relationship	Address diversity by fostering quality relationships – Characterized by acceptance and understanding – Among the mixture components
8. Foster mutual adaptation	Address diversity by fostering mutual adaptation in which all components changed somewhat, for the sake of achieving common objectives

Source: Thomas (1996, p. 20). Copyright 1996 by R. Roosevelt Thomas, Jr. Reprinted with permission

Resistance Perspective

Organizations operating under the resistance perspective work to protect the status quo and see diversity as a nonissue or threat (Dass and Parker 1999). The dominant power group maintains control by excluding people different from them. Dass and Parker (1999) note the primary approach to diversity is "reactive, characterized by denial, avoidance, defiance, or manipulation" (p. 60). The resistance paradigm is still alive and well across the world especially in regard to LGBT equality. In the last few years, a plethora of legislation has been proposed to allow discrimination based on sexual orientation on the basis of "religious freedom" (American Civil Liberties Union 2017a). So-called bathroom bills have also been proposed and passed by state legislatures to prevent transgender people from using the bathroom consistent with their gender identity and expression (Kralik 2017).

The resistance paradigm has much in common with the RED vMEME. Graves (1974) described the *egocentric existence level* as consisting of "haves" and "have-nots." Those in power believe they have the right to behave in whatever way they choose to further their own goals without guilt or regret (Beck and Cowan 2006; Cowan and Todorovic 2005). The world is seen as a "jungle full of threats and predators" (Beck and Cowan 2006, p. 45). The resistance paradigm is common in organizations where the external and internal pressures to change are minimal. However, as minority groups gain power and companies face lawsuits (BETA conditions), this approach is much less tenable. A new paradigm for managing diversity arises.

Discrimination-and-Fairness Paradigm

The goal of the discrimination-and-fairness paradigm is to level the playing field for those that have traditionally been left out due to prejudice and discrimination (Dass and Parker 1999; D. A. Thomas and Ely 1996). Thomas and Ely (1996) found that organizations that are successful in using this paradigm are often top-down, structured, and bureaucratic in nature, with clear codes of conduct which are enforced, measured, and rewarded by management. Organizational members widely hold the value of fairness. This paradigm is also often associated with equal opportunity policies, affirmative action laws, and anti-discrimination laws and tends to focus on disadvantaged groups (Dass and Parker 1999). Success in diversity initiatives is measured by progress toward recruitment and retention goals (D. A. Thomas and Ely 1996).

Advantages to this paradigm are that it can increase demographic diversity and fair treatment (D. A. Thomas and Ely 1996). However, this paradigm also assumes that all employees should be treated the same. This results in "color blindness" or "gender blindness" where employers and employees *deny* that differences exist (R. R. Thomas, Jr., 1996). A common mantra might be "we are all just people." The organizational culture requires that minorities *suppress* their differences and *assimilate* into the mainstream (D. A. Thomas and Ely 1996; R. R. Thomas, Jr., 1996).

Harvey J. Coleman (1996) offers advice to minorities on how to assimilate and argues that minorities can empower themselves by learning the unwritten rules of the "organizational game." This results in minorities *shifting* between different personas at work, at home, and in their communities (Jones and Shorter-Gooden 2003).

The discrimination-and-fairness paradigm fits well within the BLUE vMEME. Graves (1974) noted that at the *saintly* or *absolutistic level of existence*, people are driven by specific rules of proper behavior. The organization structure at this level is pyramidal and authoritarian (Beck and Cowan 2006). The organizational culture focuses on the "one right way" of doing things (Beck and Cowan 2006; Cowan and Todorovic 2005). Organizational members respect the authority of management, value order, structure, rules, and laws (Cowan and Todorovic 2005). The concept of fairness central to the discrimination-and-fairness paradigm is in alignment with BLUE vMEME thinking.

Access-and-Legitimacy Paradigm

The 1980s and 1990s brought new thinking to diversity management motivated by the promise of increased profits and market share by tapping into growing multicultural markets which Thomas and Ely (1996) labeled the *access-and-legitimacy paradigm*. Management argued that to better serve diverse markets, the workforce needed to reflect the diversity of the customer base (D. A. Thomas and Ely 1996). The mantra changed to "diversity isn't just fair; it makes business sense" (D. A. Thomas and Ely 1996, p. 83). This paradigm also tends to broaden diversity beyond disadvantaged groups to include any element of difference and incorporates the concept of *inclusion* into its vocabulary (Dass and Parker 1999).

The paradigm has an advantage of being market based, but has the disadvantage of isolating diversity and exploiting employees (Dass and Parker 1999; D. A. Thomas and Ely 1996). The market-based foundation provides a strong business case for diversity due to its focus on the bottom line. However, Thomas and Ely (1996) note that management tends to *isolate* diverse employees by having them focus on niche markets, rather than integrating their expertise into the larger organization. Diversity in this paradigm is often *tolerated*, but not truly accepted as equal to the dominant culture. Minority employees are viewed as legitimate and necessary for the success in multicultural marketplaces, but they are not integrated or accepted by the mainstream (R. R. Thomas, Jr., 1996). This can result in employees feeling exploited by the organization (D. A. Thomas and Ely 1996).

The access-and-legitimacy paradigm is an expression of the ORANGE vMEME in Spiral Dynamics Integral. Graves (1974) described the *materialistic* or *multiplistic level of existence* as allowing a diversity of thought, but still maintaining that there is one best way (Cowan and Todorovic 2005). The values of the ORANGE vMEME include "accomplishing and getting, having and possessing" (Cowan and Todorovic 2005, p. 309). The key theme of this vMEME is "express self for what self desires, but in a fashion calculated not to bring down the wrath of others" (Cowan and Todorovic 2005, p. 307). In ORANGE thinking, diversity is viewed as a necessary tool for prosperity and competitive advantage. Minorities share in the success of the enterprise, but their approaches are not considered the “best way” or equal to the dominant culture.

Some elements of the access-and-legitimacy paradigm also show evidence of GREEN vMEME thinking. The *personalistic* or *relativistic level of existence* is primarily concerned with acceptance, belonging, and harmony with others (Cowan and Todorovic 2005; Graves 1974). Dass and Parker (1999) note that “this perspective not only recognizes differences but also values them” (p. 71). The mantra here is “celebrate diversity.” Organizations may use diversity awareness training, multicultural fairs, and sensitivity training. In R. R. Thomas, Jr.’s, paradigm, this is called *build relationships* (R. R. Thomas, Jr., 1996). In GREEN thinking, employees move beyond tolerance to acceptance of difference. However, this increased sensitivity and understanding are not integrated into the core capabilities, process, or power systems of the organization (Dass and Parker 1999; D. A. Thomas and Ely 1996; R. R. Thomas, Jr., 1996). Another common drawback to GREEN thinking is that “valuing all differences equally may seem to ultimately value none” (Dass and Parker 1999, p. 71). Managers may be unwilling to act in support of the unique needs of one employee group due to fear of being perceived to favor one minority group over another.

Learning-and-Effectiveness Paradigm

In the learning-and-effectiveness paradigm, organizations learn from employees’ diverse perspectives and *integrate* this knowledge into the core intelligences, processes, structures, missions, and cultures to enhance the effectiveness and efficiency of the organization (Dass and Parker 1999; D. A. Thomas and Ely 1996). The mantra here is “leveraging the power of diversity.” The dominant power systems change to incorporate multiple perspectives. The *work itself* gets diversified, not only the workforce (Lorbiecki 2001). R. R. Thomas, Jr. (1996), calls this *foster mutual adaptation*. The learning-and-effectiveness paradigm acknowledges that both similarities and differences are important (Dass and Parker 1999). While the access-and-legitimacy paradigm focuses on *assimilation* of diversity into a homogenous culture, and the access-and-legitimacy paradigm encourages *differentiation* into niche markets, the learning-and-effectiveness paradigm focuses on *integration* (D. A. Thomas and Ely 1996). Managers value differences as rich sources of creativity and look for areas of synergy and commonality to unite teams. The learning-and-effectiveness paradigm incorporates the goals of the previous two paradigms. It includes compliance with anti-discrimination laws, fairness, and access to new markets; however, it also seeks innovation, customer satisfaction, employee development, and social responsibility (Dass and Parker 1999).

Lorbiecki (2001) has criticized the learning-and-effectiveness perspective as dualistic and not paying enough attention to power differences between in-groups and out-groups. She argues that changes to the core work processes and strategies of an organization will be resisted directly or indirectly by those whose political interests are threatened. She suggests that organizations develop new learning capabilities to address power. Foldy's (2004) model holds promise in this regard.

Foldy (2004) has elaborated on the learning-and-effectiveness perspective by incorporating group learning frames and behaviors related to cultural diversity. She argues that simply holding a learning cognitive frame of the paradigm is insufficient. Organizations must develop learning capacities to be able to realize the benefit of diversity. Foldy argues organizational learning requires that employees are encouraged to draw upon their cultural differences, differences are discussed openly, and that *everyone* is responsible for addressing difference.

The learning-and-effectiveness paradigm is an expression of YELLOW vMEME thinking. The *integral level of existence* begins the *second tier* of existential states and represents a momentous leap in human thinking and development (Beck and Cowan 2006; Cowan and Todorovic 2005; Graves 1974). The theme of the YELLOW vMEME is to "express self for what self desires, but never at the expense of others and in a matter that all life, not just my life, will profit" (Cowan and Todorovic 2005, p. 365). In this worldview, knowledge and competency are more important than status, organizational level, or power (Beck and Cowan 2006). Organizations operating in the YELLOW vMEME center of gravity demonstrate flexibility, spontaneity, and functionality (Beck and Cowan 2006). People operating with YELLOW thinking not only value diversity, they embrace it, listen to it, and incorporate its wisdom. The YELLOW vMEME also values and respects the other vMEMEs; it *transcends and includes* them (Beck 2002b).

Hypothesizing the Next Diversity Management Paradigm

Using Spiral Dynamics Integral as a model, we should be able to hypothesize the next shift in diversity management paradigms. Beck and Cowan (2006) describe the vMEME after YELLOW as TURQUOISE, *holistic*, or WholeView. The basic theme of this level is to "experience the wholeness of existence through mind and spirit" (Beck and Cowan 2006, p. 47). TURQUOISE-level thinking is concerned with synergy among all groups and life forms. It looks for opportunities to create balance on a global level. Global problems require global cooperation which puts the planetary concerns (such as global climate change) above the desires of narrow group interests. "Collective imperatives and mutual interdependencies reign supreme" (Beck and Cowan 2006, p. 289). If diversity management thinking follows the SDi prescribed evolution as it has in the past, we should be able to make some predictions regarding what the next paradigm will look like.

I propose the title of *interdependence-and-cooperation paradigm* for the next wave or level of diversity management thinking. Multinational corporations are working on a global basis more than ever before. Supply chains for product and service delivery run across national and geographic boundaries. Companies are offshoring many elements of support and service to India and China (Friedman 2006). Today when an American customer calls most major computer manufactures' support phone numbers, they will frequently be talking to someone in India or Costa Rica. The explosion of the Internet has also “flattened the world” (Friedman 2006) by creating instant information access and publishing ability. The Institute for the Future argues that a *cooperative strategy* will be required for success in business in the twenty-first century (Saveri et al. 2004). IBM’s global program manager for LGBT workforce diversity, Brad Salavich (2006), notes that IBM has implemented a global nondiscrimination policy inclusive of sexual orientation, gender identity, and gender expression. Motorola and Symantec also are working across countries and cultures to develop standards of behavior that create respect, cooperation, and synergy on a global basis (Davis and Serpa 2005). A group of 29 international human rights experts released groundbreaking international legal principles on sexual orientation, gender identity, and international law in an effort to “chart a way forward for both the United Nations and governments to ensure the universal reach of human rights protections” (International Commission of Jurists and International Service for Human Rights 2007, para. 1). Dickens (1999) has also advocated for a three-pronged equality strategy consisting of government regulation, employers, and trade unions complementing and reinforcing each other. The above demonstrate a clear trend toward global interdependence and cooperation.

Comparing the Diversity Paradigms to vMEMEs

The diversity paradigms are similar to Graves’ levels of human development in several key ways. Lorbiecki (2001) recognizes “there is a sense of movement in which each phase attempts to deal with the inadequacies of the previous phase. But, in turn, each development poses further problems” (p. 358). In a similar fashion, Graves (1970a) describes the emergence of the vMEMEs. “These states emerge as man solves certain hierarchically ordered existential problems crucial to him in his existence. The solution of man’s current problems of existence releases free energy in his system and creates, in turn, new existential problems” (Graves 1970a, p. 133). So, we see that both the diversity paradigms and the vMEMEs emerge as further developments to solve existential problems. Another key similarity is that both transcend and include the previous levels. Lastly, each successive state of development requires that new capabilities be activated in the system. For example, the learning-and-effectiveness paradigm requires improved organizational learning capacity (Foldy 2004).

Another key comparison is related to first-tier and second-tier thinking. Gagnon and Cornelius (2000) observe that the workplace equality literature debates whether social justice or business case reasons should be the driver for equality. Graves (1974) observed that between the specific first-tier levels of thinking, in this case BLUE and ORANGE, heated conflict frequently arises. In the second-tier YELLOW thinking, Graves observed a willingness to integrate the thinking of previous levels into a consistent whole, similar to the approach of the learning-and-effectiveness paradigm.

Spiral Dynamics Integral and LGBT Workplace Advocacy

Next, I will offer a proposal of how Spiral Dynamics Integral could be used to develop a model for LGBT workplace advocacy. I will describe examples of both LGBT oppression and support at each of the vMEMEs. I will also suggest advocacy and diversity management strategies specifically designed for each level. Lastly, I will apply Beck and Cowan's (2006) model for stages of vertical change to show how organizations move through the vMEMEs as life conditions change.

A truly integral model should include thinking about all quadrants, all levels, all lines, all states, and all types (AQAL) (Wilber 2001). My LGBT workplace advocacy model is a preliminary attempt to look at all these perspectives, focusing primarily on the quadrants and levels (vMEMEs). My goal is to stimulate the reader to begin to develop his or her own model to apply diversity paradigms and SDi to develop workplace equality strategies that are targeted to specific mixtures of worldviews found in individuals, teams, and organizations. I want to emphasize that people and organizations think from multiple vMEMEs at once. Beck (2002b) compares these to musical chords playing multiple notes simultaneously. Any specific organizational diversity strategy would include a combination of strategies appropriate to the memetic codes in operation. It is also important to understand which phases of change organizations and individuals may be in – ALPHA, BETA, GAMMA, DELTA, or NEW APLHA – and whether they are in an OPEN, ARRESTED, or CLOSED (OAC) state. One key thing to remember when practicing SDi is to ask the question "why?" an individual or organization is behaving the way they do. Asking "why?" can give us insight into the deeper memetic codes driving how people think. Each of the vMEMEs has a *theme* which is shared by everyone at that center of gravity; however, the surface manifestations or *schema*, as Graves called them, may look very different depending on local conditions (Cowan and Todorovic 2005).

The Integral LGBT Workplace Advocacy Model is summarized in table form in the Appendix. Here, I will posit descriptions of workplace equality at seven levels while acknowledging that this is a dramatic simplification of reality which would, in fact, reflect chords of memetic codes. Each of these descriptions is based on the theme of each vMEME, but the behavioral examples are only possible schemes which may vary from place to place in practice. Since BEIGE is concerned with basic physiological needs, diversity management and workplace equality do not apply at that level. Therefore, I begin the model with PURPLE.

PURPLE vMEME

The PURPLE vMEME is tribalistic or animistic. Indigenous worldviews are still active in many parts of the world culturally and active within individuals. As I have explained before, even if an individual or organization has developed into a higher center of gravity (COG), the less complex vMEMEs are retained as thinking systems which may be dormant or active. Therefore, PURPLE is relevant today in all organizations.

From earliest recorded history, indigenous peoples have believed in a worldview where all things are connected and imbued with spirit (Cajete 2000). Wilber (1995) describes this as the great chain theory. Each link in this grand web of life has intrinsic value and exists to serve the greater whole. The worldview of Native Americans emphasizes the interrelationships of all things, an animate universe imbued with spirit, constant motion and flux, relationship with the land, and treating all things with respect (Fixico 2003; Little Bear 2000). Knowledge is gained through "seeing" which is "a cooperative effort between both the subconscious and the conscious mind" (Fixico 2003, p. 17).

What might LGBT equality look like in a PURPLE center of gravity community (see Appendix: Table A1)? Everyone belongs, everyone feels safe, and everyone has a role to play. In PURPLE, LGBT people recognize they are different and accept the gift that spirit has given them. Same-sex attraction is observed as a natural variation of human sexuality. The larger community may view LGBT members as special or gifted. Blood kinships trump sexual orientation and gender identity. Elders and leaders welcome LGBT people as full members of the family or tribe. Special positions of honor or unique roles are often given to LGBT people (Williams 1986/1992).

West African author and teacher Sobonfu Somé (2000) describes the Dagara tribes' view of same-sex attracted people as spiritual *gatekeepers* for the community. She notes that the labels of *gay* and *lesbian* do not exist in Dagara, and same-sex attracted men and women are integrated into the community. They are expected to serve in special spiritual roles as "people who live a life at the edge between two worlds—the world of the village and the world of spirit" (Somé 2000, p. 132). Same-sex attracted people generally keep their sexual orientation to themselves and the tribe doesn't seem to care much about orientation (Somé 2000). The gatekeepers also serve the role of mediators between the genders. The Dagara people view gender as purely *energetic*; a physical male can vibrate with female energy and a physical female can vibrate with male energy (Hoff 1993). To the Dagara, all sexuality is spiritually based (Somé 2000).

Williams (1992) also documents that many Native American tribes have historically honored same-sex attracted men and women and gender-variant people, referred to as *berdaches* by anthropologists. Many were recognized as shamans or spiritual mediators (Williams 1992). When Europeans brought the Bible-based BLUE vMEME version of Christianity to North America, many tribes began to ostracize the berdache role (Williams 1992). More recently, two-spirit societies have organized around the USA to restore the traditional role of LGBT Native Americans (The Two Spirit Society of Denver 2007).

What are possible expressions of LGBT oppression centered in PURPLE thinking (see Appendix: Table A1)? LGBT individuals are believed to be sick, cursed, or demon possessed. The elders in PURPLE are primarily motivated by safety and security of the tribe, and LGBT people may be seen as a danger to the well-being of community. As a result, LGBT members are expected to stay deep in the closet or to behave heterosexually. LGBT people try to deny their attractions and feelings and abide by the heterosexual norms of the group. LGBT family members may be disowned, and LGBT employees may be fired for coming out or being discovered. The LGBT community itself may be divided into factions – gay men vs. lesbians. Bisexuals and transgender people are excluded from the "gay community."

What diversity management strategies and tools might work in a PURPLE situation (see Appendix: Table A1)? The theme of PURPLE is the safety of the tribe, respecting ancestors, and obedience to elders (Beck 2002b). Therefore, the elders must educate the community about LGBT people, culture, and development. This is what the two-spirit society attempts to do in reestablishing the ancient traditions of honoring two-spirit people. Elders and LGBT role models could encourage healthy exploration of sexuality within the safety and support system of the tribe. They could develop special rituals or traditions to honor the LGBT coming out process and same-sex partner commitment ceremonies. The elders might widen the membership definition to include LGBT people and appeal to common bonds other than sexual orientation. They might also integrate LGBT people into the tribe with special roles. Next, I will describe the RED vMEME.

RED vMEME

What might LGBT equality look like in RED (see Appendix: Table A2)? The primary theme of RED is to "express self impulsively (as self desires) without shame or guilt" (Beck and Cowan 2006, p. 96). It would be rare to find a western company operating at a RED center of gravity in all areas of management (all *lines* using Wilber's 2001 integral model); however, many organizations and individuals may be using RED thinking when it comes to the LGBT equality developmental *line*. I will first offer a possible description of what equality might look like in RED.

In RED, equality manifests as a high level of respect between and among differentiated individuals. LGBT individuals understand that they are different from others and respect and honor their uniqueness as strength. LGBT people boldly accept themselves and demand respect for what they bring to the workgroup, and this overcomes any perceived weakness for being LGBT. LGBT employees succeed based on their power and influence in any position. Sexual orientation and gender identity take a back seat. In a workplace where RED is dominant, equality equals *respect*. Informal alliances of LGBT employees start to form as people "come out" – that is, disclose their sex orientation and gender identity.

What barriers to equality might exist in a RED system (see Appendix: Table A2)? Coworkers see LGBT individuals as weak or inferior – the "have-nots." Shame and guilt surround being LGBT. LGBT employees develop internalized homophobia by believing the negative messages they hear. LGBT people stay in the closet or they try to hide or deny their feelings and attractions altogether. Employees fear being "outed" or having others reveal their orientation without their permission. The gender binary of male or female is believed to be the only acceptable option; consequently, gender-variant employees are labeled sick. Gender nonconformity is punished. In worst cases, queer bashing, harassment, and blatant discrimination occur without remorse or guilt (Colgan et al. 2006). Gay jokes may be frequently heard. LGBT people are *isolated* into stereotyped jobs or shunned by coworkers. Management may only hire LGBT people for low-status jobs. I commented earlier that the *resistance perspective* of diversity management is common in RED thinking. Here, we see how the heterosexual "haves" in power would endeavor to keep out the LGBT "have-nots."

What workplace strategies might work with RED thinking (see Appendix: Table A2)? Offer tangible and immediate rewards for desired behaviors and for reaching goals (Cowan and Todorovic 2005). Focus on the strengths that individuals bring to the job regardless of sexual orientation and gender identity. Provide exposure to affirming LGBT role models and mentors who have been very successful in business or other pursuits. Provide opportunities for LGBT employees to prove themselves to gain the respect of coworkers. Focus on communicating "what's in it for me" with heterosexual coworkers. Develop LGBT leaders. Support LGBT pride parades and festivals, since this can be a form of RED expression for LGBT people themselves. Conflict is inherent in a RED environment and power plays are constant. Management must set very clear examples of the desired behavior regarding respect for LGBT people and immediately confront undesired behavior. I will next look at the BLUE vMEME.

BLUE vMEME

The theme of BLUE is "sacrifice now for reward to come later" (Beck and Cowan 2006). BLUE thinking focuses on the "one right way and only one right way to think about anything" (Cowan and Todorovic 2005, p. 254). What might equality look like in a BLUE system for LGBT people (see Appendix: Table A3)? Equality exists when everyone holds to a common, transcendent purpose and is enacted by clearly defined rules, processes, and policies. LGBT individuals believe their sexual orientation and gender identity are an important part of their life purpose. There is a shared belief that all employees should be treated with respect, dignity, and fairness regardless of sexual orientation and gender identity. Being out at work is normal and expected within the guidelines set by the organization. Heterosexual and LGBT employees are both expected to abide by the same social norms as dictated by the rules. Sexual orientation and gender identity are included in nondiscrimination and non-harassment policies. Employee resource groups exist to support LGBT employees.

What obstacles to equality might exist in a BLUE center of gravity organization (see Appendix: Table A3)? In BLUE, we see a lot of black and white thinking and conflict between various ideologies; therefore, one "right way" conflicts with another "right way." For example, only heterosexuality is deemed normal; consequently, heterosexism is evident in systems, attitudes, polices, and behaviors. Herek (1992b) defines *heterosexism* "as an ideological system that denies, denigrates, and stigmatizes any nonheterosexual form of behavior, identity, relationship, or community" (p. 89). Some may believe homosexuality is a sin or abnormal. Some heterosexuals may believe that LGBT people are a threat to society. LGBT people themselves may believe God must be punishing them or that they are evil. LGBT individuals may try to deny their feelings and attractions. At work, gay employees are expected to suppress their LGBT identities to conform to the heterosexual norms. Some even attempt to assimilate into heterosexual life. Gender stereotypes and gender binary mental models are strongly held. Policies and practices leave out LGBT people.

A very common example of BLUE vMEME LGBT oppression is religious intolerance. For example, Burdette et al. (2005) found that the doctrine of biblical literalism was the most significant explanation of why conservative Protestants tend to be less tolerant of homosexuals than other groups. The resulting moral absolutism (read BLUE vMEME) has created a religious dogma that may be incompatible with tolerance of lesbians and gays (Burdette et al. 2005). Some religious scholars, teachers, and leaders interpret the Qur'ān to condemn homosexuality, and many Islamic states enforce sodomy laws with severe penalties (Sofer 1992). The increase in Islamic immigrants has in some cases threatened the quality of life of LGBT people in Western Europe (Lisotta 2006). Herek (1992a) states that heterosexism and antigay violence may serve the psychological function of expressing one's values. For example, speaking against homosexuality proves that one is a "good Christian." It is important to note that a business executive, as an example, may be center of gravity (COG) ORANGE in most areas of her life, but her fundamentalist church may be COG BLUE. While she understands the business case for diversity and LGBT workplace equality, she, at the same time, may believe that homosexuals are evil sinners who are destroying the fabric of society. This can create an internal conflict between value systems operating within such an individual.

Despite the ubiquity of religious intolerance for homosexuality, it is important to understand that not all religion is antigay. Religion can also exist at other memetic levels, which may be very accepting of LGBT people, such as GREEN or YELLOW versions of Christianity and Islam. Even some forms of BLUE religion may be very dogmatic about their support for the civil rights of all people, including LGBT people. Homosexuality may not be addressed at all in some religions. Next, I will offer some workplace equality strategies that work in a BLUE system (see Appendix: Table A3).

I argued earlier that the *access-and-legitimacy paradigm* of D. A. Thomas and Ely (1996) is consistent with BLUE thinking. Employees at this level respond to an authoritarian, structured management style (Cowan and Todorovic 2005, p. 268). Leaders set the expectation that all employees will be treated with respect, dignity, and fairness as core company values. Leaders and managers set clear behavioral expectations and enforce the rules with consequences. The goal is not to change anyone's beliefs, but rather to focus on behavior. Management may create a "Standards of Personal Conduct Policy" to spell out expected behaviors with a zero-tolerance policy for LGBT harassment. Leaders can also create a superordinate goal or higher purpose that unites all employees across personal differences. Another key step is to add sexual orientation, gender identity, and gender expression to non-discrimination and non-harassment policies. Lastly, employees may start a formal or informal LGBT employee network for peer support and internal lobbying for domestic partner benefits and transgender benefits. Raeburn (2004) found that a majority of companies offering domestic partner benefits did so only after facing pressure from LGBT employees. Next, I will discuss the ORANGE level.

ORANGE vMEME

The theme of ORANGE is to "express self calculatedly with little shame or guilt" (Beck and Cowan 2006). The focus moves from the absolutism and authoritarianism of BLUE to autonomy, independence, material abundance, and competitive advantage (Beck and Cowan 2006). ORANGE is also associated with modernity and positivism (Wilber 2001). What does healthy ORANGE look like for LGBT workplace equality (see Appendix: Table A4)? Here, LGBT employees believe their uniquely queer perspective adds competitive advantage to the organization and can be used to further their careers. LGBT employees bring inside expertise to meet the LGBT market's needs. Management recognizes that LGBT customers are a valuable target market. Witeck Communications estimated the combined buying power of the US LGBT adult population for 2015 at $917 billion (Witeck 2016). In addition, queer culture is seen as innovative and fashionable, and LGBT employees are viewed as creative. The organization uses a "queer-blind" meritocracy system that rewards employees based on their contributions to the bottom line. Coworkers espouse a "live and let live" philosophy (Beck 2002b). Domestic partner benefits are used as a marketing and recruiting tool.

What might oppression look like in an ORANGE system (see Appendix: Table A4)? LGBT people see themselves as second-class citizens. While they are comfortable being out, LGBT employees are merely tolerated but not accepted or valued as people. Employees in general are as viewed as resources (or overhead expense) rather than the core of the company. Employees view their coworkers as competitors in the organizational game or as stepping stone to be used for personal gain. Sex reassignment surgery is not offered as a medical benefit due to the small number of employees impacted and the small return to the company in terms of image promotion. People end up feeling used.

What strategies might be useful to further LGBT equality in an ORANGE system (see Appendix: Table A4)? I mentioned earlier that the *access-and-legitimacy paradigm* is consistent with ORANGE values. Here, LGBT advocates need to emphasize the business case for LGBT diversity and pursue the LGBT market for profit and revenue share. Companies could offer domestic partner benefits to attract talent and offer sex reassignment surgery (SRS) benefits to improve company image and increase sales. A recent US survey found that seven out of ten heterosexuals and nearly 90% of gay and lesbian adults polled are likely to buy from a brand that is known to provide equal workplace benefits for all of its employees, including gays and lesbians (Witeck-Combs Communications 2007). Companies can include

LGBT-owned businesses in their supplier diversity programs, join the LGBT Chamber of Commerce, and sponsor LGBT events, such as pride parades and festivals, to promote a gay-friendly image to gain market share. Witeck-Combs Communications (2007) reported that 77% of gay and lesbian adults say they are likely to consider brands that support nonprofits and/or causes that are important to them as an LGBT person. Advocates can also educate management on the negative impact of homophobia and heterosexism on productivity and creativity. Lastly, companies can develop LGBT employees and leaders through mentoring programs and leverage their LGBT employee resource group to meet business goals.

GREEN vMEME

The theme of the GREEN vMEME is to “sacrifice now in order to get acceptance now” (Cowan and Todorovic 2005, p. 337). GREEN is focused on community, unity, sharing, harmony, consensus, and liberation from greed and dogma (Beck and Cowan 2006). GREEN is often associated with postmodernism and relativistic values (Wilber 2001). What does healthy GREEN look like for LGBT people (see Appendix: Table A5)? LGBT people see themselves as unique individuals with something to offer the larger community. LGBT people are fully accepted and valued as people. Everyone is given a voice as long as they respect others’ rights. There is intolerance of intolerance toward homosexuality often found in BLUE thinking. The paradox of GREEN is that all are accepted except those that don’t abide by the rules of pluralistic relativism – acceptance of all viewpoints and values as correct. They believe that everyone should live in harmony and community. Caring friendships develop across people with different sexual orientations and gender identities. Straight allies fight for social justice and LGBT equality in the workplace and the community. Many GREEN COG companies and employees support civil rights legislation for LGBT people. Domestic partner benefits and other spousal equivalency policies and practices are implemented to create true equality in benefits and pay. GREEN resists the concept of hierarchy and holarchy as elitist (Wilber 2001). There is often a preoccupation with being politically correct.

While at first GREEN may seem to be the pinnacle of LGBT equality at long last, there can also be oppression (see Appendix: Table A5). GREEN often gets stuck in consensus decision making and trying to please everyone resulting in not pleasing anyone (Beck and Cowan 2006; Wilber 2001). GREEN also will fight the BLUE vMEME’s absolutist, one-right-way worldview as oppressive. While at first this might seem desirable, all levels in the spiral serve as purpose and must be working is a healthy way for the overall health of the spiral (Beck and Cowan 2006). In an attempt to not offend anyone, GREEN COG coworkers may be unwilling to visibly stand up for LGBT equality for fear of possibly upsetting their conservative Christian coworkers. They may also lose the competitive drive to win in favor of cooperation. They may *suppress* LGBT differences and unique needs in an attempt to focus on what all humans have in common (R. R. Thomas, Jr., Thomas 1996). They may also make excuses for RED egocentric, antigay behavior by blaming the environment or society.

What strategies may be appropriate in a GREEN COG environment (see Appendix: Table A5)? As I mentioned earlier, building relationships (R. R. Thomas, Jr., Thomas 1996) is a common diversity management strategy for GREEN. Advocates should use diversity fairs, dialogues, awareness training, and speakers to build understanding and relationships. Pettigrew and Tropp (2000) found in a meta-analysis of studies that intergroup contact is proven to reduce prejudice. Advocates can educate the workforce on the human impact of heterosexism and homophobia. Companies can discuss and celebrate the unique history of LGBT culture and people. Employee resource groups can suggest supportive actions that LGBT allies can take to further equality. Advocates can appeal to GREEN's humanistic values of equality, human rights, and dignity. Management can sponsor and attend gay pride celebrations and support LGBT nonprofits and social causes. It is important to understand the all the previous memetic modes are also in operation, since this is a holarchy. Diversity strategies at GREEN would also need to include potential strategies for previous vMEMEs as well. This might include arguing the business base for inclusion (ORANGE), uniting the organization around shared values and beliefs (BLUE), empowering employees to get the job done (RED), and emphasizing our dependence on each other (PURPLE). This discussion of GREEN concludes the *first tier*, subsistence existential states, which leads me to a discussion of YELLOW.

YELLOW vMEME

The theme in YELLOW is to "live fully and responsibly as what you are and learn to become" (Beck and Cowan 2006, p. 47). Graves (1974) called YELLOW, the first *being level* of existence, a momentous leap for humanity. Beck and Cowen (2006) describe the unique nature of YELLOW:

> Scales drop from our eyes enabling us to see, for the first time, the legitimacy of all the human systems awakened to date. They are forms of human existence that have a right to be. The systems are seen as dynamic forces that, when healthy, contribute to the overall viability of the Spiral and, as a result, to the continuation of life itself. (p. 276)

The motto of YELLOW is to "thrive and help thrive" (Beck 2002b). YELLOW is also focused on learning, competence, functionality, flexibility, and integrative and open systems (Beck and Cowan 2006). What might equality look like in YELLOW for LGBT people (see Appendix: Table A6)?

All forms of diversity are embraced and seen as important to the success of the organization. LGBT workers are integrated into the workforce and contribute their unique perspective into the core work, processes, and structures. The company integrates the benefits of all the previous memetic levels and takes things a step further. LGBT employees bring unique knowledge of the LGBT market, are accepted by their peers, and are integrated into the core functions of the business at every level of management. The company realizes the full benefit of the knowledge and perspectives that an LGBT background and life experience brings to the organization. YELLOW thinking understands how the LGBT experience fits into the overall functioning and health of the business.

Despite all the positives of YELLOW thinking, there can also be problems (see Appendix: Table A6). YELLOW can appear to be thinking at vMEMEs of lower complexity due to its systemic worldview. In a closed condition, YELLOW thinking can be impatient and even ruthless (Beck and Cowan 2006). For example, people may become very insensitive to the need for structure at BLUE or the political correctness of GREEN. YELLOW typically acts as a chameleon, using the strategies of other memetic codes. This "moving up and down the spiral" can at time seem like regression or inconsistency from the perspective of an individual vMEME (Beck and Cowan 2006). Without context, actions might seem contradictory. YELLOW will at times conflict with the GREEN vMEME values by making unpopular decisions that violate GREEN's value of consensus. YELLOW thinking LGBT advocates may end up losing the trust and support of their GREEN thinking colleagues.

What diversity management strategies might we consider at YELLOW (see Appendix: Table A6)? All the previous levels become viable options for diversity management, since YELLOW is above all concerned with knowledge and systemic functioning. YELLOW thinking works across different cultures and worldviews using the appropriate strategies for the memetic codes in operation (Beck and Cowan 2006). YELLOW accepts others where they are in their development and adjusts its approach accordingly. YELLOW removes barriers to growth and helps keep the system open to change and develops linkages and coalitions across diverse groups. I argued earlier that the learning-and-effectiveness paradigm is a manifestation of YELLOW thinking. Organizations learn from employees' diverse perspectives and *integrate* this knowledge into the core intelligences, processes, structures, missions, and cultures of the organization to enhance the effectiveness and efficiency (Dass and Parker 1999; D. A. Thomas and Ely 1996).

What specific strategies might we use for LGBT workplace equality (see Appendix: Table A6)? YELLOW thinking people see sexual orientation and gender identity as only one aspect of the larger human condition. Consequently, LGBT advocates need to educate others on the systems and context of LGBT issues and the needs of people at each level of existence as part of a larger complex system. Understand the key functions that LGBT people play at each level of the Spiral. Respect LGBT employees' knowledge and support their development and education. Design flexible systems, organizations, and polices that match the multiple levels of existence and the capacity, needs, and culture of people at each level. Provide access to LGBT specific information and resources to create big-picture views and monitoring systems. Invite LGBT people to be part of the solution and to lead. This brings me to the next level, TURQUOISE.

TURQUOISE vMEME

The theme of TURQUOISE is to "experience the wholeness of existence through mind and spirit" (Beck and Cowan 2006, p. 47). Here, cooperation, trust, holistic thinking, global ecology, and systems are primary concerns (Beck and Cowan 2006;

Cowan and Todorovic 2005). What might a healthy version of TURQUOISE level workplace equality look like (see Appendix: Table A7)? Advocates take a spiritual approach to the connectedness of all types of people, including LGBT people, and facilitate healing across people and cultures. They rely on the ability of the human brain to see complexity and patterns (Beck and Cowan 2006). Global networks of LGBT groups emerge across all nations and companies to cooperate and coordinate their activities. This is already happening with groups such as Out and Equal Workplace Advocates (2007) and the International Gay and Lesbian Human Rights Commission (2007). LGBT people are represented as an important part of society in all organizations.

What might possible forms of oppression look like at the eighth level (see Appendix: Table A7)? TURQUOISE thinking sees LGBT people as only one of the many valuable expressions of life on Earth and may at times trade off the interests of LGBT people for the greater good. TURQUOISE requires cooperation; therefore, there may be times when the specific needs of LGBT people may be sacrificed to optimize the greater system. LGBT people as a minority may get lost in the big picture. However, it is important to note that so few people are at TURQUOISE at the current time, and our understanding of possible impacts in the cultural and social systems is unknown and speculative at best.

Earlier, I proposed the title of *interdependence-and-cooperation paradigm* for the next wave or level of diversity management thinking. What might this look like for LGBT equality (see Appendix: Table A7)? Advocates will need to educate everyone on complexities of sexual identity development for all humans across national and cultural boundaries. Global companies are already facing this challenge, as I mentioned earlier with the examples of IBM, Motorola, and Symantec. TURQUOISE defines how LGBT people fit into the larger, global human systems with unique gifts and roles to further the health of the entire global human system. This is not unlike the spiritual role that the gatekeepers play in the Dagara tribe as described in PURPLE earlier (Somé 2000). Graves observed that the eighth level is most like the second level (PURPLE) only in a higher order form (Cowan and Todorovic 2005). Here, global standards of civil rights and workplace equality will be adopted for all LGBT people worldwide. Saveri et al. (2005) at the Institute for the Future have described how emerging digital technologies are creating tools enabling cooperation strategies required in TURQUOISE to flourish. These include self-organizing mesh networks, community computing grids, peer production networks, social mobile computing, group-forming networks, social software, social accounting, and knowledge collectives.

Summary and Communication Strategies

Beck (2002b) teaches that each memetic system best responds to specific messages and specific communication sources. In Table 3, I suggest specific messengers and summarize possible LGBT equality messages for each vMEME. In practice, one

Table 3 Communication strategies for each vMEME

vMEME	Best source	Diversity messages
BEIGE	Not applicable	Not applicable
PURPLE	• Respected leaders • Company founders	• Appeals to maintain a work "family" • Emphasize common bonds that transcend sexual orientation and gender identity • Develop ceremonies that honor LGBT members
RED	• Person with recognized power • LGBT people who have been very successful	• Provide examples of LGBT people as strong successful leaders • Demonstrate "What's in it for me now" for majority to include LGBT members
BLUE	• Person with position, power, or rank • Use the chain-of-command	• Appeal to tradition of values around respect and dignity for all employees • Set expectations of non-harassment and nondiscrimination through policies and adherence to local laws • Set standards of personal conduct
ORANGE	• Credible professionals and "gurus" • Diversity experts • Successful mentors and models	• Focus on the business case for diversity • Competitive advantage • LGBT marketing to reach LGBT customers • Promote company image as progressive on LGBT equality indexes published by HRC, DiversityInc, and out & equal workplace advocates • Talk about the negative impact of homophobia, heterosexism on productivity and creativity
GREEN	• LGBT trusted colleagues • Friends and family of LGBT people • Victims of anti-LGBT violence	• Talk about human rights, equality, and social justice • Awareness training and the personal impact of homophobia and heterosexism • Offer opportunities to build relationships and make a difference
YELLOW	• Any useful source	• Show how LGBT equality fits systemically into all other areas of interest
TURQUOISE	• Peer learning from others in the TURQUOISE community	• Show how LGBT people contribute to the functioning and health of the whole human systems, globally • Emphasize networks working across nations, companies, and geographies

would of course use a combination of messages and messengers depending on the memetic codes in operation in the individual, group, or organization being addressed. For people in a CLOSED state, the best principle is to use the messages at their current level. For people in an OPEN state, use messages that are one level above their current state as well. The key is to develop communication strategy that is congruent to the audience.

Applying SDi to LGBT Workplace Equality

I have provided an understanding of each of the vMEMEs, healthy and unhealthy examples of behaviors, and possible strategies that may be effective; I will now turn to a process model for applying the SDi principles to LGBT workplace equality advocacy.

1. *Look for the life conditions.* What are the specific environmental and psychological conditions present in the workplace? What is the history of the organization? What is happening in the larger community? What is the status of the legal situation? Are LGBT people out or in the closet at work? Is there an LGBT employee resource group? Are there visible LGBT people in management? Does the company market to LGBT people? Two good sources for this kind of information are the Human Rights Campaign's (2007) Corporate Equality Index in the USA and Stonewall's's (2007) Workplace Equality Index in Britain.
2. *Look for the vMEME levels.* What is the center of gravity for the organization? Which vMEMEs are activated in the overall system? Are there subgroups of people with certain memetic profiles? What is the memetic profile of the leaders and managers? What specific memetic codes are active in regards to sexual orientation and gender identity? What diversity paradigms are being activity used? What healthy and unhealthy expressions of memetic codes are present?
3. *Look at all quadrants.* Evaluate the system from all quadrants: self and consciousness, brain and organism, social systems and environment, and culture and worldview (Beck 2002a).
4. *Understand the dynamics and states*. Evaluate the system and individuals within the system in terms of six conditions for change. What stage of change are people in, alpha, beta, gamma, or delta, or new alpha? Are people open, arrested, or closed?
5. *Develop strategies that are appropriate to the codes*. Based on the above four steps, develop a set of strategies that fit the system. Also use communication strategies that are appropriate for each level (Beck 2002b).
6. *Monitor, measure, and adjust*. Since all human systems are constantly evolving, it is important to continually monitor the status of the memetic systems and adjust our strategies as we learn what has worked and what needs improvement.

Common Memetic Chords and Conflicts

As I mentioned earlier, multiple vMEMEs will be active at the same time in an organization in regard to LGBT workplace issues frequently creating conflict between worldviews. One example is the pro-LGBT western corporation. Here, the company typically espouses primarily ORANGE values with emerging GREEN. However, many individuals may hold strong antigay BLUE religious worldviews along with BLUE-ORANGE work ethic values. LGBT advocates and allies within the company may exhibit GREEN thinking. Key thought leaders may be experience emerging YELLOW thinking. In this situation, management will have a clear understanding of the business case for diversity. The company will have progressive policies around domestic partner benefits and perhaps also transgender medical benefits. There may be a strong LGBT employee resource group that educates the larger organization on important LGBT workplace issues. The company may also be marketing to the LGBT community to gain market share. Despite the progressive approach to LGBT diversity, many conservative religious employees may resent the legitimacy given to LGBT people. Conflict and complaints may arise in response to company support of LGBT causes. In this case, management responds to BLUE thinking with a reiteration of the company's nondiscrimination policy and non-harassment policy and in some cases explains the business case for diversity.

Other common conflicts across the vMEMEs might include (a) BLUE-thinking antigay religious fundamentalists vs. GREEN-thinking liberals, (b) BLUE-thinking liberal pro-gay advocates vs. BLUE-thinking antigay social conservatives, (c) ORANGE-thinking corporate leaders vs. GREEN-thinking social activists, and (d) RED-thinking, gay bashing rebels vs. GREEN-thinking pro-gay advocates. In each of these cases, YELLOW thinking is required to promote possible win-win solutions that speak to people at each level.

Conclusion

Lesbian, gay, bisexual, and transgender workplace equality, like humanity itself, is a never-ending quest. By understanding the natural emergence of human thinking and value systems, LGBT advocates and diversity and inclusion experts will be better equipped to develop strategies that are congruent with the human systems where they work. Spiral Dynamics Integral holds promise as a valuable theory to manage LGBT and other diversities within and between individuals, teams, organization, and communities. The model presented here is preliminary and conceptual and more research is needed to validate its effectiveness.

Cross-References

► An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
► Enabling Innovation with Human Values: A Recipe for Transformation
► Identity and meaning in transformation
► Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey

Appendix

Table A1 LGBT diversity management within the BEIGE and PURPLE vMEMEs

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
BEIGE		• Focus is on physiological survival	• Focus is on physiological survival	• Not applicable
PURPLE	Consciousness	• LGBT individuals believe they are sick, cursed, or demon possessed	• LGBT people recognize they are different and accept the gift that they have been given	• Talk about LGBT people, culture, and development
	Behaviors, brain, organism	• LGBT people try to deny their attractions and feelings and abide by the heterosexual norms of the group	• Same-sex attraction observed as natural variation of human sexuality or special gift	• Elders and LGBT role models encourage healthy exploration of sexuality within the safety and support system of the tribe
	Culture	• Tribe believes that LGBT people are demon possessed, ill, or cursed. • LGBT members expected to stay deep in the closet or to behave heterosexually	• LGBT members viewed as special or gifted (such as native American two-spirit) • Blood is thicker than sexual orientation and gender identity	• Develop special rituals or traditions to honor the LGBT coming out process, commitment ceremonies, etc.
	Social system	• LGBT family members are disowned • LGBT employees fired for coming out or being discovered • The LGBT community divided into factions – Gay men vs. lesbians or bisexuals excluded • In organizations, LGBT people are excluded	• Elders/leaders welcome LGBT people as full members of the family/tribe • Special position of honor or unique roles given to LGBT people	• Widen membership definition to include LGBT people – Appeal to common bonds • Integrate LGBT people into tribe with special roles • Elders/leaders demonstrate inclusion • Provide exposure to affirming LGBT role models

Table A2 LGBT diversity management within the RED vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
RED	Consciousness	• LGBT individuals believe they are weak • LGBT develop internalized homophobia and fear of being outed • Shame surround being LGBT	• LGBT individuals understand that they are different from others but accept and honor their uniqueness as strength	• Talk about LGBT people, culture, and development
	Behaviors, brain, organism	• LGBT people stay in the closet • LGBT individuals try to hide or deny their feelings and attractions	• LGBT individuals are out and proud	• Offer tangible immediate rewards for desired behaviors and reaching goals
	Culture	• LGBT people seen as weak or inferior • Gender binary believed to be normal	• LGBT people who boldly accept themselves and demand respect from others are honored	• Educate on the strengths and power of LGBT people
	Social system	• Queer bashing and harassment • Open and blatant discrimination without remorse or guilt • Gay jokes frequently heard • Gender nonconformity punished • LGBT people are isolated, shunned • Only hire LGBT people for low-status jobs	• LGBT employees succeed based on their power and influence in any position • Individuals are respected for their power and influence; sexual orientation/ gender identity is irrelevant • LGBT pride groups start to form as people come out	• Provide exposure to affirming LGBT role models • Focus on "what's in it for me" with straight coworkers • Develop LGBT leaders • Support LGBT pride parades and festivals

Table A3 LGBT diversity management within the BLUE vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
BLUE	Consciousness	• Only heterosexuality is deemed normal • LGBT people believe god must be punishing them or they are evil • LGBT individuals try to deny their feelings and attractions	• LGBT individuals accept their uniqueness as a gift from god	• Set expectation that all employees will be treated with respect, dignity, and fairness
	Behaviors, brain, organism	• Gay people expected to suppress their LGBT identities to conform to the heterosexual norms • Some attempt to assimilate into heterosexual life	• Being out at work is normal and expected within the guidelines set by the organization	• Leaders and managers set clear behavioral expectations and enforce the rules with consequences • Appeal to respect for authority and duty
	Culture	• LGBT people are a threat to society and are evil • Institutionalized heterosexism • Gender stereotypes and gender binary mental models • Many believe homosexuality is a sin or abnormal	• Gay and straight people are both expected to abide by the same social norms as dictated by the rules • All employees should be treated with respect, dignity, and fairness	• Set superordinate goal or higher purpose that unites all employees across personal differences • Publish values that the company stands for around respect and dignity for all employees
	Social system	• Antigay legislation • Discriminatory policies and procedures	• Sexual orientation and gender identity included in nondiscrimination and non-harassment polices • Standards of personal conduct policy respects sexual and gender minorities • Treat all employees the same according to the rules • Employee resource groups	• Add sexual orientation, gender identity, and gender express in nondiscrimination and non-harassment polices • Zero-tolerance policy for LGBT harassment • Start an employee resource group

Table A4 LGBT diversity management within the ORANGE vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
ORANGE	Consciousness	• LGBT people see themselves as second class citizens • LGBT employees are comfortable being out, but don't feel valued	• LGBT employees believe their unique gifts add competitive advantage to the organization • LGT people see being gay as an advantage they can use to further their careers	• Develop LGBT employees and leaders • Mentoring programs
	Behaviors, brain, organism	• LGBT employees tolerated, but not accepted or valued as people	• LGBT employees bring inside expertise to meet LGBT market needs	• Discuss the negative impact of heterosexism on productivity and creativity
	Culture	• Employees as viewed as resources (or overhead expense) rather than assets • Coworkers seen as competitors in the organizational game or as stepping stones to be used for personal gain	• LGBT customers seen as valuable target market • "Live and let live" philosophy • LGBT employees seen as a competitive advantage due to creativity • Queer culture seen as cutting edge and fashionable	• Emphasize the business case for LGBT diversity
	Social system	• Sex reassignment surgery not offered due to the small number of employees impacted and the small return to the company	• Domestic partner benefits used as a marketing and recruiting tool • Organization is "queer-blind" – Meritocracy system	• Offer domestic partner benefits to attract talent • Offer sex reassignment surgery benefits to improve company image • Pursue the LGBT market for profit and revenue share • Recruit LGBT employees for creativity • Leverage employee resource group to meet business goals

Table A5 LGBT diversity management within the GREEN vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
GREEN	Consciousness	• Believe that all people should have an equal voice except those that are intolerant to their relativistic views • Resist the concept of hierarchy and holarchy as elitist	• LGBT people see themselves as unique individuals with something to offer the community	• Educate workforce on the impact of discrimination and oppression • Discuss unique value of LGBT culture and people
	Behaviors, brain, organism	• Preoccupation with being politically correct • Get stuck in consensus decision making and trying to please everyone • Will fight the BLUE vMEME's absolutist, one-right-way worldview as oppressive	• LGBT people are fully accepted and valued as people • Everyone is given a voice as long as they respect others' rights	• Suggest supportive actions that LGBT allies can take to further equality
	Culture	• Unwilling to make a moral stand for fear of being labeled narrow minded or exclusive • Loose competitive drive to win in favor of cooperation	• Company and employees support civil rights legislation for LGBT people • Believe that everyone should live in harmony and community	• Appeal to values of social justice, human rights, and dignity
	Social system	• Suppress LGBT differences and unique needs in an attempt to focus on what all humans have in common • Make excuses for red behavior by blaming the environment or society	• Caring friendships develop across people with different sexual orientations and gender identities • Straight allies fight for social justice and LGBT equality in the workplace and the community • Spousal equivalency policies and practices	• Use diversity fairs, dialogues, awareness training, and speakers to build understanding and relationships • Support LGBT nonprofits and social causes

Table A6 LGBT diversity management within the YELLOW vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
YELLOW	Consciousness	• Can appear to be thinking at vMEMEs of lower complexity due to systemic worldview	• All forms of diversity are embraced and seen as valuable • Motto is the "thrive and help thrive"	• Educate others on the systems and context of LGBT issues and the need of people at each level of existence
	Behaviors, brain, organism	• May at times trade off the interests of LGBT employees for the greater good	• Works globally across cultures and nations for LGBT equality using the appropriate strategies for the memetic codes in operation	• Understand the key functions that LGBT people play at each level of the spiral
	Culture	• Moving up and down the spiral can at time seem like "moving backwards" from the perspective of an individual vMEME without context, actions might seem contradictory	• Accepts others where they are in their development and adjusts approach accordingly	• Respect their knowledge and support their development and education
	Social system	• Will at times conflict with the GREEN vMEME values by making unpopular decisions that violate GREEN's values	• Removes barriers to growth – Helps keep the system open to change • Develop linkages and coalitions across diverse groups	• Design flexible systems, organizations, and polices that match the multiple levels of existence and the capacity, needs, and culture of people at each level • Provide access to information and resources to create big-picture views and monitor systems • Invite them to be part of the solution and to lead

Table A7 LGBT diversity management within the TURQUOISE vMEME

vMEME	Quadrant	Forms of LGBT oppression	Forms of LGBT support	Diversity strategies
TURQUOISE	Consciousness	• Sees LGBT people as only one of the many valuable expressions of life on earth	• Takes a spiritual approach to the connectedness of all types of people including LGBT people	• Educate on complexities of sexual identity development for all humans
	Behaviors, brain, organism	• May at times trade off the interests of LGBT people for the greater good	• Facilitates healing across people and cultures • Relies on ability of the brain to see complexity and patterns	• Educated on how LGBT people fit into the larger, global human system
	Culture	• Sees all of the memetic codes as equally valuable and necessary, but believes that the needs of one group (such as LGBT) at times may need to be sacrificed for the greater good	• Collaborative • Global view • The greater good of the planet and its inhabitants	• See LGBT people as an important part of society with unique gifts integrated into the global human system
	Social system	• LGBT people as a minority may get lost in big picture	• Global networks of interconnected groups • LGBT people represented as an important part of society	• Develop global standards of civil rights and workplace equality for all LGBT people worldwide

References

American Civil Liberties Union (2017a) End the use of religion to discriminate. https://www.aclu.org/feature/end-use-religion-discriminate?redirect=feature/using-religion-discriminate

American Civil Liberties Union (2017b) Non-discrimination laws: State by state information – map. https://www.aclu.org/map/non-discrimination-laws-state-state-information-map

Beck DE (2002a) SDi: Spiral Dynamics in the Integral age. [Brochure]. Don Edward Beck, Denton, TX

Beck DE (2002b) Spiral Dynamics Integral: Level 1 certification course. Spiral Dynamics Group, Denton, TX

Beck DE, Cowan CC (2006) Spiral dynamics: Mastering values, leadership, and change. Blackwell Publishing, Malden, MA
Burdette AM, Ellison CG, Hill TD (2005) Conservative Protestantism and tolerance toward homosexuals: An examination of potential mechanisms. Sociol Inq *75*(2):177–196
Cajete G (2000) Native science: Natural laws of interdependence. Clear Light Publishers, Santa Fe, NM
Cohen R (2017) Are the courts about to include sexual orientation In Title VII? http://employmentdiscrimination.fisherbroyles.com/2017/01/are-the-courts-about-to-include-sexual-orientation-in-title-vii/
Coleman HJ (1996) Empowering yourself: The organizational game revealed. Kendall/Hunt Publishing Company, Dubuque, IA
Colgan F, Creegany C, McKearney A, Wright T (2006, June 5) Lesbian, gay and bisexual workers equality, diversity and inclusion in the workplace: A qualitative research study. http://www.workinglives.org/docs/ESF_LGB_Report_5_June_2006.pdf. Accessed 30 Mar 2007
Cowan CC, Todorovic N (eds) (2005) The never ending quest. ECLET Publishing, Santa Barbara, CA
Dass P, Parker B (1999) Strategies for managing human resource diversity: From resistance to learning. Acad Manag Exec *13*(2):68–80
Davis C, Serpa F (2005) Integrating LGBT issues in a global diversity strategy [online.wav]. San Francisco: Out and Equal Workplace Advocates
Dickens L (1999) Beyond the business case: A three-pronged approach to equality action. Hum Resour Manag J *9*(1):9
Fixico DL (2003) The American Indian mind in a linear world: American Indian studies and traditional knowledge. Routledge, New York
Foldy EG (2004) Learning from diversity: A theoretical exploration. Public Adm Rev *64*(5):529–538
Friedman TL (2006) The world is flat: A brief history of the twenty-first century (1st updated and expanded ed.). Farrar, Straus and Giroux, New York
Gagnon S, Cornelius N (2000) Re-examining workplace equality: The capabilities approach. Hum Resour Manag J *10*(4):68–87
Graves CW (1970a) Levels of existence: An open system theory of values. J Humanist Psychol *10*(2):131–155
Graves CW (1970b) The levels of human existence and their relation to welfare problems. http://www.clarewGraves.com/articles_content/1970/welfare.html. Accessed 1 Jul 2006
Graves CW (1971) How should who lead whom to do what? http://www.clarewGraves.com/articles_content/1971_YMCA/1971_YMCA_1.html. Accessed 1 Jul 2006
Graves CW (1974, April) Human nature prepares for a momentous leap. Futurist 8(2):72–87
Graves CW (1981) Summary statement: The emergent, cyclical, double-helix model of the adult human biopsychosocial systems. http://www.clarewGraves.com/articles_content/1981_handout/1981_summary.pdf. Accessed 1 Jun 2006
Graves CW, Madden HT, Madden LP (1970) The congruent management strategy. http://www.clarewGraves.com/articles_content/Madden/CG_madden_1.html. Accessed 1 Jul 2006
Herek GM (1992a) Psychological heterosexism and anti-gay violence: The social psychology of bigotry and bashing. In: Herek GM, Berrill KT (eds) Hate crimes: Confronting violence against lesbians and gay men. Sage Publications, Newbury Park, CA, pp 149–169
Herek GM (1992b) The social context of hate crimes: Notes on cultural heterosexism. In: Herek GM, Berrill KT (eds) Hate crimes: Confronting violence against lesbians and gay men. Sage Publications, Newbury Park, CA, pp 89–104
Hoff BH (1993) Gays: Guardians of the gates: An interview with Malidoma Somé. http://www.menweb.org/somegay.htm. Accessed 26 Mar 2007
Human Rights Campaign Foundation (2007). 2006 Corporate Equality Index: Corporate America more GLBT-friendly than ever. http://www.hrc.org/Template.cfm?Section=Work_Life. Accessed 22 Mar 2007

Human Rights Campaign Foundation (2014) The cost of the closet and the rewards of inclusion: Why the workplace environment for LGBT people matters to employers. http://hrc-assets.s3-website-us-east-1.amazonaws.com//files/assets/resources/Cost_of_the_Closet_May2014.pdf
Human Rights Campaign Foundation (2016) Corporate Quality Index 2017. Human Rights Campaign Foundation, Washington, DC
International Commission of Jurists and International Service for Human Rights (2007) Experts release groundbreaking principles on sexual orientation, gender identity, and human rights. Yogyakarta Principles. http://yogyakartaprinciples.org/index.php?item=24. Accessed 26 Mar 2007
International Gay and Lesbian Human Rights Commission (2007) About us. http://www.iglhrc.org/site/iglhrc/. Accessed 27 Mar 2007
Jones C, Shorter-Gooden K (2003) Shifting: The double lives of black women in America. Perennial, New York
Kralik J (2017) "Bathroom bill" legislative tracking. http://www.ncsl.org/research/education/-bathroom-bill-legislative-tracking635951130.aspx
Lambda Legal (2007 Clock in for equality. http://www.lambdalegal.org/take-action/campaigns/clock-in-for-equality/. Accessed 23 Mar 2007
Lee WR (ed) (2002) Graves: Levels of human existence. ECLET Publishing, Santa Barbara, CA
Lisotta C (2006 May 23) Radical Islam in your backyard. *Advocate*:30–32
Little Bear L (2000) Foreword. In: Native science: Natural laws of interdependence. Clear Light Publishers, Santa Fe, NM, pp ix–xii
Lorbiecki A (2001) Changing views on diversity management: The rise of the learning perspective and the need to recognize social and political contradictions. Manag Learn *32*(3):345–361
NVC Consulting (2001) A mini-course in Spiral Dynamics®. http://www.spiraldynamics.org/pdf_resources/SDMC.pdf. Accessed 10 Jun 2006
Out and Equal Workplace Advocates (2007) Overview. http://www.outandequal.org/about/default.asp. Accessed 26 Jan 2006
Pettigrew TF, Tropp LR (2000) Does intergroup contact reduce prejudice? Recent meta-analytic findings. In: Oskamp S (ed) Reducing prejudice and discrimination. Lawrence Erlbaum Associates, Mahwah, NJ, pp 93–114
Raeburn NC (2004) Changing corporate America from inside out: Lesbian and gay workplace rights. University of Minnesota Press, Minneapolis, MN
Salavich B (2006) Globalization – Inclusion and Diversity Outside North America [online.wav]. San Francisco: Out and Equal Workplace Advocates.
Saveri A, Rheingold H, Pang A.S-K, Vian K (2004, June) Toward a new literacy of cooperation in business: Managing dilemmas in the 21st century. http://www.iftf.org/docs/SR-851A_New_Literacy_Cooperation.pdf. Accessed 28 Mar 2007
Saveri A, Rheingold H, Vian K (2005, January). Technologies of cooperation. http://www.rheingold.com/cooperation/Technology_of_cooperation.pdf. Accessed 28 Mar 2007
Sofer J (1992) Sodomy in the law of Muslim states. In: Schmitt A, Sofer J (eds) Sexuality and eroticism among males in Moslem societies. Harrington Park Press, Binghamton, NY, pp 131–149
Somé S (2000) The spirit of intimacy: Ancient African teachings in the ways of relationships. Harper, New York
Stonewall (2007) Brief overview of Stonewall. http://www.stonewall.org.uk/about_us/11.asp. Accessed 15 Jan 2007
The Two Spirit Society of Denver (2007) Our mission. http://www.denvertwospirit.com/mission.html. Accessed 28 Mar 2007
Thomas RR Jr (1996) Redefining diversity. AMACOM, New York
Thomas, D. A., & Ely, R. J. (1996). Making differences matter: A new paradigm for managing diversity. Harv Bus Rev, *74*(5), 79–90.
U.S. Equal Employment Opportunity Commission (2017) What you should know about EEOC and the enforcement protections for LGBT workers

Wilber K (1995) Sex, ecology, spirituality: The spirit of evolution. Shambhala Publications, Boston
Wilber K (2001) A theory of everything: An Integral vision for business, politics, science, and spirituality. Shambhala Publications, Boston
Williams WL (1986/1992) The Spirit and the flesh: Sexual diversity in American Indian culture. Beacon Press, Boston
Williams WL (1992) The Spirit and the flesh: Sexual diversity in American Indian culture. Beacon Press, Boston
Witeck B (2016) America's LGBT 2015 buying power estimated at $917 billion. http://www.nlgja.org/outnewswire/2016/07/20/americas-LGBT-2015-buying-power-estimated-at-917-billion/
Witeck-Combs Communications (2007) Buying power of U.S. gays and lesbians to exceed $835 billion by 2011. Witeck-Combs Commun Newsl *2*(1)

Transformative Connections Between Culture and Finance

Hiroshi Takeda

Contents

Abstract

Our valuable words reflect our view of work, life, and culture. They also reflect basic underlying assumptions, the most important cultural element, encompassing unconscious beliefs and values that are taken for granted and that determine our behaviors, perceptions, thoughts, and feelings. This chapter explains Confucianism and Neo-Confucianism, as basic underlying assumptions in management practice in Japan. Specifically, the chapter studies the Great Learning and the Doctrine of the Mean among the four Chinese classics, which serve as the main textbooks of Neo-Confucianism. Their theories show the relationship between culture and finance, and the link between personal and organizational transformation. Next,

H. Takeda (✉)
Graduate School of Business Administration, The University of Kitakyushu, Kitakyushu, Fukuoka, Japan
e-mail: takeda@kitakyu-u.ac.jp

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_43

this chapter demonstrates Neo-Confucianism in Japan, and culture and finance in Japan, related to Confucianism and Neo-Confucianism. In summary, this chapter shows that some nonprofit motivations underlying Japanese business activities derive from Confucianism and Neo-Confucianism.

Keywords
Amoeba management · Confucianism · Culture · Doctrine of the Mean (中庸) · Finance · Great Learning (大学) · Neo-Confucianism · Organizational transformation · Personal transformation · *Toku* (徳)

Introduction

“What are your valuable words? For example, your motto, favorite phrase, and proverbs you love about your work and about your life.”

This is the first question I usually ask our first year MBA students on the first day of the Group Discussion I class at the Graduate School of Business Administration. Our MBA program is not off-the-job training (off-JT) but rather typical by-the-job training (by-JT) in Japan; this training is designed so students can work during the day and study at night and on Saturdays, and complete their studies in 2 years. It offers both business and public administration courses to attract graduate students with different career backgrounds. For instance, they consist of managers, executives, bankers, public servants, staff members in nonprofit organizations, doctors, nurses, pharmacists, teachers, university staff members, members of municipal assemblies, a journalist, and a Buddhist priest. Their answers reflect their view of work, life, and culture. For example, they include *Ichigo-ichie* (一期一会: a once-in-a-lifetime chance), the word originally used in the tea ceremony and later popularized as a Zen word, and “*Toku wa konarazu, kanarazu tonari ari* (徳不孤, 必有隣: Virtue will always find a friend.),” the words from *Rongo* (論語:the Analects of Confucius), and “Ask not what your country can do for you – ask what you can do for your country” by John F. Kennedy.

In general, our valuable words reflect our view of work, life, and culture. They also reflect basic underlying assumptions, the most important cultural element, encompassing unconscious beliefs and values that are taken for granted and that determine our behaviors, perceptions, thoughts, and feelings (Schein 2010). Culture can be classified into three levels, such as visible artifacts, espoused beliefs and values, and tacit, basic underlying assumptions that are taken for granted, depending on the visibility of the observer (Schein 2010). Among them, basic underlying assumptions are the most important, because the essence of culture lies in the pattern of basic underlying assumptions. For example, the underlying assumption in Digital Equipment Corp. (DEC) that “We are one family whose members will take care of each other” (Schein 2010, p. 42) helps to explain how intense conflict with authority figures and intense loyalty to the organization could exist simultaneously. Culture has its ultimate power in psychological processes which forces us to perceive the events around us as congruent with our assumptions. Culture as a set of basic assumptions defines for us what to care about, what issues matter, how to react emotionally, and what actions to take appropriately in various types of situations.

From the view of institutional economics, the level of social embeddedness – where the norms, customs, mores, traditions, and religion are located – is the highest level of the four levels of social analysis, and it imposes constraints on the lower three levels such as institutional environment, governance, and resource allocation and employment (Williamson 2000). In other words, social embeddedness, which is taken as given by most economists, has the real power in formal rules of property, contracts aligning governance structures with transactions, and prices and quantities as incentives.

In addition, a "cultural revolution" has occurred in economics and finance in the last 10 years. Cultural Economics, in which the interaction between culture and economic phenomena are studied, has become a research field in economics, and cultural finance is the growing area of finance (Zingales 2015). The cultural revolution has changed the traditional assumption of "homo economicus," who will behave in exactly the same way anywhere in the world, to that of one who is embedded in a cultural context and this context affected people's choice in a relevant way. For example, the homo economicus assumption alone does not explain why the Japanese save so much more than Americans, but it is a cultural phenomenon that countries that consider thriftiness to be a value and teach it to their children exhibit higher rates of savings (Guiso et al. 2006); this phenomenon can contribute to explaining why.

In general, Japanese culture and management thought has been transformed by Shinto, Japan's Indigenous religion; Buddhism and Confucianism, representatives of Eastern perspectives on management; and Western civilization including economics, management, science, and Christianity (Takeda 2015). From the viewpoint of basic underlying assumptions in management practice in Japan, this chapter focuses on Confucianism, especially Neo-Confucianism, which came to have considerable power in the Tokugawa period (1600–1868). Modern Japanese business has its origin in this period when institutions and basic attitudes to business were shaped (Hirschmeier and Yui 1981). As the most important assets, modern Japan owes basic attitudes to the Tokugawa period, such as "maintenance of communal discipline, dedication to hard work, desire for learning, respect for seniority and hierarchy, loyalty to communal groups, submission to authority and adherence to tradition" (Hirschmeier and Yui 1981, p. 11).

For example, the history of the Mitsui dynasty, one of the largest zaibatsu after the Meiji Restoration of 1868, began early in the Tokugawa period. The founder, Hachirobe Takatoshi (1622–1694), started his Echigoya dry-goods store in Edo; its successor is now Isetan Mitsukoshi Ltd., one of the largest department stores in Japan. He began *ryogaeya*, a money changer during the Tokugawa period, and later became a financial purveyor of the Tokugawa *bakufu*, a military government established by Tokugawa Ieyasu (1542–1616) in 1603. The Sumitomo Mitsui financial group, one of the largest mega bank groups in Japan, is its successor. When Hachirobe died in 1694, he left to his six sons one fundamental principle of unity and harmony for the future prosperity of the Mitsui House (*ke* or *ie*: 家): "The House is an undivided one, all must always be united." (Hirschmeier and Yui 1981). The second Mitsui, Hachiroemon, wrote the Family Constitution based on the written testament of the founder, his father Hachirobe, which covered a number of aspects of management, and the Mitsui family observed it during the rest of the Tokugawa period.

Confucian philosophy gave ideological backing to the social conditions of the Tokugawa period (Hirschmeier and Yui 1981). Neo-Confucianism consists of the Zhu Xi school and the Wang Yangming school, which originated in China. These had prevailed for several hundred years in Japan, China, Korea, and Vietnam before they were westernized during the nineteenth and twentieth century.

Among the various classics, I cite here the Great Learning (大学) and the Doctrine of the Mean (中庸), because they were main texts of both the Zhu Xi school and the Wang Yangming school of Neo-Confucianism. The central idea of these classics seems to have a close relationship with the concepts of personal and organizational transformation in the West. They also show the link between personal and organizational transformation. The Zhu Xi school of Neo-Confucianism was the reformation of Confucianism by Zhu Xi (朱熹) in the Song (宋) dynasty and taught control of *kokoro* (心: heart and mind) as a manager, *shitaifu* (士大夫), and their social responsibilities at the same time.

The chapter is structured as follows. First, I introduce Confucianism and Neo-Confucianism. Especially, I explain the contents of the Great Learning and the Doctrine of the Mean, two of the four textbooks of Neo-Confucianism. Their theories show the relationship between culture and finance, and the link between personal and organizational transformation. Second, I demonstrate Neo-Confucianism in Japan, and culture and finance in Japan, related to Confucianism and Neo-Confucianism. Finally, I make concluding remarks.

As previously, I put kanji (漢字, Chinese characters) alongside English as necessary. This is because Chinese characters are derived from ideographs with Eastern wisdom and they have been used in the cultural sphere of kanji, such as in Japan, China, Taiwan, Hong Kong, Macao, Singapore, Korea, and Vietnam.

Confucianism (儒教)

In the period of Warring States in China, people sought emotional stability in life and various generals searched for policies to enhance the wealth and military strength of the state and govern people; many thinkers appeared during this period. Confucius (孔子, *Koshi*: approximately 551–479 B.C.) was born in China before Socrates was born in Greece. Confucius was appointed the Minister of the Judiciary in Ro and tried to undertake political reform but failed to do so. After that, Confucius visited various states and met generals to teach his study. In his later years, Confucius went back to his hometown and educated his disciples. The teachings of Confucius and his successors are known as Confucianism (儒教), which is representative of ideas not only in China but also in Japan, Korea, and Vietnam.

Confucius argued that one's aim in life is to build up one's fine character with *toku* (徳). *Toku* is the basic concept of Confucianism, which is a basis of Eastern culture. The meaning of *toku* is to develop one's character, doing good deeds that result in profit, wealth, and fortune (Pio et al. 2013; Takeda and Boyns 2014). Confucius regarded *jin* (仁) as the most important *toku*. *Jin* (仁) literally represents two people and means friendship between the two. In the Confucian Analects, Confucius was asked about one word that may serve as a rule of practice for all one's life, and he answered that *jo* (恕: consideration) was such a word. Confucius explained that *jo* meant "Do not do to others what you do not want done to yourself" (*onore no hossezaru tokoro, hito ni hodokosu koto nakare*: 己所不欲, 勿施於人也). In this way, people consider others' feelings from the standpoint of others and live together in friendship. This is the *toku* of *jin*. In addition, a disciple of Confucius said that "The doctrine of our master is to be true to the principles of our nature (忠: *chu*) and the benevolent exercise of them to others (恕: *jo*)" (*fushi no michi wa chu-jo nomi*: 夫子之道, 忠恕而已矣). *Chu* (忠) literally means the center of one's heart and signifies sincerity with one's whole heart (真心: *magokoro*).

Confucius insisted on governing people by *toku* (*toku-chi shugi*: 德治主義). If a ruler does the right things, people love the ruler and they also do the right things by his influence. This central idea of Confucianism is that moral training by a leader results in governing people (*shuko chijin*:修己治人). The characteristics of Confucianism are the emphasis on educating people and the ideal prevalence of *toku* among people.

Confucianism established its position as the official Chinese religion between 100 years after the government of *Butei* (武帝: 156–87 B.C.) in the Former Han (前漢) dynasty (Mizoguchi et al. 2001). In the Song dynasty (宋: 960–1279), Confucianism had greatly transformed into Neo-Confucianism (新儒教).

Neo-Confucianism (新儒教)

Neo-Confucianism consists of the Zhu Xi school (朱子学) established by Zhu Xi (朱熹: 1130–1200) and the Wang Yangming school (陽明学) developed by Wang Yangming (王陽明:1472–1528). One of several transformations from Confucianism to Neo-Confucianism was the change in those who took responsibility from rulers to learning individuals called *shitaifu* (士大夫) in Chinese society. *Shitaifu* was an intellectual as a bureaucrat, merchant, and landowner, who controlled regions in China after the Song dynasty (Mizoguchi et al. 2001).

As the ontology of the Zhu Xi school, Zhu Xi explained the dichotomy of *ki* and *ri* (理気二元論) that all things consist of *ki* (気), elemental fluid with energy, and *ri* (理), law and homeostasis observed in movement of *ki*. Zhu Xi argued the ethics of the Zhu Xi school that *kokoro* (心: heart and mind) consisted of *sei* (性) and *jo* (情), and *sei* (性) was *ri* (理) of individual (性即理). *Sei* (性) is *gojo* (五常), five *toku* such as *jin* (仁), *gi* (義: righteousness), *rei* (礼: etiquette), *chi* (智: wisdom), and *shin* (信: trust), and *jo* (情) is feelings such as pleasure, anger, sorrow, or joy (喜怒哀楽: *ki do ai raku*) (Shimada 1967b). If *jo* is impartial, then it is good. However, if *jo* is biased, it is bad, and it is called *yoku* (欲). When we explain the difference among *sei*, *jo*, and *yoku* by using water as a metaphor, *sei* is clear water, *jo* is moving waters, and *yoku* is flood waters (Shimada 1967b). Zhu Xi taught that people can become saints by concentrating *kokoro* in *ri* (居敬: *kyokei*) and clarifying the truth of things (窮理: *kyuri*). In other words, the distinctive transformation from Confucianism to Neo-Confucianism is such a view of saints in Neo-Confucianism that people can become saints by learning *mu-yoku* (無欲: impartial).

The ideal of Neo-Confucianism is known as *syushin-seika-chikoku-heitenka* (修身·斉家·治国·平天下) as follows. If people are cultivated (修身: *syushin*), their families are regulated (斉家: *seika*). If their families are regulated, their states are rightly governed (治国: *chikoku*). If their states are rightly governed, the whole world is made tranquil and happy (平天下: *heitenka*). Neo-Confucianism was born in China and was introduced into Korea, Japan, and Vietnam. The main textbooks of Neo-Confucianism are *shisho* (四書: four books), i.e., *Daigaku* (大学: the Great Learning), *Rongo* (論語: the Analects of Confucius), *Moshi* (孟子: Mencius), and *Chuyo* (中庸: the Doctrine of the Mean).

The Wang Yangming school of Neo-Confucianism had been developed together with the spread of classes of people who learned the Zhu Xi school of Neo-Confucianism. The main differences between the Wang Yangming school and the Zhu Xi school are two points in *Daigaku* (大学). First is the interpretation of *kakubutsu* (格物). While Zhu Xi read *kakubutsu* (格物) as *mono ni itaru*, which meant clarifying the truth of things, Wang Yangming read *kakubutsu* (格物) as *mono wo tadasu*, which meant adjusting relations with things and regulating will and belief (Mizoguchi et al. 2001). The difference reflects the ethics of the Zhu Xi school, *sei-soku-ri* (性即理), and the ethics of the Wang Yangming school, *sinn-soku-ri* (心即理). Second is the interpretation of *shinmin* (親民). Zhu Xi changed the words from 親民 to 新民, which meant educating people. However, Wang Yangming read 親民 as it was, which meant a ruler was at the same standpoint of people. I explain the detailed contents of *Daigaku* (大学) and *Chuyo* (中庸) in the next section.

The Great Learning (大学)

大学 (*Daigaku*), the Great Learning, consists of two Chinese characters: 大(*dai*), which means adults (大人), and 学 (*gaku*), which means learning; thus, 大学 (*Daigaku*) means what adults must study or where adults study, such as universities or colleges. At the beginning, the Great Learning argues that the three objectives to study in universities are to illustrate illustrious virtue (在明明德), to facilitate friendships among people (在親民), and to rest in the highest excellence (在止於至善) as follows:

> 大学之道, 在明明徳, 在親民, 在止於至善
> *Daigaku no michi wa, Meitoku wo akirakanisuru ni ari, Tami wo shitashimashimuru ni ari, Shizen ni todomaru ni ari* (Kanaya 2003, p. 31).

In the Great Learning, the principle of reciprocity (絜矩之道: *kekku no michi*), i.e., not doing to others as we would have them not do to us, develops into a theory of management, economics, and finance. *Kekku* (絜矩) literally means measuring (絜) by a ruler (矩), which is rhetoric that rulers are expected to imagine what people feel and think about what rulers do, as rulers and people have the same type of heart and mind. In other words, the principle of reciprocity (絜矩之道: *kekku no michi*) means consideration for others (恕: *jo*).

The fundamental proposition of the theory of management, economics, and finance in the Great Learning is that *toku* is the root, and wealth is the result (徳者本也, 財者末也: *toku wa moto nari, zai wa sue nari*). Since *toku* is the root, rulers should be very careful of cultivating their *toku*. Specifically, rulers should work hard by exhaustively examining the principles of things and affairs (格物: *kakubutsu*), increasing their knowledge to its utmost extent (致知: *chichi*), being sincere in their thoughts (誠意: *seii*), rectifying their hearts (正心: *seishin*), and cultivating their persons (修身: *syushin*). As a result, rulers win the confidence of the people's hearts and minds, govern the country, raise funds by taxes from the land, and finance the country. The second proposition in the Great Learning is that there is a great course for production of wealth (生財有大道: *zai wo shozuru ni daido ari*). The Great Learning explains that the great course for production of wealth is to produce more than one spends and to produce faster than one spends. The third proposition is that the gain or profit is not to be considered as prosperity but that prosperity will be found in righteousness (不以利為利, 以義為利也: *ri wo motte ri to nasazu, gi wo motte ri to nasu*). The Great Learning maintains that profit is not to be considered as prosperity but righteousness is to be considered as prosperity, because righteousness contents people.

The Doctrine of the Mean (中庸)

中庸 (*Chuyo*), the Doctrine of the Mean, is composed of two Chinese characters: 中 (*chu*), which means impartial, and 庸 (*yo*), which signifies no change; thus, 中庸 means the *toku* of fairness, the doctrine of the mean. In the beginning, the book proposes the three concepts: *sei* (性), *michi* (道), and *kyo* (教). Persons have received their nature (*sei*, 性) from Heaven. An accordance with this nature is what is called a path (*michi*, 道). The cultivation or regulation of this path is what is called an instruction (*kyo*, 教)

> 天命之謂性, 率性之謂道, 修道之謂教
> *Ten no meizuru, kore wo sei to ii, Sei ni shitagau, kore wo michi to ii, Michi wo osamuru, kore wo kyo to iu* (Shimada 1967a, p. 167).

The Doctrine of the Mean describes human nature as an allotment made to a person from Heaven (天: *ten*); therefore, each person has the same human nature. Moreover, the Doctrine of the Mean argues that the state of equilibrium and harmony in feelings of a person result in the nourishment and flourishment of all things (致中和, 天地位焉, 万物育焉: *chu wa wo itaseba, tenchi kuraisi, banbutsu ikusu*).

In the latter half of the book, the Doctrine of the Mean explains *makoto* (誠: integrity) and asserts that *makoto* is the function of Heaven and displaying *makoto* by a person is the Path (誠者天之道也, 誠之者人之道也: m*akoto wa ten no michi* *nari, kore wo makoto ni suruwa hito no michi nari*). Even if an ordinary person has *makoto*, she or he will gain the same result as a saint.

Neo-Confucianism in Japan

The way in which Neo-Confucianism was accepted differed for China, Korea, and Japan. In China, the Zhu Xi school of Neo-Confucianism became the state school as it was adapted as the course for the imperial examination (科挙). Korea made the Zhu Xi school of Neo-Confucianism the state religion and rejected Buddhism. In Japan, various thoughts and religions shared *toku*, such as *gorin* (五倫) and *gojo* (五常), during the Tokugawa period. *Gorin* (五倫) was ethics for five reciprocal relations: *kunshin* (君臣: lord and vassal), *fushi* (父子: father and child), *fufu* (夫婦: husband and wife), *choyo* (長: senior and junior), and *hoyu* (朋友: friends). *Gojo* (五常) was five *toku*: *jin* (仁: friendship), *gi* (義: righteousness), *rei* (礼: etiquette), *chi* (智: wisdom), and *shin* (信: trust). Neo-Confucianism was superior to other thought and religion in that it was regarded as ethics in a daily secular life and it fitted well to the social system of the time. For example, Fujiwara Seika (1561–1619), the founder of Japanese Confucianism, abandoned Buddhism and chose Neo-Confucianism because Buddhism renounced the world while Neo-Confucianism focused on humanity and morality in a secular life (Sueki 2006).

Tokugawa *bakufu*, a military government, adopted Neo-Confucianism as the theory for supporting the feudal system because Neo-Confucianism formed the social system based on morality and etiquette and forced people to cultivate themselves and work hard, considering it as their social duty. Hayashi Razan (1583–1657), the disciple of Fujiwara Seika, served four shoguns (Tokugawa Ieyasu, Hidetada, Iemitsu, and Ietsuna) and opened his private institution where he taught Neo-Confucianism. He argued that social standing, such as lord and vassal or father and child, was *ri* (理) and encouraged his students to cultivate themselves by controlling their feelings and greed.

On the other hand, some scholars supported the Wang Yangming school of Neo-Confucianism. Nakae Toju (1608–1648), the founder of the Wang Yangming school of Neo-Confucianism in Japan, taught that every person has *ko* (孝: filial piety) and that one should establish oneself and execute it (Hiromatsu et al. 1998). Kumazawa Banzan (1619–1691), the follower of Nakae Toju, served the Okayama clan, executed afforestation, riparian work, and starvation measures, and earned the esteem of the public.

On the contrary, some Confucian scholars preferred to study *Rongo* and *Moshi* rather than *Daigaku* and *Chuyo*. Specifically, these were Yamaga Soko (1622–1685), Ito Jinsai (1627–1705), Ogyu Sorai (1666–1728), and Dazai Shundai (1680–1747).

In addition, a new management thought appeared when businesses developed and the merchant class arose in the middle of the Tokugawa period. Ishida Baigan (1685–1744) learned Shinto, Buddhism, Confucianism, and Neo-Confucianism and established *Sekimon shingaku* (石門心学), which argued the social role of merchants and the justification of seeking profits (Bellah 1985; Yui 2007). In his book, *tohi mondo* (都鄙問答), Ishida Baigan argued *seiri* (性理) and *shisei* (至誠) that reflected Neo-Confucianism (Yui 2007). Ishida Baigan advocated that the profits of trade were the same as samurais' stipends and justified the accumulation of wealth by merchants. In addition, he insisted on fairness and honesty in trading. Moreover, Ishida Baigan emphasized on permanence of a corporation and harmony among employees as assets, which are not as important as kinship in the Chinese business and are different from those in American business, which are based on individualism and Christian thought (Yui 2007).

Culture and Finance in Japan

Japan became an industrial society in the Meiji period. The three representatives of management thought in Japan during the Edo period (1600–1868), the Meiji period (1868–1912), and the Taisho period (1912–1926) were dedication to family business, nationalism and morality, and an independent spirit and rationalism (Yui 1969). The most influential management thought among them was nationalism and morality based on Confucianism, and it is Eiichi Shibusawa (1840–1931) who led both the business and public sectors as the best leader of Japanese capitalism. Shibusawa believed that morality and economics went together and insisted that his decision-making was based not on profits but on *dori* (道理: what is right and what is wrong) (Shibusawa 2010). In other words, Shibusawa supported businesses that had reason for running at that time; even if the business showed a loss during the period of its founding, he managed to get into the surplus. Shibusawa cited the words of *Rongo* (論語) as his management policy: "The Master said, 'Gentlemen take as much trouble to discover what is right as lesser men take to discover what will pay.'" These words have the same meaning as the third proposition in *Daigaku* (大学): the gain or profit is not to be considered as prosperity but that prosperity will be found in righteousness. Shibusawa established more than 500 corporations and proved that his management based on righteousness (義: *gi*) certainly succeeded in making profits (利: *ri*) and contributed toward developing Japan (Yui 2009).

Next, in the Showa period (1926–1989), especially before World War II, another major management thought was paternalism (Sumihara 2016; Yui 2007) or *tokuchi shugi* (徳治主義), governing people by *toku* based on Confucianism (Nakagawa 1970). After World War II, Konosuke Matsushita (1894–1989), the founder of Panasonic Corporation, proposed his original management thought of markets and profits. Matsushita justified profits as rewards from society, because he believed that the purpose of a business was the prosperity of society and that paying taxes to the country and municipal corporations was the duty of corporations. Therefore, Matsushita's management thought can be regarded as a reflection of Confucian thought that people should work and live for the society.

Finally, as a recent example of culture and finance in Japan, I introduce what they call amoeba management based on the management philosophy of *toku* and the management system established by Kazuo Inamori (1932–).

Case Study: Amoeba Management

Amoeba management has been adopted not only by Kyoto Ceramic Co., Ltd. (now Kyocera Corporation), established in 1959, and Daini-Denden Kikaku Co., Ltd. (now KDDI Corporation), established in 1984 by Inamori, but also by more than 600 corporations (Kyocera Communication Systems 2016). As a result, they dramatically improved their business performance. Kyocera grew to be a global company with 1479 billion yen in consolidated sales in 2016, 58 percent of which came from outside Japan, and with 69,229 employees. KDDI grew to be a large Japanese company, with 4466 billion yen in consolidated operating revenues in 2016 and 31,834 employees.

Amoeba management consists of management philosophy of the corporation, the amoeba management system and the associated management accounting system. For example, the Kyocera Philosophy, the management philosophy of Kyocera Corporation, has four key elements such as the corporate motto, the management rationale, principles, and philosophy keywords. The corporate motto of Kyocera, *Kei-Ten Ai-Jin* (敬天愛人), means "Respect the Divine and Love People." *Kei-Ten* means to respect the divine, i.e., doing the right thing as a human being, while *Ai-Jin* means to love people, i.e., living with an altruistic mind (Inamori 2007b). The phrase *Kei-Ten Ai-Jin* is attributable not to Inamori but to Takamori Saigo (1827–1877), a leader of the Meiji Restoration in 1868. Kyocera's management rationale below signifies a broader demonstration of the same message:

> To provide opportunities for the material and intellectual growth of all our employees, and through our joint efforts, contribute to the advancement of society and humankind. (Kyocera Corporation 2017)

Influencing to it and the motto are principles such as the principle of seeking essence, the 12 management principles (Table 1) and 7 principles of Kyocera accounting (Table 2). Principles are further explained through the philosophy keywords (Table 3).

These 12 management principles, 7 principles of Kyocera accounting, and 78 philosophy keywords show how Confucianism and Neo-Confucianism are being applied to transformation in finance. In particular, two management principles, 5 ("maximize revenues and minimize expenses") and 6 ("pricing is management"), 7 accounting principles, and 16 philosophy keywords between 63 ("pricing is management") and 78 ("grasp matters simply") are those most closely connected with finance.

Management principle 5 or philosophy keyword 64, "maximize revenues and minimize expenses," is the modern expression of the second proposition in the Great Learning, a great course for production of wealth. In order to actualize this principle, Kyocera built up the amoeba management system. The company is divided into a number of small organized units called amoeba and each amoeba makes an hourly efficiency report so that members can keep track of their contribution to the company and what efforts should be made to improve the performance. Kyocera has more than

Table 1 The 12 management principles

1. Clearly state the purpose and mission of your business. Set high objectives that are noble, just, and fair.
2. Set specific goals. Once targets are set, share them with all employees.
3. Keep a passionate desire in your heart. Your desire must be strong and persistent to penetrate into your subconscious mind.
4. Strive harder than anyone else. Work steadily and diligently, one step at a time, never relenting in tedious tasks.
5. Maximize revenues and minimize expenses. Measure your inflow and control your outflow; do not chase profit, but let it follow your effort.
6. Pricing is management. Pricing is top management's responsibility: to find that one point where customers are happy and the company is most profitable.
7. Success is determined by willpower. Business management requires a persistent, "rock-piercing" will.
8. Possess a fighting spirit. Management requires a more combative mentality than any martial art.
9. Face every challenge with courage. Be fair and never deceive others.
10. Always be creative in your work. Innovate and improve continuously. Today should be better than yesterday; tomorrow, better than today.
11. Be kind and sincere. Business is based on partnerships and must bring happiness to all parties.
12. Always be cheerful and positive; hold great dreams and hopes in the pureness of your heart.

Source: Inamori (2010, 2012a)

Table 2 7 principles of Kyocera accounting

1. Principle of Cash-Basis Management
2. Principle of One-to-One Correspondence
3. Principle of Muscular Management
4. Principle of Perfectionism
5. Principle of Double-Check
6. Principle of Profitability Improvement
7. Principle of Transparent Management

Source: Inamori (2000, 2012b)

1000 amoebas consisted from a few to more than ten employees (Inamori 2010). Amoebas are individual units which could alter size, content, or even break into smaller units, and the whole system is called amoeba management.

According to Inamori (2013, p. 8), amoeba management has three objectives:

1. Establishing a market-oriented divisional accounting system
2. Developing leaders with managerial awareness
3. Achieving "management by all"

In order to institute a market-oriented divisional accounting system, three conditions for dividing a company are needed to make an amoeba structure (Inamori

Table 3 Philosophy keywords

The Heart of Management
1. Management based on the bonds of human minds
2. Pursue profit fairly
3. Follow truths and principles
4. Practice the "customer-first" principle
5. The extended family principle for management
6. Follow the merit system
7. Emphasize partnership
8. Management by all
9. Align mental vectors
10. Value creativity
11. Transparent management
12. Aim high
Lead a Wonderful Life
Elevate Our Minds
13. Hearts in harmony with the "will of the universe"
14. Choose a loving, sincere, and harmonious heart as our basis
15. Draw a vision with a pure mind
16. Have an open mind
17. Always be humble
18. Be thankful
19. Always remain cheerful
Strive for Improvement
20. Do our best for our colleagues
21. Establish mutual trust
22. Adhere to perfection
23. Work earnestly
24. Accumulate tedious efforts
25. Fire yourself up
26. Love your work
27. Seek the essence of matters
28. Be the center of the vortex
29. Lead by example
30. Corner yourself
31. Wrestle in the center of the ring
32. Discuss frankly
33. Make unselfish decisions
34. Have a well-balanced nature
35. Experience rather than knowledge
36. Always be creative in your work
Make Correct Decisions
37. Make decisions with an altruistic mind
38. Be bold and meticulous
39. Paying voluntary attention sharpens judgment
40. Insist on playing fair
41. Separate personal matters from business
Accomplishing a New Feat
42. Maintain an ardent desire that penetrates into your subconscious mind
43. Pursue unlimited human potential
44. Possess a challenging spirit
45. Be a pioneer
46. When you think it is time to give up, the real work begins

(*continued*)

Table 3 (continued)

47. Hold on to our convictions
48. Conceive optimistically, plan pessimistically, and execute optimistically
Conquer Obstacles
49. Possess true courage
50. Raise our fighting spirit
51. Carve our own way
52. Boast and make it come true
53. Think through to visualize the results
54. Never give up until we succeed
Reflections on Life
55. The result of life or work = Attitude × Effort × Ability
56. Live each day earnestly
57. Your life is an expression of your mind
58. Have ambitious dreams
59. Is my motive virtuous or selfish?
60. A small good is like a great evil
61. Reflect on our behavior in everyday life
62. Lead our lives with a pure mind
Everyone is a Manager
63. Pricing is management
64. Maximize revenues and minimize expenses (measure your inflow and control your outflow)
65. Produce a P&L report daily
66. Only hold sound assets
67. Project our abilities into the future
68. Make targets well-known and understand
Performing Our Daily Work
69. Elevate our cost-consciousness
70. Be frugal
71. Buy only what we need, when we need it
72. Focus on "work floor" management
73. Cherish experiences
74. Make "sharp" products
75. Listen to what the product says
76. Adhere to the principle of "One-to-One Correspondence"
77. Always double-check
78. Grasp matters simply

Source: Inamori (2014) and Takeda and Boyns (2014, p. 352–355)

2013). First, as self-supporting accounting unit, each amoeba has revenue and expense. Second, each amoeba should be a self-contained business unit. Third, splitting a process into amoebas must not hamper the goals of the company as a whole.

Amoeba management adopts hourly efficiency system. The hourly efficiency report shows the added value per hour of each amoeba. The added value is calculated by the net sales minus its total expenses which do not include amoeba labor costs. The hourly efficiency index of the month is the outcome of dividing the added value by the total working hours. The hourly efficiency report can make a leader clearly grasp the performance of each amoeba. The leader is put in charge of each amoeba and delegated to overall management such as business planning, performance control, labor management, and purchasing. Inamori (2013, p. 16) explains the second objective of amoeba management, "developing leaders with managerial awareness":

> Even in small operating units, entrusting management to leaders stimulates managerial awareness and leadership development. This creates in them a sense of responsibility as business leaders and spurs further effort to improve performance.... In consequence, the attitude changes completely from that of the wage laborer who works for a specified time period to receive a specific amount of compensation, to that of one who works toward the compensation of the members of the group. At this point, the individual becomes willing to work to improve operations, even if it involves self-sacrifice. Ultimately, business partners who are ready to share the burden of management responsibility emerge one after another from among unit leaders.

Inamori (2013, p. 19) has managed Kyocera based on the idea of what he calls the extended-family principle as follows:

> If the company becomes a community held together by destiny, as one extended family, and if mutual understanding, encouragement, and help are freely given among managers and employees, just as in a family, then it should be possible to run the company with management and labor as one body united for the same purposes. Even in the face of severe market competition, operations should naturally proceed well, as united efforts are directed toward the development of the company.

Based on this principle, amoeba management enables to achieve the third objective, "achieving 'management by all.'"

> Oriented around a unit leader, all members take part in managing the unit. In the process, key information about the amoeba's operating conditions and those of the company as a whole is disclosed in full to all employees during our morning meetings and through other means. The maximum possible disclosure of company information in this manner both facilitates full-participation management and prepares the ground for independent participation in management (Inamori 2013, p. 21).

Management principle 6 or philosophy keyword 63, "pricing is management," is the modern expression of the third proposition in the Great Learning that the gain or profit is not to be considered as prosperity but that prosperity will be found in righteousness. Pricing, that is, finding that one point where customers are happy and the company is most profitable, results in prosperity among customers and the company. There are lots of ways to price goods and services. Leaders decide if they sell a large amount at a lower price with smaller profit margin or whether they are comfortable with small sales in order to get a greater profit margin by setting a higher price.

Thus, pricing reflects management thoughts of the leader. In this respect, "pricing is management," is also the modern expression of the first proposition in the Great Learning that *toku* is the root and wealth is the result. As the management philosophy by Inamori is based on *toku,* he maintains: "Don't chase profit; Let it follow your efforts," "A business reflects the person who runs it," and "Profit is the result of your continuous endeavor" (Inamori 2007a). As Inamori believes that *toku* is the root and wealth is the result, he insists that don't chase the result (profit) without the root, *toku* (your efforts). His saying, "Profit is the result of your continuous endeavor," means exactly the same. In other words, the result (a business) reflects the root, *toku* (the person who runs it).

Each amoeba negotiates with other amoebas about the selling and buying price of the product. At the time of negotiation, sectionalism among amoebas sometimes occurs. Thus, the company needs to have not only the amoeba management system and the associated management accounting system for seeking profit but also the management philosophy for encouraging lively communications among amoebas and their employees, and focusing away from each amoeba to the company as a whole. The management philosophy, therefore, enhances communication in the company and trust with other members and improves the company's business performance.

Management philosophy based on *toku* might not work in Anglo–Saxon companies, since they are driven by more individualism. However, we have evidences to the contrary.

The first evidence is Kyocera International Inc. (KII) in the United States. Mr. Rodney Lanthorne, who was an certified public accountant, attached to the accounting firm of Coopers & Lybrand, joined KII in 1979, since he is a Christian and was very impressed with many people in KII with their views on life and their ethics, which Inamori often talks about it, and their supreme attitude toward things in general (Lanthorne 2012). Inamori often said to Lanthorne, "[. . .] rather than making decisions based solely on figures, the job of a leader is to motivate people and make correct decisions. Work more on stoking the passion in people's hearts!" (Lanthorne 2012, p. 48). As the person in charge of growing the understanding and practice of Kyocera Philosophy and the amoeba management system in KII group, Lanthorne understands amoeba management as follows:

> [. . .] neither the Philosophy nor Amoeba Management may work alone. The Amoeba Management System is like a car. Amoebas are the wheels of the car. If the wheels don't work together, they are not fully functional or useful. We need the Philosophy as the axles to connect the wheels. Enable the Amoeba wheels and the Philosophy axles to work in unison, and the car will move forward (Lanthorne 2012, pp. 50–51).

Lanthorne highly evaluates Kyocera Philosophy as a universal model, "comprehensible to anyone, regardless of ethnicity, national origin or spiritual faith" (Lanthorne 2012, p. 63). He explains the corporate motto of Kyocera, *Keiten Aijin* – Respect the Divine and Love People – "as with love for God" (Lanthorne 2012, p. 63). Lanthorne concludes:

> Sharing a philosophy, a rationale, an ideal on a higher plane will without doubt overcome barriers. The existence of such a corporate Philosophy has led to Kyocera's success, even on a global basis, and will enable the company to continue to develop properly (Lanthorne 2012, p. 63).

The second evidence is AVX, an electronic components manufacturer in the United States. In 1990, Kyocera merged with AVX that had about 10,000 employees. Because Inamori believed that the merger with the other company was like a marriage and that establishing reliable relationships was the most important thing, executive officers stayed in the company and learned about Kyocera Philosophy. AVX recognized that the Kyocera Philosophy was better than their previous ideas and ran their business based on it. As a result, AVX performed much better than before. Sales grew three times and profits grew six times in 6 years so that AVX was relisted on the New York Stock Exchange (Inamori 2007c). Mr. Dick Rosen, AVX's chief executive officer (CEO), explained the relationship between AVX and Kyocera as follows:

> [. . .] the relationship has been a super one. Kyocera has been pleased with our performance and given us a lot of flexibility. We have been very pleased with the relationship, it has been better than any of us dreamed. And I think their feeling is the same. I'm a director at Kyocera so I spend a lot of time and so does John Gilbertson, our new president. I think it's important. It's a very positive relationship. We've grown together. We've grown the components business for Kyocera and they are growing our business in Japan. It's enabled us to become suppliers to customers we were not able to because we didn't have enough product. And it's helped Kyocera. We have some unique products that helped them in some of the applications as well (Levine 1997).

Concluding Remarks

I have explained Confucianism and Neo-Confucianism, especially the contents of the Great Learning and the Doctrine of the Mean, and the Japanese businesses related to Confucianism and Neo-Confucianism. There exist fewer case studies that relate to Confucianism and Neo-Confucianism than those that relate to Buddhism and Christianity, probably because Confucianism and Neo-Confucianism are not regarded as typical religions and are not easy to understand, especially for those who are not familiar with them.

However, as shown above, Confucianism and Neo-Confucianism seem to have a relationship with transformation theories. In particular, the ideal of Neo-Confucianism known as *syushin-seika-chikoku-heitenka* (修身·斉家·治国·平天下) shows four steps of personal and organizational transformation processes. In other words, cultivating oneself (修身: *syushin*), regulating one's family (斉家: *seika*), rightly governing states (治国: *chikoku*), and making the whole world tranquil and happy (平天下: *heitenka*) correspond to personal and leadership transformation, group transformation, organizational and management education transformation, and global transformation, respectively.

If we realize it, we can regard the development of Japanese business as transformative connections between culture and finance, and a history of personal and organizational transformation. Sen (2008) argued that the motivation patterns of Japanese business, as an example of successful capitalism, include nonprofit motivations underlying business activities, and these have an important role because the overall success of a modern enterprise is a real public good. This chapter shows that some nonprofit motivations underlying Japanese business activities derive from Confucianism and Neo-Confucianism.

References

Bellah RN (1985) Tokugawa religion: the cultural roots of modern Japan. The Free Press, New York

Guiso L, Sapienza P, Zingales L (2006) Does culture affect economic outcome? J Econ Perspect 20(2):23–48

Hiromatsu W, Koyasu N, Mishima K, Miyamoto H, Sasaki C, Noe K, Sueki F (eds) (1998) Iwanami tetsugaku shiso jiten (Iwanami encyclopedia of philosophy and thought). Iwanami Shoten, Tokyo. (In Japanese)

Hirschmeier J, Yui T (1981) The development of Japanese business, 2nd edn. George Allen & Unwin, London

Inamori K (2000) Inamori Kazuo no jitsugaku (Kazuo Inamori's pragmatic studies: management and accounting). Nihon Keizai Shinbun Shuppansha, Tokyo. (In Japanese)

Inamori K (2007a) Seiko eno jyonetsu (a passion for success: how to succeed in business). McGraw-Hill Education, Tokyo

Inamori K (2007b) Jinsei no odo – Saigo Nanshu no oshie ni manabu (taking the right road in life). Nikkei BP Sha, Tokyo. (In Japanese)

Inamori K (2007c) [Shinso-ban] Seiko eno jyonetsu (a passion for success). PHP Institute, Tokyo. (In Japanese)

Inamori K (2010) Keiei no genten 12 ka jyo (The 12 management principles). Seiwajyuku 103:2–41. (In Japanese)

Inamori K (2012a) The 12 management principles. Seiwajyuku J 1:cover 2, 1

Inamori K (2012b) 7 principles of Kyocera accounting. Seiwajyuku J 4:92

Inamori K (2013) Amoeba management. CRC Press, FL

Inamori K (2014) Kyocera firosofi (Kyocera philosophy). Sunmark Shuppan, Tokyo. (In Japanese)

Kanaya O (2003) Daigaku-Chuyo (the Great Learning and the Doctrine of the Mean). Iwanami Shoten, Tokyo. (In Japanese)

Kyocera Communication Systems Co., Ltd (2016) Consulting track record. http://amc.kccs.co.jp/en/about_us/dounyuu.html. Accessed 30 Sep 2016

Kyocera Corporation (2017) Management rationale. http://global.kyocera.com/company/philosophy/index.html. Accessed 9 May 2017

Lanthorne R (2012) The philosophy is a universal concept. Seiwajyuku J 1:42–63

Levine B (1997) AVX 'downsizes' parts to up profits. Electronic News 43(2190):1–3

Mizoguchi Y, Maruyama M, Ikeda T (eds) (2001) Chugoku shiso bunka jiten (dictionary of the history of ideas in China). University of Tokyo Press, Tokyo. (In Japanese)

Nakagawa K (1970) Kaisetsu keiei tetsugaku keiei rinen Showa hen (Japanese management thought in the Showa period). In: Nakagawa K, Yui T (eds) Management thought of Japanese businessmen, vol 2. Daiyamondosha, Tokyo, pp 1–30. (In Japanese)

Pio E, Waddock S, Mangaliso M, McIntosh M, Spiller C, Takeda H, Gladstone J, Ho M, Syed J (2013) Pipeline to the future: seeking wisdom in indigenous, eastern and western traditions. In: Neal J (ed) Handbook of faith and spirituality in the workplace. Springer, New York, pp 195–219

Schein EH (2010) Organizational culture and leadership, 4th edn. Jossey-Bass, San Francisco

Sen A (2008) Does business ethics make economic sense? In: Donaldson T, Werhane PH, Van Zandt JD (eds) Ethical issues in business: a philosophical approach, 8th edn. Pearson Education, New Jersey, pp 256–264

Shibusawa E (2010) Gendaigo yaku keiei Rongo (the Confucius analects annotated by Eiichi Shibusawa). Daiyamondosha, Tokyo. (In Japanese)

Shimada K (1967a) Daigaku Chuyo (the Great Learning and the Doctrine of the Mean). Asahishinbunsha, Tokyo. (In Japanese)
Shimada K (1967b) Shushigaku to Yomeigaku (the Zhi Xi school and the Wang Yangming school of Neo-Confuciasm). Iwanami Shoten, Tokyo. (In Japanese)
Sueki F (2006) Nihon shukyo shi (the history of religion in Japan). Iwanami Shoten, Tokyo. (In Japanese)
Sumihara N (2016) Anthropology of administration's approach to the study of management philosophy as "spiritual capital". In: Nakamaki H et al (eds) Enterprise as an instrument of civilization. Springer, Tokyo, pp 89–105
Takeda H (2015) Shinto, Buddhism and Confucianism: Japanese culture and management thought and their links to the world. In: Spiller C, Wolfgramm R (eds) Indigenous spiritualty at work: transforming the spirit of enterprise. Information Age Publishing, Charlotte, pp 71–75
Takeda H, Boyns T (2014) Management, accounting and philosophy: the development of management accounting at Kyocera, 1959-2013. Account Audit Account J 27(2):317–356
Williamson O (2000) The new institutional economics: taking stock, looking ahead. J Econ Lit 38(3):595–613
Yui T (1969) Kaisetsu keiei tetsugaku keiei rinen Meiji Taisho hen (Japanese management thought in the Meiji period and the Taisho period). In: Nakagawa K, Yui T (eds) Management thought of Japanese businessmen, vol 1. Daiyamondosha, Tokyo, pp 1–44. (In Japanese)
Yui T (2007) Tohi mondo: Keiei no michi to kokoro (Tohi mondo: path and mind in Japanese management). Nihon Keizai Shinbun Shuppansha, Tokyo
Yui T (2009) Shibusawa Eiichi to keiei tetsugaku (Shibusawa Eiichi and management philosophy). Keiei Tetsugaku (Journal of Management Philosophy) 6(2):14–30. (In Japanese)
Zingales L (2015) The "cultural revolution" in finance. J Financ Econ 117:1–4

Part VI

Global Transformation

Cultivating a Global Mindset Through "Being-Centered" Leadership

Eleftheria Egel and Louis W. Fry

Contents

Abstract

Perhaps the greatest challenge facing today's global leaders is the need to address the demand for a new strategic business orientation that effectively perceives the nature of complex markets and maximizes global business opportunities. This has given rise to the call for cultivating a global mindset (GM) as a foundation for

E. Egel (✉)
International University of Monaco, Monaco, Monaco
e-mail: ee@amfortas.eu

L. W. Fry
Department of Management, Texas A&M University Central Rexas, Killeen, TX, USA
e-mail: lwfry@tamuct.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_50

global leadership. In this chapter we introduce a process for cultivating a GM based on a theory of Being-centered leadership that proposes multiple levels of being as a context for effective global leadership. First, we explore the concept of global mindset and focus on a classification of its core properties. Second, we review the theory of Being-centered leadership, which incorporates five levels of knowing and being, and argue that it is only when a leader commits to the spiritual journey inherent in these levels that self-awareness and other-awareness become manifest, which we propose is essential for GM cultivation. Next, we illustrate how a model of spiritual leadership can facilitate cultivation of a GM and global leadership. Finally, we discuss the implications for global mindset and leadership research and practice.

Keywords
Global leadership · Global mindset · Being-centered leadership · Spiritual leadership

Introduction

"The only true voyage of discovery…, would be not to visit strange lands but to possess other eyes, to behold the universe through the eyes of another…" Proust M.

Heterogeneity and chaos across cultures and markets is endemic in todays globalized business environment. Firms interact with a wide range of stakeholders, including suppliers, customers, government and industry regulators or employees from diverse multicultural, ethnic, and religious backgrounds (Arora et al. 2004; Thomas and Inkson 2004). This is a monumental challenge as performance excellence depends on the corporation's ability to direct employee behavior toward collective goals (Wilson 2013). Often, a company's competitive advantage depends on how intelligent the firm is at observing and interpreting the dynamic world context in which it operates, how it makes meaning of it, and how it finds ways to incorporate its understanding of the world community in which it operates (Kegan 1994; Markus and Kitayama 2003; Rhinesmith 1993; Thomas and Inkson 2004; Triandis 1980).

These challenges have forced multinational corporations (MNC) to seek global leaders who have the ability to influence people different from themselves in numerous, compound ways (Bechler and Javidan 2007; Javidan and Walker 2012; Mendenhall et al. 2012). Instead of influencing a strategy for a single market, strategy formulation must now balance global efficiencies of the firm with local demands, which may require different strategies given different politico-economic and social contexts. They also must implement these strategies through employees from diverse cultural backgrounds who may not share the organization's vision and cultural values (Clapp-Smith 2009).

Global leadership requires leaders to integrate the needs of diverse stakeholders with a balanced focus on economic profits, social impact (including employees), and environmental sustainability, sometimes called the triple bottom line or the three

P's: people, planet, and profit (Crews 2010; Elkington 1998, Fry and Nisiewicz 2013). It reflects an emerging consensus for global leaders to live their lives and lead their organizations in ways that account for their impact on the earth, society, and the health of local and global economies. Thus, the very definition of global leadership is extended to those who seek sustainable change, regardless of role or position; to build the kind of world that we want to live in and that we want our children and grandchildren to inherit (Ferdig 2007). Unfortunately, the literature on global leadership has not emphasized issues surrounding sustainability and the triple bottom line but instead concentrates on a set of business skills that leaders generally rely on when creating strategy (Beechler and Javidan 2007; Bird et al. 2010; Jokinen 2005; Osland 2008).

The concept of global mindset (GM) has emerged in recent years as an essential attribute necessary for meeting the challenges for global leadership (Story et al. 2014). However, to date there is little consensus on the definition of GM, much less on how to cultivate it. Definitions of GM have ranged from skills, attitudes, and competencies to behaviors, practices, and strategies (Story et al. 2014), and have been approached from both the individual and organizational levels (Beechler and Javidan 2007, Perlmutter 1969; Rhinesmith 1992). For example, Rhinesmith (1992, p. 63) defined GM as "predisposition to see the world in a particular way, to set boundaries, question the rationale behind things that are happening around us, and establish guidelines to show how we should behave." Boyacigiller et al. (2004) defined GM as a cognitively complex knowledge structure characterized by a duality, high levels of both differentiation and integration.

The purpose of this chapter is to explore GM cultivation, which we propose is necessary for global leadership, through the theory of "Being-centered" leadership that incorporates multiple levels of knowing and being. First, we explore the concept of GM and focus on its three core properties: existentialist, cognitive, and behavioral (Levy et al. 2007). Second, we argue that the existentialist property which has at its core the qualities of self-transcendence is the foundational source of the other two properties. Next we explicate the theory of "Being-centered" leadership with its five levels of knowing and being (Fry and Kriger 2009). Finally, we propose that the cultivation of GM and effective global leadership can only occur when leaders are at Levels III and II of "Being-centered" leadership as it is only at these levels that self-awareness and self-transcendence are attained.

Global Mindset

Perlmutter (1969), one of the first to work in this area, defined three orientations that managers have in managing a multinational corporation: ethnocentric (home country organization), polycentric (host country organization), and geocentric (world orientation). His work on geocentrism became the foundation for a theory of GM that focuses on the challenge of overcoming ingrained ethnocentrism and transcending nationally entrenched perceptions (Gupta and Govindarajan 2002; Levy et al. 2007; Maznevski and Lane 2004). According to Perlmutter (1969), global organizations or geocentric organizations are increasingly complex and interdependent, aim for a collaborative approach between headquarters and subsidiaries, have standards which are universal and local, have executives who are rewarded for reaching local and global objectives, and develop the best individuals in the world for key positions around the globe.

Levy et al. (2007, p. 5) in a thorough review of the GM literature found that GM primarily is based on two perspectives of the global environment: (1) the cultural and national diversity perspective and (2) the strategic perspective (see Fig. 1 and Table 1). The cultural and national diversity perspective focuses on managing across cultural boundaries, emphasizing challenges such as engaging with employees from diverse countries and managing diverse interorganizational relationships. According to this perspective, leaders should adopt cosmopolitanism as it allows global leaders to be self-aware of cultural differences, have an openness and understanding of other cultures, and selectively incorporate foreign values and practices.

The strategic perspective focuses on the complexity that stems from globalization of operations and markets, emphasizing the additional demands on MNCs, specifically the need to integrate geographically distant and strategically diverse operations and markets (Bartlett and Ghoshal 1989; Harveston et al. 2000; Prahalad and Doz 1987). This perspective is based on international strategy, which asserts that complexity, heterogeneity, and indeterminacy of multinational corporations create the need for managers to change their styles of thinking and adopt a GM, with GM being defined as a cognitively complex knowledge structure characterized by high levels of both differentiation and integration (Boyacigiller et al. 2004; Murtha et al. 1998; Paul 2000). GM is also defined in terms of cognitive abilities and information processing capabilities that help managers perceive and effectively respond to complex global dynamics (e.g., Jeannet 2000), balance between competing concerns and demands (e.g., Murtha et al. 1998), mediate the tension between the global and the local (e.g., Kefalas 1998), distinguish between and integrate across cultures and markets (e.g., Govindarajan and Gupta 2001), and scan and pay attention to global issues (e.g., Rhinesmith 1993).

Another approach – the multidimensional perspective – integrates these two perspectives. The foundation of this perspective lies with the work of Rhinesmith (1992, 1993, 1996). In his view, the GM of key decision-makers contributes to strategic sense-making capabilities of global firms by enabling the decision-maker to not only understand the nuances of culture (*cultural perspective*) but to also have a broader understanding of the impact of global trends on local strategies (*strategic perspective*) (Caproni et al. 1992). What has emerged from this work are a set of GM core properties: existentialist (being or ontological), cognitive (knowing or epistemological), and behavioral (Levy et al. 2007). The existentialist approach emphasizes the ontology of GM in terms of "state of mind," "way of being," "orientation," "awareness," and "openness." The cognitive approach emphasizes the epistemology of GM in terms of information processing," "knowledge structure," "cognitive structure," "ability to develop and interpret," "attention," "sense making," and "conceptualization and contextualization abilities." The

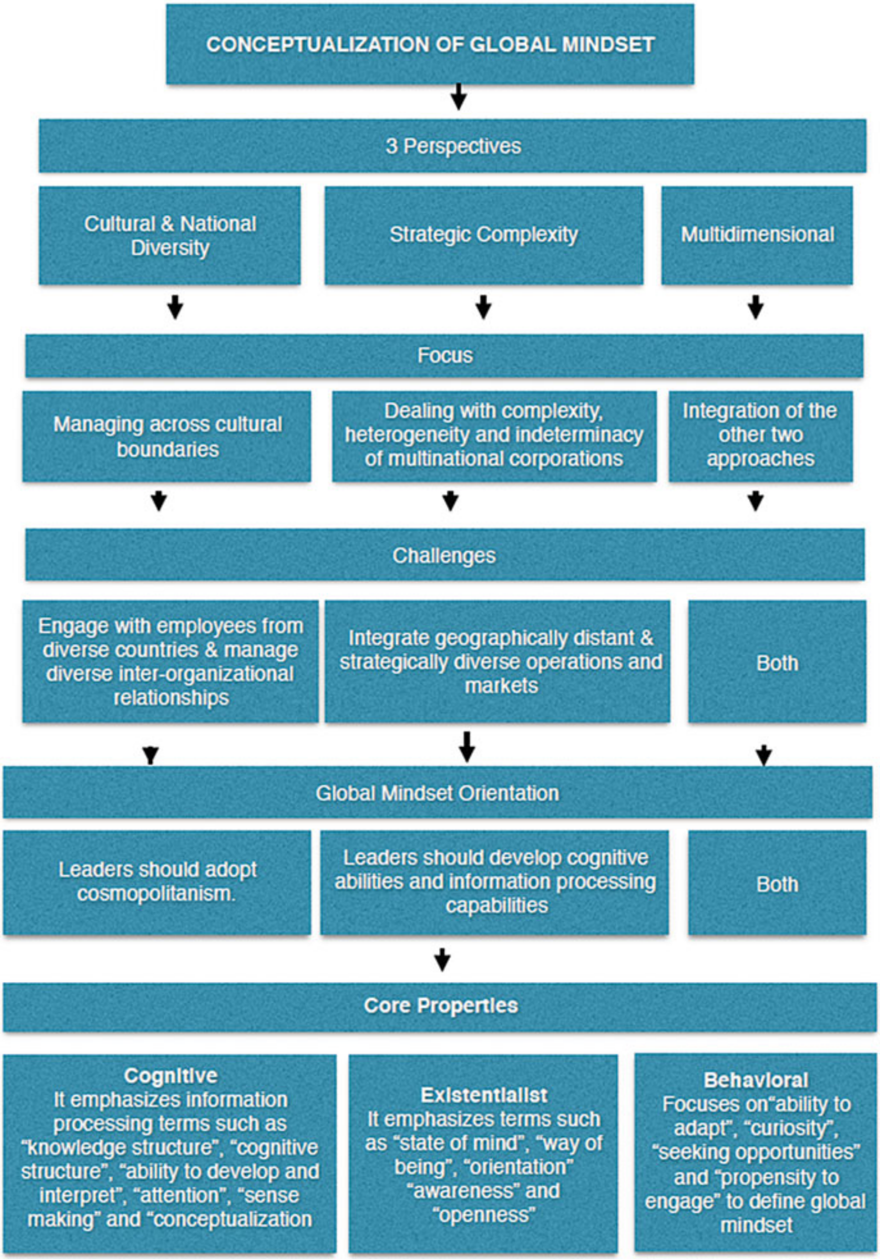


Fig. 1 Conceptualization of global mindset

Table 1 Definitions of global mindset

Scholar	Definition
Perlmutter (1969)	Global mindset as a geocentric orientation that multinational organizations have while doing business
Rhinesmith (1992, p. 63)	A global mindset is a predisposition to see the world in a particular way, to set boundaries, question the rationale behind things that are happening around us, and establish guidelines to show how we should behave
Kefalas (1998)	Global mindset is having a global view of the world and the capacity to adapt to local environments
Murtha et al. (1998)	GM is the cognitive processes that balance competing country, business, and functional concerns
Gupta and Govindarajan (2002)	They described a conceptual framework of global mindset in terms of market and cultural awareness and openness, and the ability to integrate differing perspectives. Integration is described as the ability to integrate diversity across cultures and markets. Differentiation is described as openness to diversity across cultures and markets
Begley and Boyd (2003)	A global mindset is the ability to develop and interpret criteria for business performance that are not dependent on the assumptions of a single country, culture, or context and to implement those criteria appropriately in different countries, cultures, and contexts
Boyacigiller et al. (2004)	Global mindset is a cognitively complex knowledge structure characterized by a duality, high levels of both differentiation and integration
Maznevski and Lane (2004, p. 172)	GM is the ability to develop and interpret criteria for personal and business performance that are independent from the assumptions of a single country, culture, or context, and to implement those criteria appropriately in different countries, cultures, and contexts
Levy et al. (2007, p. 21)	GM is a highly complex cognitive structure characterized by an openness to and articulation of multiple cultural and strategic realities on both local and global levels, and the cognitive ability to mediate and integrate across this multiplicity
Beecher and Javidan (2007)	GM is leaders' knowledge, cognitive ability, and psychological attributes that allow them to lead in diverse cultural environments
Javidan and Teagarden (2011, p. 14)	Global mindset is "an individual's ability to influence individuals, groups, organizations, and systems that are unlike him or her or his or her own"

behavioral approach focuses on "ability to adapt," "curiosity," "seeking opportunities," and "propensity to engage."

We propose that the existentialist core property forms the foundation for, or underlies, the cognitive and behavioral properties. For example, "state of mind" (existentialist) influences "sense making" (cognitive) or the categories within which one makes sense of the experience which then affects one's "propensity to engage" and ultimately the behaviors resulting from this propensity. Specifically, a "state of mind" or "mindset" forms the (existential) filter through which we make meaning of the world in a particular way that provides for why things are the way they are (cognitive interpretation or "sense making") which then provides the disposition for ways we should act or behave (Barker 1989; Fischer 1988). Thus, GM encompasses the leader's fundamental ontological experience of reality and the core beliefs and values they hold about themselves, others, and life in general and, through this filter, the epistemological context for how leaders cognitively interpret their reality and behave accordingly (Anderson and Ackerman-Anderson 2010).

Accordingly, if global leaders want to cultivate a GM from a multidimensional perspective in order to manage across cultural boundaries and deal with the complexity, heterogeneity, and indeterminacy of global organizational environments (Caproni et al. 1992), they must perceive reality in a more expansive and inclusive way. We propose that to do so global leaders aspiring to cultivate a GM must be conscious, self-aware, and self-transcendent. How else will they be able to truly understand, appreciate, and create vision and organizational value congruence among employees from diverse countries, cultures, and ethnic backgrounds while simultaneously managing and integrating diverse interorganizational relationships, and geographically distant and strategically diverse operations and markets?

Conversely, an unconscious, self-centered mindset may result in biased interpretations of current experiences and cognitive filters that lead to stereotypical behavior toward certain cultures, nationalities, and ethnic groups. The more this existential, cognitive, and behavioral pattern is ingrained in a leader's GM, the greater the likelihood of behavioral rigidity and lower leadership effectiveness (Fransella 1982; Gupta and Govindarajan 2002; Issa and Pick 2010).

Being-Centered Leadership: Levels of Knowing and Being

A proposed model for cultivating a self-aware and self-transcendent GM as a source of global leadership is given in Fig. 2, which is adapted from Fry and Kriger (2009). Based on a theory of being-centered leadership, it depicts five levels of knowing and being with different views of reality that produce different approaches to leadership. In addition, each of the five levels of being has a corresponding mode of consciousness in terms of notions such as truth, belief, justification for one's actions, and what constitutes happiness. At each level leaders find themselves concerned with questions such as: "What is knowledge?" "What are the processes by which knowledge is acquired?" "What do people seek to know?" "How do we become more aware of both ourselves and the world around us?"

We propose that these levels of being provide a process for cultivating a GM, since the levels of being are different states of consciousness, marked by the lower-order systems of knowledge and moving to progressively higher-order systems. When at a particular level of being, a person tends to experience psychological states and state of self-awareness that are appropriate to that level. In addition, an individual's feelings, motivations, ethics, values, learning system, and personal theories of what constitutes happiness are consistent with and appropriate to that level of being.

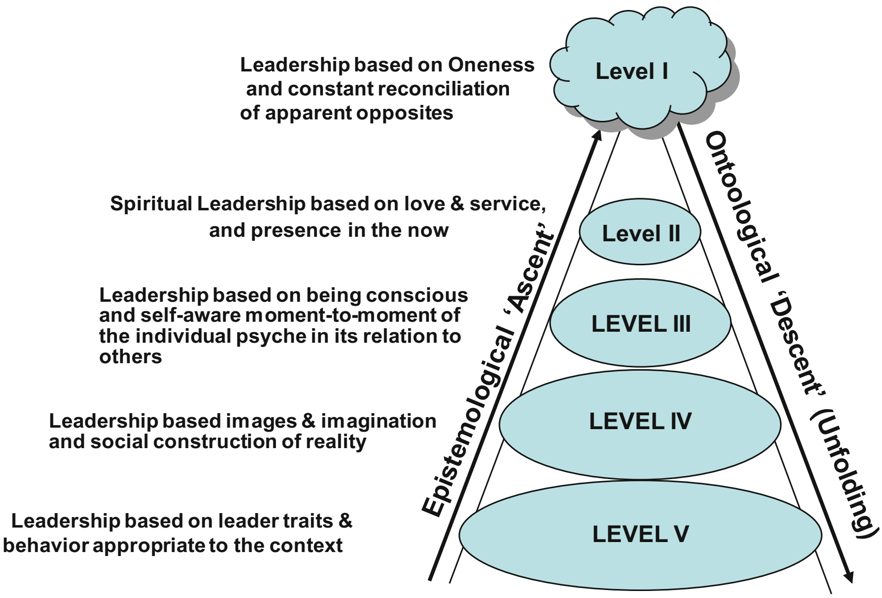


Fig. 2 Levels of knowing and being

Each higher level is holonic in that it transcends and includes each of the lower levels. Moreover, each lower level can be activated or reactivated as individuals' progress and then fall back to a lower level, even in a single day. Thus each level can manifest in any particular activity depending on the level of self-awareness and spiritual development of the individual at that time. More important still, every individual has all of these levels potentially available, independent of their current stage of development.

Level V Way of Knowing and Being

The fifth level of being is comprised of the physical, observable world which is based in the five senses, wherein a leader creates and transfers knowledge through an active engagement in worldly affairs. As a state of being, it is comprised of individuals that are born into and still live within a social world where the major view of reality is based on the sensible/physical world. Effective leadership in the sensible/physical world requires developing appropriate diagnostic skills to discern the characteristics of tasks, subordinates, and the organization and then being flexible enough in one's leadership behavior to increase the likelihood of desired effectiveness outcomes. Leadership theories at this level include trait, behavior, and contingency theories of leadership (Bass 1990; Kirkpatrick and Locke 1991; House 1996).

Level IV Way of Knowing and Being

The fourth level of being is where reality is socially constructed through the creation and maintenance of vision, cultural values, and images. At this level leadership involves the use of images and imagination; the process of creating a compelling vision and establishing strong cultural values. The main goal of leadership at this level is to create agreement on a socially constructed reality which motivates followers to high levels of organizational commitment and performance. The primary focus at this level is on the subjective experience of individuals and groups as they relate to the development of awareness and knowledge. Out of this level arises the legitimacy and appropriateness of a leader’s vision, as well as the ethical and cultural values which individuals and groups should embrace or reject. Here the vision and values of the leader may be either self- or other-centered (e.g., Hitler vs. Mahatma Gandhi). Charismatic and transformational leadership theories characterize this level (Degroot et al. 2000; Judge and Piccolo 2004).

Level III Way of Knowing and Being

The third level of knowing and being is where self-awareness and self-transcendence begin to emerge and become more dominant. To awaken or become conscious at Level III involves the capacity to be aware from moment-to-moment of all of our experiences, thoughts, feelings, and body sensations. Without this felt experience in the current moment, a leader’s thinking will tend to become focused on the past or the future. They are then trapped in an ego-centered experience where there is the duality of an “experiencer” separated from what is “experienced.” Each of the major spiritual and religious traditions of the world proclaims that without this level of conscious awareness, an individual will perceive themselves simply as the sum of their individual thoughts, feelings, emotions, and body sensations (Kriger and Seng 2005). It is thus important for leaders seeking Level III to develop and refine the ability to be aware of the present moment by withdrawing attention from past memories based in anger and resentment as well as future imaginings that produce worry and fear. In doing so, leaders are more able to be in touch with subtle feelings and intuitions that can result in a better understanding of the organizational context as well as the needs of followers. Conscious awareness is thus a process of waking up and being present moment-to-moment and then forgetting, to discover new insights and possibilities and awaken one’s capacity to live more wisely, more lovingly, and more fully.

By committing to an inner life practice (e.g., meditation, prayer, yoga, journaling, walking in nature) to foster conscious awareness, leaders begin to cultivate a GM that facilitates ever more refined programs of change and transformation. These practices serve to redefine the leader’s individual and social identity through a discipline of constantly observing one’s thought patterns and what one pays attention to in order to get the self-centered ego out of the way. It allows one to explore the often crippling emotional programs for happiness that are developed in early childhood based on needs for survival, security, affection, esteem, power, and control (Keating 1999). It also requires exploring the over attachment or over identification with any particular group or culture to which one belongs. In doing so questions or issues are addressed, such as what is my agenda? What is my predisposition? What are my prejudices? What are my fears? What are my angers? Answering these questions requires one to develop the ability to stand away from themselves, listen, and look with a calm, nonjudgmental objectivity. This inner process can be brutal, but it is absolutely necessary for cultivating a GM based in self-awareness. Otherwise, one cannot separate from the mind's identification with thoughts and feelings.

By dedicating themselves to an inner life practice, leaders with a GM will have a more transparent lens through which to make better sense of the global world within which they operate (Fischer 1988; Gupta and Govindarajan 2002; Rhinesmith 1996). They will accept the possibility that their view of the world is just one of many alternative interpretations of reality. Accepting this possibility significantly enhances the likelihood of global leadership effectiveness (Gupta and Govindarajan 2002). Leaders with a GM will not function on autopilot and consistently slip into the delusion that reality and their interpretation of it are one and the same. And they will more often be consciously aware of the difference between "out there" and "in here," between external reality and internal meaning making. Eckhart Tolle's work (1999), *The Power of Now*, gives a good characterization of this level of being.

Level II Way of Knowing and Being

Level II builds upon the commitment to Level II to more consistently be able to love and serve others through self-transcendence and deepening connectedness with all things in the universe. Once one accepts the possibility that their view of the world is just one of many alternative interpretations of reality and can more consistently remain present in the now, which is devoid of feelings, thoughts, and emotions, one realizes that in their inner reality we are one with all existence including nature and our fellow humans. In other words, our ways of experiencing (existential being), knowing (cognitive), and behaving change.

At Level II global leaders more readily and consistently seek to understand and empathize stakeholders' perspectives and respect their opinions and dignity as human beings. Cultivation of a GM through self-transcendence does not simply focus on learning about how to deal with other cultures. It goes much deeper and creates communication based on universal values that are common to the world's spiritual and religious traditions. A leader with a GM will not feel threatened by other cultural standards or different religions. They will experience diversity as just another way of expressing our similarities, our unity as human beings.

At this level the focus is on leadership based on loving and serving others. Recognized examples of leadership at Level II include Mother Theresa, Gandhi, Martin Luther King, and Nelson Mandela. Very few organizational leaders are consistently at Level II, though they can often lead from this level temporarily. A leadership theory that incorporates Level II is spiritual leadership (Fry 2003, 2008; Fry et al. in press).

Level I Way of Knowing and Being

Level I is the most inclusive level of being, in which there is only a transcendent unity. Underlying this level is a central theme: the goal of this world is the transcendence of all opposites and the realization of self-actualization. All of the world’s wisdom traditions refer in one way or another to this level of being that is so inclusive that it contains both pure emptiness and pure fullness or completeness. Level I thus incorporates all of the previous levels of being and is beyond all distinctions, including the distinction between leader and follower. At this level, the leader responds to each situation as it arises moment-to-moment within a unique context and configuration of forces. Leaders reside in and respond to an ever-evolving open system of levels of knowing and being. At Level I the experience of duality (i.e., of separation) will dissolve and would not see a distinction between the “leader” and the “led.” In the ideal, all have the potential to enter roles as needed to enact leadership in specific situations moment-by-moment. Thus, Level I leadership is an ideal stage of being that is more aspirational, rather than a current reality within organizational settings.

Cultivating a Global Mindset

So how does a leader cultivate a GM that activates these levels of knowing and being? The answer lies in developing the ability to shift from the “having and doing” to “being.” “Having and doing” are constructs which are central to the ego-based self in Levels V and IV. Leadership from a GM requires that leaders reside as much as possible at the higher levels of knowing and being, especially Levels III and II. These levels provide differing ontological and epistemological contexts and indications for the discovery and creation of meaning. This ongoing challenge is undertaken within a larger set of organizational values that often is in tension with the other-centered values and beliefs inherent in a GM. Thus, one of the major challenges in leading from a GM is the enactment of leadership with deep inner meaning for both leaders themselves and their followers.

This is illustrated by the upward arrow on the left side of Fig. 2 labeled as “Epistemological Ascent.” This knowing begins with an awareness of leadership in the Level V physical world and the role of vision and values in Level IV. Then comes the awareness of the necessity for the honesty, open mindedness, and willingness to nurture one’s consciousness and self-awareness for moral transformation through self-transcendence in Level III, which provides the source of spiritual leadership based on love and service of others in Level II. At this level there also emerges the desire to, if however briefly, reside in Level I: a state of nondual awareness of knowing and being in a transcendent unity where, moment-to-moment, all is one (Fry and Kriger 2009).

Global leadership from a GM then manifests through progressively more coarse levels of being (e.g., Level I, II, III, IV, and ultimately Level V). This is illustrated by the downward arrow on the right side of Fig. 2 labeled as "Ontological Descent." Level I is the source of Level II leadership through love and service, Level II is the source of consciousness and self-awareness at Level III. Self-awareness influences the formation of leader values based in altruistic love, which in turn directly influence the development of the leader's vision and values (Level IV) that, ultimately, influences leader behavior (Level V).

Regardless of their level of inner development, leaders will always have some aspects of spiritual perception and moral sensitivity which requires further inner work. A GM encourages both leaders and followers to understand that their inspiration and creativity, as well as moral standards, are the product of other levels of knowing and being, often only partially perceived or understood. These levels are not like stair steps. Rather they are destinations that are resting places on the pilgrimage that is the spiritual journey (Fry and Nisiewicz 2013). Level I is usually the desired destination. However, few ever reach it and stay there for sustained periods. Rather, leaders may find that they reside at all the levels periodically. Regardless, by committing to cultivation of a GM global leaders will find themselves leading from Levels III and II more consistently, as it is at these levels that leaders operate through self-transcendence to love and serve.

Global Mindset at Each Level of Being

GM cultivation is the equivalent of a spiritual journey that unfolds through levels of knowing and being that ultimately manifest through the multidimensional perspective comprised of the cultural and national diversity and strategic complexity perspectives (Fig. 1). Level I is not discussed in this section since it is rarely, if ever, attained by individuals, much less organizations.

Level V Global Mindset

Level V leadership focuses on "having" and "doing"; on the traits, competencies and styles leaders possess that determine the way he/she should lead and respond to organizational challenges. Global leaders with a Level V GM are prominently ethnocentric, with an attitude that one's own group (organization) is superior in terms of intellect and experience in knowing the "one best way" (Adler and Gundersen 2007). As a result, the cultivation of a GM remains at a parochial level. From the "Cultural & National Identity" Perspective the organization trains employees using methods that apply in the home organization without taking into consideration cultural boundaries. From the Strategic Perspective, vision, mission, and objectives are formulated at headquarters and are expected to be followed by the subsidiaries irrespective of the cultural diversity and of distinctive managerial decision-making process (e.g., individual vs. collective). Level V GM leaders emphasize profit maximization at the expense of other stakeholders. It manifests when a globally focused firm uses its worldwide system of resources to compete in national markets without being interested in the economic, social, and ecological consequences in the markets where it operates.

The most notorious recent example of the perils of leading through a Level V mindset was the Deepwater Horizon – BP Gulf of Mexico oil spill (Environmental Protection Agency 2017). On April 20, 2010, the oil drilling rig *Deepwater Horizon*, operating in the Macondo Prospect in the Gulf of Mexico, exploded and sank resulting in the death of 11 workers on the Deepwater Horizon and the largest spill of oil in the history of marine oil drilling operations. Four million barrels of oil flowed from the damaged Macondo well over an 87-day period, before it was finally capped on July 15, 2010. On December 15, 2010, the United States filed a complaint in District Court against BP Exploration & Production and several other defendants alleged to be responsible for the spill. Investigations revealed a corporate culture of cost-cutting initiatives that put profits ahead of workers' lives and the environment, with repeated safety violations and an abysmal accident history, and that the disaster was just part of a pattern of poor decision making in the relentless pursuit by BP to become the largest and most profitable oil company in the world (Steffy 2010). A federal judge in New Orleans granted final approval April 4, 2016, to an estimated $20 billion settlement, resolving years of litigation. In addition, BP agreed to pay a record $4 billion in criminal fines and penalties. Plus two highest-ranking BP supervisors on the Deepwater Horizon Oil Rig were charged with manslaughter and a former senior BP executive was charged with obstruction of congress (EPA 2017).

Level IV Global Mindset

At this level the focus is on socially constructing a common organizational reality through the use of images and imagination to create a compelling vision and establish a strong and distinct organizational culture. From the Cultural and National Identity Perspective, a leader with a Level IV GM is concerned with creating shared experiences that serve to unify diverse individual personalities and cultural differences into a common organizational identity. The vision at Level IV usually carries a higher purpose message that inspires and unites. For example, PepsiCo's vision statement is "to deliver top-tier financial performance over the long term by integrating sustainability into our business strategy, leaving a positive imprint on society and the environment." From the Strategic Perspective, Level IV GM strategy formulation and implementation is based on a common purpose and morale principles that balance global efficiencies with local demands in different politico-economic and social contexts. This is the level where multinationals and global companies *symbolically* embrace the triple bottom line (TBL) to satisfy employee, corporate social responsibility, and sustainability stakeholders as their brand image, reputation and ultimate financial performance depend on their meeting or exceeding these stakeholders' expectations. Level IV is also where we observe most of the ethical scandals, as compliance is not authentic but it is due to a self-serving rationale, a practice known as "greenwashing," whereby disinformation is disseminated by an organization so as to present an environmentally responsible public image.

A striking example in this regard is Apple whose vision statement emphasizes innovation and highlights employees' collaboration and excellence. Apple even has a specific vision for sustainability.

> We take the same innovative approach to the environment that we do with our products. We're creating new solar energy projects to reduce our carbon footprint. We're switching to greener materials to create safer products and manufacturing processes. We're protecting working forests and making sure they are managed sustainably. We're even creating a more mindful way to recycle devices using robots.

However, if we look into their operations more deeply, it becomes obvious that the verbal exuberance implicit in their environmental vision does not match the lived organizational reality. For example, Apple makes iPhones and iPads in China where its Foxconn manufacturer became notorious for its sweatshop operations, militaristic surveillance and discipline, and a wave of worker suicides (Balfour and Culpan 2010). Other Apple factories were charged with other onerous – sometimes deadly and fatal – safety problems (Guhigg and Barboza 2012). And, despite some successes, labor violations still haunt Apple (Vincent 2015). With over $246 billion dollars of cash and investments as of February 1, 2017, it seems obvious that if Apple were truly committed to its sustainability vision it has the resources available to address them expeditiously (Monica 2017).

Level III Global Mindset

A Level III GM focuses on "being." This is the level where GM transformation through the expansion of consciousness, self-awareness, and a commitment to self-transcendence begins to manifest. The focal point of the Cultural and National Identity GM perspective at this level is recognizing the cosmopolitan nature of the global business environment and committing to engage all stakeholders from an authentic triple bottom line standpoint. Inherent in a Level III GM is the recognition of the innate dignity of all human beings, cultural self-awareness, openness to and understanding of other cultures, and selective incorporation of foreign values and practices. Leaders recognize the influence and importance of national and ethnic cultures and embrace the contribution of the social reality of the subsidiaries.

From the Strategic Perspective, a Level III GM becomes a critical determinant of strategic capability and effectiveness, since global leadership calls for successfully managing environmental demands and strategic complexity as well as integrating geographically distinct operations and markets, while simultaneously responding to local demands. To do so requires a leader with a conscious, self-aware, and self-transcendent GM who is engaged in caring for, respecting, and serving all stakeholders, especially those in need; a leader who is determined to bring this awareness to their organization through an obsessive and authentic focus grounded in a triple bottom line philosophy.

An example of a Level III leader is Paul Poleman, CEO of Unilever, an Anglo-Dutch company with 176,000 employees, 76,000 suppliers in 190 countries, and 300 factories worldwide that churn out more than 400 brands – Ben & Jerry's ice cream, Dove soap, Lipton tea, and Hellmann's mayonnaise – for over 2.5 billion customers. At Unilever, environmental risks and poverty are major problems for almost every part of business operations from manufacturing laundry detergent to growing tea. Fundamental to Poleman's leadership philosophy is his view that the real purpose of business is to come up with solutions that are relevant to society and help make society better. He also believes that customers will abandon companies that fail to grasp that, while businesses that embrace the triple bottom line will inevitably become more profitable (Walt 2017).

Poleman's embrace of sustainability is not without his detractors however and reflects the balancing acts all leaders face who commit their organization to the triple bottom line. Like Apple, outside investigative agencies discovered some Unilever supplier factories were not treating their workforce fairly. However, unlike Apple, union officials and NGOs say that Unilever appears serious about addressing these problems. There is also the challenge with shareholders, for whom Unilever's good intentions count for little weight compared to their voracious desire for profits. In response Poleman remained steadfast to his philosophy. Knowing that it will take years for the company's sustainability plan to show concrete results he scrapped quarterly earning guidance for investors (Walt 2017). In doing so he sided with those who argue that the intense pressure to meet quarterly targets traps companies in a vicious cycle of pressure to maximize share price for investors to the detriment of long-term growth and execution of complicated strategies, like improving working conditions, improving the environment, and sustainability ambitions.

Poleman believes that success is not defined by a title or position but rather by having a purpose in life and setting out to achieve it. He also takes the time to interview entry-level candidates as well as have small focus groups, dinners, or lunches with people in the company at all levels (there are only five levels at Unilever). He views this as one of his most important jobs, to create a supportive culture to facilitate their career journey. Poleman says that the main thing he has discovered in life is that it is not about yourself, it is about investing in others. Above all he believes the chief quality of a leader is to be a human being. No one is more special because of their job title or responsibilities. The best advice he says he got from his father is to not forget where you came from (a family of modest means) and keep your feet on the ground (Cunningham 2015). His best piece of advice to others is to always remember that it is not about yourself and to be grateful.

Level II Global Mindset

Remembering that the levels of being are holonic and incorporate and transcend the lower levels, leadership at Level II builds upon the leader's commitment to conscious awareness and self-transcendence in Level III to further recognize the dignity and commonality of the human experience and love and serve others. In doing so the leader experiences a deeper sense of purpose and connection with all things in the universe. The Level II leader's GM from the Cultural and National Identity Perspective rises above cultural differences and goes deeper to what unites us by creating organizational cultures grounded in the altruistic values of spiritual leadership that underlie the world's spiritual and religious wisdom traditions (Fry 2003). This GM also provides guidance for the leader, where appropriate, to overtly acknowledge the role spirituality and/or religion contributes to their leadership effectiveness. From the Strategic Perspective the Level II GM nurtures the leader's innate commitment to improving cross-cultural understanding, enhancing work quality and organizational effectiveness, and contributing to economic growth as well as being a champion and catalyst for change in confronting the economic, social, and ecological challenges facing business and society.

Although not a global leader of a large MNC in the ilk of Paul Poleman, Oprah Winfrey's brand, Oprah Winfrey Network (OWN), and other global initiatives certainly qualify her as a global leader who works from a Level II GM. One of the most powerful women in the world whose net worth exceeds $3 billion, Oprah has produced and acted in movies, given commencement speeches, launched products, appeared on talk shows, and been awarded the US's highest civilian honor, the Presidential Medal of Freedom for "meritorious contributions to the security or national interests of the United States, to world peace, or to cultural or other significant public or private endeavors" (Reliable Source 2013).

Oprah's Angel Network, a public charity formed in 1998, was established to encourage people around the world to make a difference in the lives of others. Her vision is to inspire individuals to create opportunities that enable underserved women and children to rise to their potential (McCovey 2015). Her Angel Network built the Seven Fountains Primary School in KwaZulu-Natal, South Africa. Opened in 2007, the school serves more than 1000 boys and girls and is a model for teaching and learning throughout Africa (Oprah's Angel Network Fact Sheet n.d.). She also initiates and supports charitable projects and provides grants to not-for-profit organizations around the globe, such as the World Food Programme, Mpilonhle, and Heifer International that share in this vision (Oprah charity work, events and causes n.d.).

Oprah considers one of her big productivity secrets is being "fully present" and living life moment-to-moment with a level of intensity and truth. From this place of conscious awareness also come a space of humility and the realization that she doesn't have all the answers and must rely on a leadership team she can delegate to. This is reflected in conversations with trusted executives who use words like disciples, sacred, moral compass, and spiritual leadership when speaking of her (McCovey 2015).

At her spiritual core is her belief and understanding that there is a force she calls God that is a presence, a divine entity that loved her into being that helps her stay grounded, centered, and strong. She feels called to inspire people, to get them to look at themselves – to do better and be better to everybody (McCovey). What mattered most about creating OWN was having a platform where she could connect ideas that let people see the best of themselves through the lives of other people.

Discussion and Conclusion

Perhaps the greatest challenge facing today's global leaders is the need to address the demand for a new strategic business orientation that correctly perceives the nature of complex markets and maximizes global business opportunities. This has given rise to the call for cultivating a Global Mindset as a foundation for global leadership and competitive advantage. While there is some evidence of predictors of GM, such as number of languages spoken, holding an international degree, experience abroad, complexity of the leadership role, and intellectual, psychological, and social capital (Javidan and Bowen 2013; Javidan and Walker 2012; Story et al. 2014), little has been written about the process of GM cultivation.

While identifying predictors of GM may be of some benefit, we have proposed that any process for cultivating a GM must be grounded in the multinational perspective (Levy et al. 2007), which incorporates the existentialist, cognitive, and behavioral set of core properties; with the existentialist perspective being foundational as it creates the context within which the cognitive and behavioral perspectives emerge. Thus, any approach to cultivating a global mindset must first focus on an ontology grounded in the essence of being.

Being-centered leadership theory holds much promise in this regard as it was developed to address issues surrounding the ontology or essential reality of leadership with an emphasis on self-awareness and self-transcendence, which we have argued is necessary for a GM (Fry and Kriger 2009). Underlying the theory are five levels of being with a corresponding epistemology or way of knowing at each corresponding level. Each level of knowing and being represents a level of holonic consciousness with the higher levels transcending and including each of the lower levels. The levels can also be viewed as a spiritual journey whereby one commits to transcending ego-based programs for happiness and cultural conditioning (Levels V and IV) to seek mindfulness or self-awareness (Level III) in order to become more self-transcendent to better love and serve others (Level II), ideally from a nondual state which is beyond all distinctions, including the distinction between leader and follower (Level I) (Fry and Nisiewicz 2013).

Being-centered leadership as a process for cultivating a GM is grounded in the world's spiritual and religious wisdom traditions, all of which emphasize the necessity of a spiritual journey through levels of being to achieve consciousness or awaken to the present moment-to-moment and move from a state of self-transcendence to love and serve others (Kriger and Seng 2005). This process provides a roadmap for leading from a multidimensional perspective across cultures and markets from levels of being that are innately common to all humanity. As a result, GM and global leadership research can shift its focus from how to develop leaders cognitively and behaviorally to the fundamental existentialist reality of multiple levels of being as context from which the cognitive and behavioral manifest for effective leadership. In practice, this multidimensional shift can provide impetus for a transformation of the purpose of conducting business in a global context beyond the self-serving goal of maximizing shareholder wealth today to one based on principles of equality, justice, and sustainability for all stakeholders.

To conclude, we have proposed that those aspiring to global leadership from a multinational perspective must seek to cultivate a global mindset (GM) that allows for higher levels of consciousness, self-awareness, and self-transcendence. With GM as its source, global leaders are more likely to align the organization's vision, values, and strategies with those of employees from diverse religious, ethnic, and cultural backgrounds and, in doing so, maximize the triple bottom line to foster economic, social, and ecological sustainability.

Cross-References

▶ Activating the Corporate Soul
▶ An Integral Approach to Transformation of Limited Consciousness in Personal and Organizational Life
▶ Global Transformation: Visions of an Imminent Future
▶ Identity and Meaning in Transformation
▶ Self-Awareness in Personal Transformation
▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment
▶ Transformative Leadership

References

Adler NJ, Gundersen A, (2007) International dimensions of organizational behavior. Thomson Higher Education Mason/USA
Anderson D, Ackerman-Anderson L (2010) Beyond change management: how to achieve break-through results through conscious change leadership. Josses-Bass, San Francisco
Aurora A, Jaju A, Kefalas AG, Perenich T (2004) An exploratory analysis of global managerial mindsets: a case of US textile and apparel industry. J Int Manag 10(3):393–411
Balfour F, Culpan T (2010, September 13) Chairman Gou. Business Week, p 59–67
Barker J (1989) Discovering the future: the business of paradigms. ILI Press, St Paul
Bartlett CA, Ghoshal S (1989) Managing across borders: the translational solution. Harvard Business School Press, Boston
Bass BM (1990) Handbook of leadership: theory, research, and managerial implications, 3rd edn. The Free Press, New York
Beechler S, and Javidan M (2007) Leading with a global mindset. In The global mindset (pp. 131–169). Emerald Group Publishing Limited.
Begley TM, and Boyd DP (2003) The need for a corporate global mind-set. MIT Sloan management review, 44(2), p.25.
Bird A, Mendenhall M, Stevens MJ, Oddou G (2010) Defining the content domain of intercultural competence for global leaders. J Manag Psychol 25(8):810–828
Boyacigiller N, Beechler S, Taylor S, Levy O (2004) The crucial yet illusive global mindset. In: Lane H, Mendenhall M, Maznevski M, McNett J (eds) Handbook of global management: a guide to managing complexity. Blackwell, Oxford
Caproni PJ, Lenway SA, Murtha TP (1992) Multinational mind sets: sense making capabilities as strategic resources in multinational firm: division of research. The University of Michigan, School of Business Administration
Clapp-Smith R (2009) Global mindset development during cultural transitions. Dissertation, University of Nebraska-Lincoln

Crews DE (2010) Strategies for implementing sustainability. SAM Adv Manag J 75(2):15–21
Cunningham L, (2015, May, 21) The tao of Paul Toleman. *Washington Post*. Retrieved from https://www.washingtonpost.com/news/on-leadership/wp/2015/05/21/the-tao-of-paul-polman/?utm_term=.96252a821733
Degroot T, Kiker D, Cross T (2000) A meta-analysis to review organizational outcomes related to charismatic leadership. CJAS 17(4):356–372
Duhigg C, Barboza D (2012, January 25) In China, human costs are built into an iPad, The New Your Times. Retrived from http://www.nytimes.com/2012/01/26/business/ieconomy-apples-ipad-and-the-human-costs-for-workers-in-china.html
Elkington J (1998) Partnerships from cannibals with forks: the triple bottom line of 21st-century business. Environ Qual Manag 8(1):37–51
Environmental Protection Agency (2017) Deepwater Horizon – BP Gulf of Mexico Oil Spill. Retrieved from https://www.epa.gov/enforcement/deepwater-horizon-bp-gulf-mexico-oil-spill
Ferdig MA (2007) Sustainability leadership: co-creating a sustainable future. J Chang Manag 7(1):25–35
Fischer G (1988) Mindsets: the role of culture and perception in international relations. Wiley, New York
Fransella F (1982) Personal meanings and personal constructs. In: Sheperd E, Warson JP (eds) Personal meanings. McGraw-Hill, Boston, pp 47–58
Fry L (2003) Toward a theory of spiritual leadership. Leadersh Q 14:693–727
Fry L (2008) Spiritual leadership: state-of-the-art and future directions for theory, research, and practice. In: Biberman J, Tishman L (eds) Spirituality in business: theory, practice, and future directions. Palgrave, New York, pp 106–124
Fry L, Kriger M (2009) Towards a theory of being-centered leadership: multiple levels of being as context for effective leadership. Hum Relat 62(11):667–696
Fry L, Nisiewicz M (2013) Maximizing the triple bottom line through spiritual leadership. Stanford University Press, Palo Alto
Fry L, Latham J, Clinebell S, Krahnke K (2017) Impact of spiritual leadership on performance excellence. JMSR 14(1):22–47
Govindarajan V, Gupta AK (2001) The quest for global dominance: transforming global presence into global competitive advantage. Jossey-Bass, San Francisco
Gupta AK, Govindarajan V (2002) Cultivating a global mindset. Acad Manag Exec 16(1):116–126
Harveston PD, Kedia BL, Davis PS (2000) Internationalization of born global and gradual globalizing firms: the impact of the manager. Adv Compet Res 8(1):92–99
House RJ (1996) Path–goal theory of leadership: lessons, legacy, and a reformulated theory. Leadersh Q 7(3):323–352
Issa T, Pick D (2010) Ethical mindsets: an Australian study. J Bus Ethics 96:613–629
Javidan M, Bowen D (2013) The “global mindset” of managers: what it is, why it matters, and how to develop it. Organ Dyn 42(2):145–155
Javidan M, Walker J (2012) A whole new global mindset for leadership. People Strateg 35(2):36–41
Jeannet JP (2000) Managing with a global mindset. Financial Times/Prentice Hall, London
Jokinen T (2005) Global leadership competencies: a review and discussion. J Eur Ind Train 29(3):199–216
Judge T, Piccolo R (2004) Transformational and transactional leadership: a meta-analytic test of their relative validity. J Appl Psychol 89(5):755–768
Keating T (1999) The human condition: contemplation and transformation. Paulist Press, New York
Kefalas A (1998) Think globally, act locally. TIBR 40(6):547–562
Kegan R (1994) In over our heads: the mental demands of modern life. Harvard University Press, Cambridge, MA
Kirkpatrick SA, Locke EA (1991) Leadership: do traits matter. Acad Manag Exec 5(2):48–60
Kriger M, Seng Y (2005) Leadership with inner meaning: a contingency theory of leadership based on worldview of five religions. Leadersh Q 6:771–806
Levy O, Beecher S, Taylor S, Boyacigiller NA (2007) What we talk about when we talk about “global mindset”: managerial cognition in multinational corporations. J Int Bus Stud 38:231–258
Markus HP, Kitayama S (2003) Culture, self, and the reality of the social. Psychol Inq 14:277–283

Maznevski ML, Lane HW (2004) Shaping the global mindset: designing educational experiences for effective global thinking and action. In: Boyacigiller NA, NRM G, Phillips M (eds) Crossing cultures: insights from master teachers. Routledge, London

McCovey J (2015, November) I only do what I want to do. Fast Company pps 66-70:120–121

Mendenhall ME, Reiche BS, Bird A, Osland JS (2012) Defining the "global" in global leadership. J World Bus 47(4):493–503

Monica P (2017, February 1) Apple has $246 billion in cash, nearly all overseas, CNN Money. Retrieved from http://money.cnn.com/2017/02/01/investing/apple-cash-overseas/

Murtha TP, Fenway SA, Bagozzi RP (1998) Global mind-sets and cognitive shift in a complex multinational corporation. Strateg Manag J 19(2):97–114

Oprah charity work, events and causes (n.d.) Retrieved from http://www.oprah.com/pressroom/about-oprahs-angel-network https://www.looktothestars.org/celebrity/oprah. April 15 2017

Oprah's Angel Network Fact Sheet (n.d.) Retrieved from http://www.oprah.com/pressroom/about-oprahs-angel-network. April 15 2017

Osland JS (2008) Leading global change. Global leadership: research, practice, and development, In Mendenhall M, Osland JS, Bird A, Oddou G & Maznevski M Global Leadership: Theory and Practice. London: Routledge. 715, pp. 131–159

Paul H (2000) Creating a mindset. TIBR 42(2):187–200

Perlmutter H (1969) The tortuous evolution of the multinational corporation. Columbia J World Bus 4(1):9–18

Prahalad CK, Doz YL (1987) The multinational mission: balancing local demands and global vision. The Free Press, New York

Reliable Source. (2013, November 20). Oprah gets another award: the Presidential Medal of Freedom. The Washington Post. Retrieved from https://www.washingtonpost.com/news/reliable-source/wp/2013/11/20/oprah-gets-another-award-the-presidential-medal-of-freedom/?utm_term=.6b154dbe55bf

Rhinesmith SH (1992) Global mindsets for global managers. Train Dev 46(10):63–69

Rhinesmith SH (1993) Globalization: six keys to success in a changing world. The American Society for Training and Development, Alexandria

Rhinesmith SH (1996) A manager's guide to globalization: six skills for success in a changing world, 2nd edn. McGraw-Hill, New York

Steffy LC (2010) Drowning in oil: BP & the reckless pursuit of profit. McGraw-Hill Publishers, New York

Story P, Barbuda J, Luthans F, Boivard J (2014) Meeting the challenges of effective international HRM: analysis of the antecedents of global mindset. HRM 53 (1):131–155

Thomas DC, Inkson K (2004) Cultural intelligence – people skills for global business. Berrett-Koehler Publishers, San Francisco

Tolle E (1999) The power of now. Namaste, Novato

Triandis HC (1980) Cultural training, cognitive complexity, and interpersonal attitudes. In: Conner WJ (ed) Cross-cultural perspectives on learning. Sage, New York, pp 39–77

Vincent J, (2015, February 12). Despite success, labor violations still haunt Apple. The Verge. Retrieved from http://www.theverge.com/2015/2/12/8024895/apple-slave-labor-working-conditions-2015

Walker B, (2015, February, 17). Paul Poleman: Unilever's clean winner in leadership. Chartered Management Institute. Retrieved from http://www.managers.org.uk/insights/news/2015/february/paul-polman-unilevers-clean-winner-in-corporate-governance

Walt V (2017, March 1). Selling soap and saving the world Fortune, pp. 122–130.

Wilson W (2013) Coaching with a global mindset. IJEBCM 11(2):33–52

Examining the Transformational Power of Entrepreneurship

Cynthia L. Sherman, Eric Arseneau, and Sandra K. Kauanui

Contents

Abstract

Transformation is about change and nowhere is that more apparent than in the field of entrepreneurship. Entrepreneurs create products, services, and organizations by bringing resources and people together and combining them in new ways. This chapter examines individual and idea transformation that leads to purpose-driven entrepreneurship. We consider changes to university entrepreneurship programs,

C. L. Sherman (✉)
Martin V. Smith School of Business and Economics, California State University Channel Islands, Camarillo, CA, USA
e-mail: cynthia.sherman@csuci.edu

E. Arseneau · S. K. Kauanui
Lutgert College of Business, Florida Gulf Coast University, Fort Myers, FL, USA
e-mail: earseneau@fgcu.edu; skauanui@fgcu.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_60

consumer and market transformations, and reach even further to societal and global transformations. Throughout all of these transformations, we hold the development of empathy to be most central to entrepreneurs seeking to change the markets and communities in which they do business.

Keywords
Entrepreneurship · Transformation · Effectuation · Flow · Education · Shared value · Social progress · Empathy

Definition

Transformation	A thorough or dramatic change in form or appearance.

Introduction

Transformation is a process of change. It occurs within individuals, organizations, markets, and even societies. In this chapter, we explore the process of transformation as it relates to entrepreneurship, or the process of pursuing opportunities without regard to the resources one currently controls (Stevenson and Jarillo 1990). Entrepreneurs transform themselves and the resources they use by identifying market needs and solving market problems. At the highest level, these transformations drive society to be more productive, efficient, and resource abundant. In this chapter, we examine how entrepreneurial transformation occurs at the individual, organizational, and societal levels.

We begin by examining how and why entrepreneurs transform themselves and subsequently transform their thoughts into valuable products or services. Through creative and personal transformation leading to individuation, entrepreneurs expand their psychological complexity. We make the case that thinking and acting entrepreneurially means putting the customer before the product. These arguments stem from the increasingly popular lean startup methodology, for which we provide a brief review. We will also illustrate how entrepreneurial transformation leads to virtuous cycles of value creation. This is evident in a variety of industries ranging from higher education to new venture finance and personal services.

Additionally, we explore larger societal phenomena occurring today. These include the blurring distinction between consumers and producers and the trends related to organizations (both for profit and not-for-profit) prioritizing the creation of social value. Our analysis indicates that many more companies today are utilizing new business models to support social missions, which lead to greater social progress in society.

Finally, we finish our analysis of entrepreneurial transformation with a look ahead. Some predictions are provided regarding how technology and big data can transform existing industries which many view as impervious to change. The overall purpose of this chapter is to inform and inspire those thinking of how to transform their lives and lives of others for the better.

Individual and Idea Transformation

An extraordinary number of individual transformations take place during adolescence. This important time marks the discovery of independence and self-identity in young adults (Steinberg and Morris 2001). During this period, the view of the world's resources begins to shift, from fixed and depleting to malleable and expanding. This change fundamentally unlocks the human potential, allowing some individuals to see how resources can be *transformed* into something of value. Those who come to fully appreciate this potential, we call *entrepreneurs*. These individuals, in particular, view resources with a producer's mindset, i.e., that resources exist to be altered, made into new combinations altogether, and most importantly, *offered to others* (Dickson 1992).

How do some individuals transform into entrepreneurs? This is a thought provoking question under intense research focus. Although many possibilities exist, previous research suggests that at least three critically important cognitive processes are involved. One is the development of entrepreneurial self-efficacy. Self-efficacy refers to the belief in one's ability to perform a given task (Bandura 2001). Greater entrepreneurial self-efficacy leads to the formation of intentions and the subsequent behaviors necessary to carry out the tasks associated with acting entrepreneurially (Zhao et al. 2005). While self-efficacy may be a critical antecedent of most human behavior, it is especially important for complex behaviors such as being an entrepreneur. The will and motivation to push through difficult challenges begins with self-belief (McMullen and Shepherd 2006).

The second important transformation is the development of empathy, or the "imaginative transposing of oneself into the thinking, feeling, and acting of another" (Norman and Ainsworth 1954, p. 53). The primary challenge of the entrepreneur is to make accurate empathic judgments of a new product or service, which will meet the customers' needs (McMullen 2015). As such, he or she must spend significant cognitive effort visualizing all aspects of another's experience and needs. Evidence suggests that a key difference between novice and experienced entrepreneurs is the latter develop a keen sense of opportunity over time. Their understanding of social problems, patterns, needs, and trends becomes the lens through which they create value for others. In other words, they become more alert to new opportunities (Tang et al. 2012). One study indicates that novices overemphasize novelty over a business idea's potential to solve real problems and generate revenue (Baron and Ensley 2006). It appears experts value the execution potential of new ideas. To understand the entrepreneur is to appreciate that, besides transforming themselves, they take action to transform ideas into valuable goods and services (Sarasvathy 2001).

Entrepreneurs make the possible *real* (Baron 2013). They often begin with little more than a mental representation of a future product or service. It is through interactions with others and their own creative ingenuity that entrepreneurs "connect the dots." Thinking creatively, therefore, is also an important cognitive process that individuals use to turn thoughts into useful products and services. While it may appear at times to be mystical in form, the process of creativity is quite well understood. Over the course of many decades, a large number of researchers have brought clarity to the concept and its process.

Creative output, whether it be music, art, a new product, or any other expression of human intellect, is work judged by a field of practitioners to be valuable in a given domain. The field generally consists of experts or people of influence within a domain (Csikszentmihalyi 1996). For example, in the domain of professional football, a creative playbook would be deemed so by the field of professional sportswriters and other well-experienced, well-respected coaches. Important to recognize, however, is that the playbook, while judged to be creative, may not ever be valuable from a traditional market perspective. The challenge of the entrepreneur is to not only drive the development of creative output but also find or create new markets for said output. Entrepreneurship is a process of value creation for others beyond oneself.

At the individual level, creativity is driven by three interrelated components: expertise, motivation, and creative thinking skills (Amabile 1998). It is more likely for creative outcomes to occur when the individual has knowledge of the domain in which they are trying to be creative (Csikszentmihalyi 1996). While novel insights can come from spanning multiple domains, someone who has never seen or heard of football would find it impossible to create a useful playbook. Knowledge alone, however, does not drive people to create. Intrinsic motivation, or an incentive-free interest to be creative for its own sake, is the second important ingredient to driving creative idea transformations. We will cover at length the motives behind entrepreneurial action, but first we address the third component of creative thinking skills.

Individuals can practice the skill of creativity just as they do other skills (Amabile 1998). For example, patterns of divergent thinking can be practiced by continuously reframing problems before attempting to solve them. Other techniques include mind mapping, switching perspectives, testing assumptions, seeking multiple causes to one outcome, or even changing one's physical environment (Michalko 2001). There is no shortage of practical advice on how to maximize the mind's potential to have creative breakthroughs. Practicing these techniques, while maintaining a positive and confident attitude (Fredrickson 2001), can greatly improve individuals' ability to transform thoughts in to potentially useful products and services.

Entrepreneurs Take Action

Every business, association, program, or new initiative begins first as a set of ideas, transforming into increasingly complex actions resulting in new resource combinations (Barney et al. 2001). While there are an infinite number of tactics one may use to bring creative solutions to market, some evidence suggests that expert entrepreneurs pursue *effectual* tactics (Read et al. 2009). Effectual logic has several principles and, at its core, emphasizes the significance of resource transformation. To engage in effectual logic is to:

- **Start with available means.** Take full advantage of what you know, who you know, and who you are as an individual. Many simply underestimate the potential of their available means.
- **Leverage surprises to your advantage.** Focus less on precise goals and more on being flexible and acquiring new means.
- **Control what you can.** Predictions are less useful in environments fraught with uncertainty.
- **Focus on minimizing risk.** Only put forth what you can afford to lose in the pursuit of creating new resources. This sharpens the focus on what means are readily available.
- **Gain increasing commitments from others.** Creating value for others is hard and requires great negotiating skills. With the right team and partnerships that create mutual gains, the odds of success improve greatly.

An important takeaway from the research cited above is that these patterns of thought and behavior apply to anyone. Examples abound about individuals who transformed themselves, and their ideas, into valuable products despite limited means. As is the case for any skill, the path to improvement lies in deliberate, persistent practice (Baron and Henry 2010). Whether one's goal is as audacious as connecting the world or as modest as connecting a neighborhood, transformation is possible. To this point, we have addressed the *ways* entrepreneurs engage in entrepreneurship, i.e., by building beliefs in one's abilities, making accurate empathic judgments, creatively solving problems, and using effectual logic. We now direct attention towards the reasons *why* individuals engage in entrepreneurship.

Purpose-Driven Entrepreneurship

The motives for becoming an entrepreneur stretch far beyond financial gain. In several studies, researchers found that entrepreneurs are often searching for meaning and purpose in their work. For example, Kauanui et al. (2008) and Kauanui et al. (2010a) found that entrepreneurs' motivation for starting a company ranged from a "Make Me Whole" perspective to a "Cash is King" perspective. Those who defined their success through meaning and purpose, helping others, and "doing something I love to do" (the "Make Me Whole" group) found more personal growth and joy in their work. They also looked forward in anticipation of completing their work. The "Cash is King" entrepreneurs more highly rated "successfully completing a project," financial security, and making a lot of money. In other ways, clear differences could be seen between the two groups. For example, the "Make Me Whole" group enjoyed making a difference in employees' lives and found more value in being able to use their talents at work. In short, entrepreneurs may enhance their personal growth and chances for positive individual transformation by increasing individuation and psychological complexity while pursuing their passions (Cardon et al. 2009).

Individuation, from Jung's perspective, was the process of integrating all aspects of personality to become the whole self. The "self" is seen as the wise person who is self-actualized (Jung 1933). Individuation can lead to the development of psychological complexity, which combines the most valued traits of personhood. In developing as a person with psychological complexity, Csikszentmihalyi and Rathunde (2014) identify six conditions:

1. Healthy and fit
2. Preserve an alert and vital mind (curiosity and interest in one's surroundings)
3. Continuity of a vocation (meaningfulness, psychic autonomy)
4. Keeping up relationships with family and friends (interdependence would be better for continued social relationships rather than the independence in which we have trained our children)
5. Continued involvement in the community
6. Wise person

   "In the first place, wisdom refers to the ability to get at the essence of problems; second, it involves holistic thinking rather than specialized knowledge; third, it refers to virtue or to behavior in line with the common good; and finally, it involves a serene acceptance of one's lot, the joyful performance of the practice of everyday life (Csikszentmihalyi and Rathunde 1990; Sternberg 1990)" (Csikszentmihalyi and Rathunde 2014, p. 17).

How does an entrepreneur develop the joyful performance of everyday life? The concept of flow gives a potential path for the entrepreneur to follow. Due to the nature of an entrepreneurial endeavor, entrepreneurs are provided numerous opportunities to experience *flow* in their work, which can facilitate a transformation in their psychological and cognitive complexity. *Flow* is an optimal experience where goals are apparent and feedback is readily available (Csikszentmihalyi 1990; Nakamura and Csikszentmihalyi 2009). A person in the flow state finds skills and challenges mostly in balance, with the challenge slightly greater so that an individual's skills can expand to meet the challenge. There is intense focus on the activity, a sense of control and loss of self-consciousness. Time may progress differently, with hours seeming as minutes. In this type of experience, a person is intrinsically motivated to create, learn, and play because the flow state is challenging and fun. Action and awareness merge and one knows the next step that should be taken. This path of intrinsically motivated action leads to a greater sense of control and more enjoyment with the work (Csikszentmihalyi and LeFevre 1989; Quinn 2005). In finding more opportunities for flow, entrepreneurs tend to find more meaning and purpose and greater well-being (Sherman et al. 2016).

It is even common to hear entrepreneurs express what they do as being elevated to a spiritual experience. Workplace spirituality continues to have increased attention in the research as it plays a significant role in facilitating an individual's individuation and search for wholeness as well as the transformation that is occurring in our society. From a recent review of spirituality and religion in entrepreneurial endeavors, Balog et al. (2014) found that spirituality influenced not only individual processes of entrepreneurial motivations, responsible business behavior, physical health, and psychological well-being but also impacts organizational culture, firm performance, sociocultural environments, as well as communities they serve and stakeholders (Balog et al. 2014). Through the process of transforming their organizations, entrepreneurs transform along with their employees and their customers.

Porras et al. (2007) studied successful leaders, many of whom were entrepreneurs, to understand what motivated them through asking them to define what success meant to them. The researchers found the leaders' definition of success had very little relationship with motivation for financial prosperity, which they said was a by-product of their success. Rather, their definition of success was more about finding oneself and to create work that fully uses the talents of others. These successful leaders were motivated to see their employees transform along with ultimately adding value to their customers. Porras et al.'s conclusion was that these leaders were driven based on calling, or a vocation, which provided their motivation to transform the lives of their customers, employees as well as themselves, while building successful organizations. Their research is consistent with one of the most common definitions of workplace spirituality that begins with the "recognition of an inner life that nourishes and is nourished by meaningful work which takes place in the context of the community."

There have been several research findings using Porras et al.'s (2007) definition of success that are related to entrepreneurs and workplace spirituality. They include research relating to how entrepreneurs use play, creativity, flow, and subjective well-being (Kauanui et al. 2008; Kauanui et al. 2010a, b; Sherman et al. 2016) in the entrepreneur's quest for individuation and spirituality. The research has helped us to understand how and why we are seeing entrepreneurs transforming our world.

Ultimately, the product or service ideas that are valued in the market require increasing amounts of the entrepreneur's attention. Greater sales lead to greater issues related to production, distribution, and customer service – to name just a few. In this growing complexity, entrepreneurs are naturally pushed to the limits of their cognitive capability. Scaling a business eventually requires entrepreneurs to move beyond their own means and delegate work to others (Greiner 1972). The decisions regarding how to best organize human resources around a particular idea is one of the most challenging for an entrepreneur. Truly transformative ideas generally become so by virtue of an entrepreneur's swift actions managing others towards a collective goal. As we describe next, organizations are a key element in the process of entrepreneurial transformation.

Organizational Transformation

Entrepreneurs can organize human resources in a number of different ways to create value. These include forming a cooperative, privately held business, faith-based organization, social movement organization, government organization, or even a public institution. The evidence of organizational transformation can be seen in the policies, procedures, job titles, and culture of the new entity. Structure is a necessary component of organizational life, as team functioning depends on each member knowing the others' roles and responsibilities (Stinchcombe 1965). As organizations develop, they transform and take on a life of their own through the establishment of routines and an organizational memory (March and Simon 1958). A cycle of influence happens as the people develop the organization's structure and the structure develops the people (Jarzabkowski 2008). Employees at Google, for instance, develop their individual talents through the company's policy of allowing employees to work 20% of their time on projects of their own choosing. This policy is an example of a large organization with significant structure maintaining an entrepreneurial culture that supports new ideas.

In the authors' own organizations, we have been witness to (and active participants of) organizational policies and programs that foster entrepreneurial action. These policy changes are partially based on political leaders' desire to meet the needs for a greater proportion of our population, and a growing concern over the level of skills graduating students bring to the workplace (Newman et al. 2010). In response to these issues, a number of schools nationwide have developed entrepreneurship curriculum and cocurricular activities that prepare students for the twenty-first-century challenges. In 1985, there were only 250 courses in entrepreneurship. As of 2008, there were 5000 courses being taught nationwide (Torrance et al. 2013). It is clear that young students seek the independence and meaningful work opportunities provided by an entrepreneurial career (Cutler 2016).

Students have the opportunity to learn how to create transformational businesses not only at their universities but also through global competitions such as the Hult Prize. The competition is based on the belief that changing the world, and solving world problems, can be accomplished through challenging young people. The 2017 challenge focused on the "reawakening of human potential for refugees." The goal is to restore pride, dignity, and self-worth back to refugees that have been impacted by social injustices, war, and economic depression. The competition rewards those who can create scalable, sustainable business models that offer solutions to these types of social problems. The five regional winners go through 2 months of training and the finalists are given $1,000,000 for their startup company (Hult Prize website 2016).

Whether through a class or a competition, a key component of entrepreneurship education is teaching students to be active citizens of their environment – to go "outside of the building" and talk to potential customers. This teaching follows that of the lean startup methodology, a term coined by famed entrepreneurs Steve Blank and Eric Ries. Their methodology recognizes the customer as the starting point for innovation (Blank and Dorf 2012). Today, technology makes it possible to incrementally and rapidly test new product ideas by working with and learning from potential customers. According to Blank (Ready 2012), the definition of a startup company is a "temporary organization designed to search for a repeatable and scalable business model." The purpose of a startup is to determine what it is the organization needs to learn from potential customers, measure what they are learning, and then iteratively build products or services from their understanding of the customer (Ries 2011). While the opposite approach (to begin by building a product) may ultimately work, doing so is a recipe for wasting time, money, and energy. As Ries states, the single biggest mistake entrepreneurs make is "achieving failure," or successfully building a product for which there is no market of paying customers.

Even large companies recognize the value of this mindset and process. Paradoxically, as organizations grow, they naturally prioritize building structure around being able to meet the needs of their market. This structure, however, becomes increasingly difficult to change over time as more systems are created to exploit existing opportunities. As Christensen (2011) explains, once companies experience market success, the tendency is for these companies to sustain the success with incremental product improvements instead of continuing to develop disruptive innovations.

Intrapreneurs, or individuals acting as entrepreneurs within existing companies, are critical for the long-term success of organizations. Successful companies tend to have higher levels of entrepreneurial orientation over the long run (Lumpkin and Dess 1996). These companies are proactive, such that they consistently scan their environments for new opportunities rather than rely solely on their previous market successes. They also pursue the development of innovations and accept the risk that these innovations bring. Finally, they create the organizational conditions to motivate intrapreneurs to act autonomously. As is the case with Google, providing employees the freedom and security to fail on new projects has created many of Google's new products (Schmidt and Rosenberg 2014). Extensive research indicates that entrepreneurial orientation is the basis for continuing to create new competitive advantages (Rauch et al. 2009).

Large or small, companies' emphasis on customer problems and needs speaks to the heart of the transformation process. This co-creation process is valuable because of the validation it provides entrepreneurs and intrapreneurs that their assumptions regarding customer needs are true. The role of the consumer in the entrepreneurial transformation process is paramount. In the next paragraphs, we explore this idea even further.

Consumer and Market Transformation

In the early 2000s, a new car rental company put a unique twist on an existing business model. Rather than managing fleets of vehicles in given locations, ZipCar created a shared network of vehicles that could be accessed by any network member at any time during the day. ZipCar's new, completely online checkout method created a vastly different customer experience for renting a car. What ZipCar accomplished, however, went beyond a better checkout or rental experience. The business model was built on the idea that an expensive asset many people own individually could be turned into an asset that could be shared. Today, the company cofounder, Robin Chase, speaks passionately about the virtues of a future with a more collaborative economy – one saturated with companies just like ZipCar whose business models depend on shared assets (Gerber 2016). Chase argues that shared network assets deliver more market value than do individually owned assets. One example of this is the peer-to-peer marketplace for room and house rentals, AirBnB (2016).

In the 4 years following its founding, AirBnB added 650,000 rooms to its website. In 2016, AirBnb had over two million locations in 190 countries on the platform (AirBnB 2016). In comparison, one of the largest, most established hotel companies in the world, the InterContinental Hotels, which includes brands such as

Holiday Inn and Crowne Plaza, has only 750,000 rooms globally. For comparison, these rooms were either built or acquired over a 67-year period. AirBnB's growth rate serves as a striking example of the type of growth that can occur through "platform" businesses that bring together buyers and sellers. These business models have transformed how market resources are used at an unprecedented scale.

As is demonstrated in the case of AirBnB, the distinction between market consumers and producers continues to fade. What was once an empty room has now become the basis of an entrepreneurial opportunity. In short, the nature of work has shifted substantially away from corporate ladder climbing towards more independent contracting (Cascio 1995; Neubert et al. 2015). Companies such as Uber, TaskRabbit, Thumbtack, DoorDash, Upwork, and others provide the flexibility to work where and when one chooses. While critics argue that the rating system central to these models cannot replace traditional managerial oversight (Calacanis 2015), the growth rate of existing platform businesses leaves one to question their potential impact on the economy and the nature of work.

Finally, where customers' voices are especially heard is by helping fund new startup ideas. One of the most significant hurdles for entrepreneurs is accessing sufficient capital. Crowdfunding websites, such as Kickstarter and Wefunder, help entrepreneurs and innovators overcome this hurdle. Crowdfunding shifts the decision-making power into the hands of the consumer, as they give collective feedback on which ideas are worth pursuing. It also creates many positive outcomes for entrepreneur, most important of which is to mitigate the risks of raising money from other sources. The takeaway from these trends and new technologies is clear – that transformation occurs as a function of consumers and market forces. In the next section, we discuss how at a higher level, changes in markets result in significant changes in society.

Societal and Global Transformation

Commercial entrepreneurs have long created new products and services to fulfill specific needs and wants. The main focus of commercial organizations has been profit creation, or the economic imperative of "creating value for shareholders" (Friedman 1970). From this viewpoint, organizations support their respective communities primarily through job creation. Governments or nonprofits have taken up the task of creating institutions where the greater good is served without a sustainable profit margin. However, a shift is occurring in the thinking that governments and nonprofits are the sole catalyst for solving problems in education, healthcare, basic food and nutrition, and other needs. Stakeholder theory is another perspective that includes not only the company but also customers, employees, vendors, community, and the planet. Companies organized with new and different structures are creating solutions to intractable problems. Entrepreneurship is creating both social value and commercial value. What follows is an examination of the emergence of social entrepreneurship and the new forms from which it sprang and the new forms that it is helping to create.

Social Entrepreneurship

An historical underpinning of social entrepreneurship is corporate sustainability. Corporate sustainability came from the concepts of sustainable development, corporate social responsibility (CSR), stakeholder theory, and corporate accountability (Wilson 2003). Each of these ideas was developed more fully through the 1980s and 1990s; however, some concepts were founded on principles from ancient Greece, where governing bodies defined “rules of conduct for businessmen and merchants” (Wilson 2003). Sustainable development is a broad term that encompasses on one end of the spectrum increasing socioeconomic well-being and equality to the other end of environmental concerns (Hopwood et al. 2005).

Corporate social responsibility was based on earlier theories, proposed by Barnard and others from the 1930s and 1940s, that corporations have a responsibility beyond just profit making. Stakeholder theory examines the relationship between the organization and different groups who have varying interests in the business. Therefore, employees, customers, and suppliers would all be stakeholders as would the community where the organization is located and groups who are impacted by the way the organization does business. Corporate accountability was used to measure the effectiveness of corporate performance of these concepts.

In the 1960s, a cultural swell turned to a tidal wave as young people realized the need for protecting the environment throughout the USA and the world. This call for environmental protection was also heard in corporate headquarters. Some companies started paying attention to the environment and looking for ways to lessen the impact of their business on the environment.

Later, Triple Bottom Line (TBL) came into the business lexicon, in the interest of assessing the full impact of a company’s profit generating measures, the concept of *People, Planet*, and *Profits* was created (Elkington 1998). Rather than judging on profits alone, success is also measured by how socially and environmentally responsible the company is.

Throughout all these discussions of corporate social responsibility was also philanthropy. Successful individuals wanted to leave a legacy by supporting causes that helped to support their communities or alleviate suffering in other parts of the world. The extensive creation of new wealth through technology and other companies has created a new type of philanthropy called impact investing. Impact investing can take many different forms; however, ways to categorize them include by type of impact – geographic focus; thematic such as improving healthcare; planet – cleaning up oceans; products; or changing entire systems (Trelstad 2016). The impact investor has a greater role in the awarding of funds and evaluation of the success of the projects in which they invest.

With all of the background concepts, thinking, and acting around corporate social responsibility, one can see that the advent of “social entrepreneurship” is not new. Social entrepreneurs and social enterprise are used somewhat interchangeably. Social entrepreneurs create businesses with as strong an emphasis on social mission as on the profit mission of the company. Social entrepreneurs came to the forefront following the Nobel Prize award to Muhammad Yunus in 2006 for the Grameen

Bank. Grameen Bank was created to loan money to people for small business endeavors to create products or services to sell. The loan includes social support of other people in the community (mostly women) who help to make sure the loan is repaid and the money is being used for the business and not some other purpose. This concept of microcredit has grown and has been the subject of intense controversy on its effectiveness with the entry into the microcredit market by some unscrupulous for-profit lenders, and potential tax issues of Grameen itself.

Many social entrepreneurs take on issues wherever they find them. A very popular and well-known social entrepreneur in the USA, Blake Mycoskie of TOMS Shoes, uses the one for one model: for every pair of shoes sold they give a pair to a needy individual. Their 10-year track record includes giving "60 million new pairs of shoes, restore sight to over 400,000 people, provide over 335,000 weeks of safe water, and helping to support safe birth services for over 25,00 mothers" (TOMS website 2016). The company has a network of over 100 Giving Partners and this is the model of creating a network of organizations to create a web of sustainable social enterprises to solve bigger problems.

The Adventure Project is another model of social entrepreneurship. Set up as a nonprofit in the USA, the organization partners with other nonprofits or social entrepreneurs to provide opportunity for small businesses in Haiti, India, Uganda, and Kenya. The money donated in the USA is used as venture capital for specific entrepreneurial projects in these countries such as clean water, health care providers, or clean-burning stoves. Their progress over the last 5 years has created 862 jobs and impacted over a million people.

Social enterprises can have different legal structures. The Chan Zuckerberg Initiative (CZI) set up by Mark Zuckerberg, founder of Facebook, and his wife Dr. Pricilla Chan is structured as a limited liability corporation (LLC) for the flexibility it allows in reporting, as well as fewer requirements of the Board directing the organization, as compared to the more extensive reporting requirements of a foundation or nonprofit. Nonprofit status is not required since the funding for the organization is not coming from a donor base looking for tax advantages, rather from Facebook shares pledged by the founders.

A new concept for corporations is the B Corporation or benefit corporation, and laws have been passed in 31 states with 7 more in the works (Benefit Corporation website 2016). This type of legal structure incorporates the company mission into the structure of the business, reducing company director's liability when they act to fulfill the company's mission when it includes a social mission. The B Corporation helps to make the company practices more transparent and can act as an attractor for millennial talent. B certification, which can be added to a B Corporation, is another step beyond the B Corporation legal status that certifies companies as "socially responsible businesses" utilizing specific metrics (B Labs website 2016).

Social Progress of Societies

Another view of the changing face of capitalism is Porter and Kramer's (2011) "shared value," a concept beyond social entrepreneurship and the other concepts we have discussed. “Shared value is not social responsibility, philanthropy, or even sustainability, but a new way to achieve economic success. It is not on the margin of what companies do but at the center” (Porter and Kramer 2011, p. 64). Shared value frames business in a way that includes societal needs and sees social harm as costs associated with a market. Costs can be alleviated through “reconceiving products and markets, redefining productivity in the value chain, or enabling local cluster development” (Porter and Kramer 2011: 65) A main way to do this is through training and education. Porter in a later interview (Driver 2012) is positive about the enthusiasm, education, and energy around social entrepreneurship; however, he does not see that societal problems can be solved through social entrepreneurship alone. Social entrepreneurship is a bridge between social issues and business. Porter and Kramer maintain that different kinds of organizations will be needed for different purposes which may be emerging through B Corporations.

Progress has been made in defining and assessing social impact by way of the Social Progress Index through the Social Progress Imperative organization. The 2015 Social Progress Index examines 133 countries, covering 94% of the world’s population. The Index measures each of the areas for a country and gives a report card grade for the country overall. This research has defined three categories of social progress: basic human needs, foundations of well-being, and opportunity. The following Life Evaluation Index chart shows the components for each dimension.

Dimension	Basic human needs	Foundations of well-being	Opportunity
Component	Nutrition & basic medical care	Access to basic knowledge	Personal rights
Component	Water and sanitation	Access to information and communications	Personal freedom and choice
Component	Shelter	Health and wellness	Tolerance and inclusion
Component	Personal safety	Ecosystem sustainability	Access to advanced education

From Stern et al. (2016)

As can be seen by the dimensions and components, not only is this framework looking at personal well-being but also environmental aspects and the opportunity for the individual to develop their full potential. The framework was developed by defining the dimensions (basic human needs, for example), then the components of each dimension, then finding multiple indicators for each of the components. The index examines outcomes of each of these areas by using data available in each country. Social progress can be examined and is not tied to financial input into a certain area; the index is measuring the outcomes, rather than measuring the inputs. This exciting work attempts to ascertain the progress in social areas that can then be investigated in relation to financial measures and not conflated with the financial data.

Discussion: What Lies Ahead

What lies ahead for the future of individual, organizational, and societal transformation? The answer to this question may be centrally concerned with data, computing power, and the Internet. According to an IBM report (Belfiore 2016), 90% of the world's data was created in the last 2 years. Through the course of human history, humans have developed new tools to create, capture, and disseminate meaningful data. This is critically important, as data allow people and organizations to make sense of the world and make more informed decisions. The microprocessor and, more broadly computing devices, are arguably the greatest tools ever placed into human hands. The Internet connected these devices and unlocked the transformation potential in society. The Internet and its connected devices will have an increasingly important role in the rate at which transformation can occur for human civilization and its guiding institutions. Today, we are entering what Steve Case, founder of American Online, calls the "Third Wave" of the Internet (Case 2016). This wave is characterized by how the creation, capture, analysis, and dissemination of data will transform the human experience.

The first wave was defined by the construction of the Internet's physical infrastructure. The second wave, brought on by companies such as Facebook, connected billions of people on a single communication platform. The third wave can be described as the Internet of everything – the stage at which the Internet matches electricity as a taken-for-granted element of everyday life. Virtually everything that humans do and interact with on a daily basis will be connected to the Internet. Physical objects, large and small, from tractors to tee-shirts, will generate or capture data to improve the lives of people using these items. For example, neuroscientists are working on Internet-connected clothing that can communicate relevant messages to the person wearing it via vibrations on the skin (see the Eagleman Laboratory n.d.). The goal of this technology is to connect humans to information through the sense of touch (tactioception).

While the Internet and connected computing devices create the sufficient conditions for transformation to occur, these technologies are not adopted equally around the world. Partnerships and policy centered on long-term goals are the *necessary* conditions for transformation (Case 2016). Without governmental support and long-term planning, efforts to capture the transformation potential of these technologies are futile. The countries supporting technology adoption will set the conditions to transform entire industries, including health care, education, financial services, automotive, and food production/distribution. The ethics of data creation, capture, analysis, and dissemination will become the forefront issue of every modern political/economic system. Ultimately, hard choices regarding the collection and management of data will need to be made that balance issues such as free choice, collective gain, and privacy.

One technology, built on top of the Internet, with high transformative potential is called the blockchain. The blockchain is a distributed database that holds digital information using advanced cryptography tools (Norton 2016). The database is distributed in the sense that no central server holds this digital information; rather, it is held across a number of connected computers. This complex technology has very serious implications for the future of banking, finance, and entrepreneurship. While the purpose of databases has been known for some time, this new type of database technology shows promise for a wide range of use cases.

It is most widely known as the underlying technology for digital currency companies, such as Bitcoin and Ethereum. This digital money is a global currency. This allows for the exchange of goods and services without the need for currency exchanges. This currency is country-independent and is not held in any central bank. While the exact mechanisms for this technology are beyond the scope of this chapter, the implications for digital money are profound. Most importantly, this technology will impact how entrepreneurs capture the value that they have created from their work. With blockchain technology, producers and consumers are connected without traditional intermediaries (Norton 2016). In other words, the blockchain creates the conditions of exchange between two parties with dramatically fewer transaction costs, for example, legal and banking fees.

The application of this technology extends far beyond digital currency. It is useful for executing contracts where any type of digital information is exchanged, for example, music, art, or other intellectual property. The Ethereum website states that the company is a, "decentralized platform that runs smart contracts: applications that run exactly as programmed without any possibility of downtime, censorship, fraud, or third party interference" (Ethereum n.d.). Ethereum can be used for creating organizations, voting platforms, and open source applications. The greatest implication of this technology, however, relates to the management of property rights.

Private property rights law is the foundation of every free market economy (Baumol 2002). There is little incentive to create products of value in an economy were title to said property irrelevant (De Soto 2000). Furthermore, without proper title of ownership, one cannot borrow against the asset or plan for the future. Blockchain technology shows promise relative to protecting individuals' property rights, with a ledger system that securely keeps track of all exchanges of property. With strong property rights and near frictionless settlement of property exchange, the rate of entrepreneurial activity would be expected to increase dramatically.

In short, technologies such as blockchain that target transforming institutions specifically show great promise for creating conditions necessary for individual transformation. They change the rules of the game in society. They make access to information inexpensive or even free, they allow people to own property, exchange it securely, and be more connected.

Conclusion

In this chapter, we examined the transformative power of people, their ideas, the resources they use, the organizations they create, the markets they interact with, and the societies they improve. The process starts with individual curiosity and a desire to do or be different, which leads to experiences that increase psychological and cognitive complexity that in turn increases our capacity to empathic problem solving and opportunity recognition. Building with what we have, and who we can bring together (effectuation), takes the idea to the next stage of creating an organization. The transformation of a single idea from its original conception to its market acceptance encapsulates the wonder and power of entrepreneurship. Through the transformation process, people, products, and society evolve.

We have been fortunate enough to experience this transformation ourselves and in the many aspiring entrepreneurs we have had the chance to teach. One such example is the Veterans Florida Entrepreneurship Program, a Florida statewide collaboration of schools training veterans on how to start their own businesses. In this program and others, we see first-hand how individuals are transformed personally and professionally. We have witnessed lives being changed, products created, and people served.

For example, one of our young Service Disabled Veterans who attended the Veterans Entrepreneurship Program in our community was not able to work due to frontal brain damage he received while deployed overseas. He had become extremely depressed as he had difficulty leaving the military and adjusting to civilian life. Due to his medical problems, he was also not able to find civilian work. Only physical exercise made him feel better. During the Veterans Entrepreneurship Program, he decided he wanted to start a local gym in a nearby community. He preferred the quietness of this community to the loud and congested city.

Through his new entrepreneurial training, he learned how to test the market demand for a gym in this area and how to create a minimum viable product. He started with a few pieces of gym equipment in his garage to see if there was a demand for the gym and began talking to people in the community. This was a major step for him. Soon, his garage was full of excited customers willing to share valuable feedback. This feedback gave him the courage to find a rental location for his gym. A local donor involved with the program saw his hard work and donated enough money to cover the cost of the equipment needed to start a cross-fit gym.

This short anecdote exemplifies the type of transformations discussed herein. This veteran gained the confidence, empathy, and creative thinking skills necessary to bring a new product to market. He discovered the needs of his customer, and in doing so, he transformed from a lost soul without purpose to man determined to help others become healthier. His work will ultimately help transform the lives of many others in his community. He now serves as positive role model to others seeking meaning in purpose in their lives.

The night of the business's open house, the gym was full of people who were excited about the new addition to the community. The veteran's wife expressed her deep appreciation for the transformative power of entrepreneurship. She said her husband once again found a sense of purpose in his life since being medically discharged from the military. Through his business, he will not only provide a livelihood for himself and his family but his mission also includes making a difference in his customers' lives.

Through examples such as these, we have witnessed how these programs create virtuous cycles of value creation in our world. In the future, we expect many new technologies which will continue to provide the tools to help entrepreneurs as they impact the transformation process, further accelerating the power of entrepreneurial action in society in a way that solves problems to create a better world.

Cross-References

▶ Creating a Flow Organization to Lead into the Future
▶ Enabling Innovation with Human Values: A Recipe for Transformation
▶ Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
▶ The Truth About Transformation: One Person Can Change the World

References

AirBnB (2016) About us. Retrieved from https://www.airbnb.com/about/about-us
Amabile TM (1998) How to kill creativity, vol 87. Harvard Business School Publishing, Boston
B Labs website (2016) Certified B corporations. https://www.bcorporation.net
Balog AM, Baker LT, Walker AG (2014) Religiosity and spirituality in entrepreneurship: a review and research agenda. J Manage Spirit Rel 11(2):159–186
Bandura A (2001) Social cognitive theory: an agentic perspective. Annu Rev Psychol 52(1):1–26
Barney J, Wright M, Ketchen DJ (2001) The resource-based view of the firm: ten years after 1991. J Manag 27(6):625–641
Baron RA (2013) Enhancing entrepreneurial excellence: tools for making the possible real. Edward Elgar Publishing, Cheltenham
Baron RA, Ensley MD (2006) Opportunity recognition as the detection of meaningful patterns: evidence from comparisons of novice and experienced entrepreneurs. Manag Sci 52(9):1331–1344
Baron RA, Henry RA (2010) How entrepreneurs acquire the capacity to excel: insights from research on expert performance. Strateg Entrep J 4(1):49–65
Baumol WJ (2002) The free-market innovation machine: analyzing the growth miracle of capitalism. Princeton University Press, Princeton
Belfiore M (2016) IBM Watson: how 10 industries are using big data to win big. https://www.ibm.com/blogs/watson/2016/07/10-industries-using-big-data-win-big/
Benefit Corporation website (2016) State by state status of legislation. http://benefitcorp.net/policymakers/state-by-state-status
Blank S, Dorf B (2012) The startup owner’s manual: the step-by-step guide for building a great companyl. K&S Ranch Publishing Division, Pescadero, p 1
Calacanis J (Producer) (2015, October 6) Jeffrey Pfeffer, professor at Stanford Business School, on the toxic “Leadership B.S.” that plagues companies and stifles true innovation [Video podcast]. Retrieved from http://thisweekinstartups.com/jeffrey-pfeffer-leadershipbs/
Cardon MS, Wincent J, Singh J, Drnovsek M (2009) The nature and experience of entrepreneurial passion. Acad Manag Rev 34(3):511–532
Cascio WF (1995) Whither industrial and organizational psychology in a changing world of work? Am Psychol 50(11):928
Case S (2016) The third wave: an entrepreneur’s vision of the future. Simon & Schuster, New York
Christensen C (2011) The innovator's dilemma. Harper Business, New York
Csikszentmihalyi M (1990) Flow: the psychology of optimal experience. Harper and Row, New York
Csikszentmihalyi M (1996) Creativity: the psychology of discovery and invention. HarperCollins, New York
Csikszentmihalyi M, LeFevre J (1989) Optimal experience in work and leisure. J Pers Soc Psychol 56(5):815–822
Csikszentmihalyi M, Rathunde K (1990) The psychology of wisdom: An evolutionary interpretation. In: Sternberg, RJ (ed) Wisdom: Its nature, origins, and development. Cambridge University Press, New York, pp 25–51

Csikszentmihalyi M, Rathunde K (2014) The development of the person: an experiential perspective on the ontogenesis of psychological complexity. In: Applications of flow in human development and education: the collected works of Mihaly Csikszentmihalyi. Springer, Dordrecht

Cutler Z (2016, January 28) 5 unique traits of millennial entrepreneurs. Entrepreneur Magazine. Retrieved from https://www.entrepreneur.com/article/269995

De Soto H (2000) The mystery of capital: why capitalism triumphs in the West and fails everywhere else. Basic Books, New York

Dickson P (1992) Toward a general theory of competitive rationality. J Mark 56:69–83

Driver M (2012) An interview with Michael Porter: social entrepreneurship and the transformation of capitalism. Acad Manag Learn Educ 11(3):421–431

Eagleman Laboratory (n.d.) Eagleman laboratory for perception and action. http://www.eaglemanlab.net/sensory-substitution

Elkington J (1998) Cannibals with forks: The triple bottom line of 21st century business. New Society Publishers, Stony Creek

Ethereum (n.d.) Blockchain app platform. https://www.ethereum.org/

Fredrickson B (2001) The role of positive emotions in positive psychology: the broaden-and-build theory of positive emotions. Am Psychol 56(3):218–226

Friedman M (1970) The social responsibility of business is to increase its profits, The New York Times Magazine, September 13, 1970

Gerber S (Interviewer), Chase R (Interviewee) (2016) Founders forum interview [Interview video file]. Retrieved from Inc. Video website: http://www.inc.com/robin-chase/zipcar-co-founder-on-the-future-of-the-sharing-economy.html

Greiner LE (1972) Evolution and revolution as organizations grow. Harv Bus Rev:37–46

Hopwood B, Mellor M, O'Brien G (2005) Sustainable development: mapping different approaches. Sustain Dev. https://doi.org/10.1002/sd.244

Hult Prize Website (2016) Refugees – the reawakening of human potential. Retrieved from http://www.hultprize.org/en/compete/2017-prize/2017-case-challenge/

Jarzabkowski P (2008) Shaping strategy as a structuration process. Acad Manag J 51 (4):621–650

Jung CG (1933) Modern man in search of a soul. In: New York. Brace and World, Harcourt

Kauanui SK, Thomas KD, Sherman CL, Waters GR, Gilea M (2008) Exploring entrepreneurship through the lens of spirituality. J Manage Spirit Rel 5(2):160–189

Kauanui SK, Thomas KD, Rubens A, Sherman CL (2010a) Entrepreneurship and spirituality: a comparative analysis of entrepreneurs' motivation. J Small Bus Entrepreneur 23(4):621–635

Kauanui SK, Thomas KD, Sherman CL, Waters GR, Gilea M (2010b) An exploration of entrepreneurship and play. J of Org Change Management 23(1):51–70

Lumpkin G, Dess G (1996) Clarifying the entrepreneurial orientation construct and linking it to performance. Acad Manag Rev 21(1):135–172

March JG, Simon HA (1958) Organizations. Blackwell, Cambridge

McMullen JS (2015) Entrepreneurial judgment as empathic accuracy: a sequential decision-making approach to entrepreneurial action. J Inst Econ 11(03):651–681

McMullen JS, Shepherd DA (2006) Entrepreneurial action and the role of uncertainty in the theory of the entrepreneur. Acad Manag Rev 31(1):132–152

Michalko M (2001) Cracking creativity: the secrets of creative genius. Ten Speed Press, Berkeley

Nakamura J, Csikszentmihalyi M (2009) Flow theory and research. In: Lopez SJ, Snyder CR (eds) Handbook of positive psychology. Oxford University Press, New York, pp 195–206

Neubert JC, Mainert J, Kretzschmar A, Greiff S (2015) The assessment of 21st century skills in industrial and organizational psychology: complex and collaborative problem solving. Ind Organ Psychol 8(2):238–268

Newman F, Couturier L, Scurry J (2010) The future of higher education: rhetoric, reality, and the risks of the market. Wiley, San Francisco

Norman RD, Ainsworth P (1954) The relationships among projection, empathy, reality and adjustment, operationally defined. J Consult Psychol 18(1):53
Norton S (2016) CIO explainer: what is blockchain? WSJ http://blogs.wsj.com/cio/2016/02/02/cio-explainer-what-is-blockchain/
Porras J, Emery S, Thompson M (2007) Success Built to Last: Creating a Life that Matters, Plume Penguin Group, New York
Porter M, Kramer M (2011) Creating shared value: how to reinvent capitalism and unleash a wave of innovation and growth. Harvard Business Review, Jan–Feb, 63–77
Quinn RW (2005) Flow in knowledge work: high performance experience in the design of national security technology. Adm Sci Q 50(4):610–641
Rauch A, Wiklund J, Lumpkin GT, Frese M (2009) Entrepreneurial orientation and business performance: an assessment of past research and suggestions for the future. Entrepreneur Theor Pract 33(3):761–787
Read S, Song M, Smit W (2009) A meta-analytic review of effectuation and venture performance. J Bus Ventur 24:573–587
Ready K (2012) Forbes welcome [online] Forbes.com. Available at https://www.forbes.com/sites/kevinready/2012/08/28/a-startup-conversation-with-steve-blank/#64a51e44f0db Accessed 11 Jul 2017
Ries E (2011) The lean startup: How today's entrepreneurs use continuous innovation to create radically successful businesses. Crown Books, New York
Sarasvathy SD (2001) Causation and effectuation: Toward a theoretical shift from economic inevitability to entrepreneurial contingency. Acad Manag Rev 26(2):243–263
Schmidt E, Rosenberg J (2014) How google works. Grand Central Publishing, New York
Sherman CL, Randall C, Kauanui SK (2016) Are you happy yet? Examining entrepreneurs' subjective well-being. J Manage Spirit Rel 13(1):7–23
Steinberg L, Morris AS (2001) Adolescent development. J Cogn Educ Psychol 2(1):55–87
Sternberg RJ (1990) Wisdom and its relations to intelligence and creativity. In: Sternberg, RJ (ed) Wisdom: Its nature, origins, and development. Cambridge University Press, New York
Stern S, Wares A, Hellman T (2016) Social progress index methodology. Social Progress Imperative, Washington, DC
Stevenson HH, Jarillo JC (1990) A paradigm of entrepreneurship: entrepreneurial management. Strateg Manag J 11(5):17–27
Stinchcombe AL (1965) Social structures and organizations. In: March JG (ed) Handbook of organizations. Rand McNally, Chicago, pp 142–193
Tang J, Kacmar KM, Busenitz L (2012) Entrepreneurial alertness in the pursuit of new opportunities. J Bus Ventur 27(1):77–94
TOMS website (2016) 10 years of giving, together. http://www.toms.com/stories/giving/10-years-of-giving-together
Torrance W, Rauch J, Aulet W, Blum L, Burke B, D'Ambrosio T, De los Santos K, et al. (2013) Entrepreneurship education comes of age on campus: the challenges and rewards of bringing entrepreneurship to higher education. Ewing Marion Kauffman Research Paper, Ewing Marion Kauffman Foundation
Trelstad B (2016) Making Sense of the many kinds of impact investing. Harvard Business Review, http://www.hbr.org 28 Jan 2016
Wilson M (2003) Corporate sustainability: what is it and where does it come from? Ivey Business Journal, March/April 2003
Zhao H, Seibert SE, Hills GE (2005) The mediating role of self-efficacy in the development of entrepreneurial intentions. J Appl Psychol 90(6):1265

Global Transformation: Visions of an Imminent Future

K. Jironet

Contents

Abstract
Our world is transforming at an incredible pace – and it always has been. Though we perceive things to be unprecedented and respond with panic and fear as a result, nothing is new. Today's leaders must be aware, open, and respond with complete consciousness to the challenges they face. In order for humanity to

K. Jironet (✉)
Faculty of Humanities, Religious studies, University of Amsterdam, Amsterdam, Netherlands
e-mail: Jironet@xs4all.nl

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_67

thrive during this phase of global transformation, they must urgently embrace interconnectivity; place value in relationships based on trust, intuition, and respect; implicitly understand the implicate order of things; and revise outdated definitions of power. This is not just about "leadership" as a nebulous or stand-alone concept. Leaders can proactively benefit themselves, their organization, and the world at large enormously by integrating psycho-spiritual aspects into their approach – but only if they are ready to act with the courage to discard old, habitual fears in favor of conscious awareness of the power of interconnectivity and interdependence. This chapter sets out clearly how we can learn from the past. It establishes, in practical terms, how leaders can enter into and engage in this process, which commences with personal self-realization and ends with a future that we need not be afraid of, because we utilize the innate skills we have to deal with everything that rises and falls in an organic, holistic, and optimal manner.

Keywords
Consciousness · Awareness · Psycho-spiritual · Global transformation · Power · Panic · Courage · Leadership · Mystics · Implicate order

Introduction

Visions of a Future We Need Not Fear

Attempting to look at what the future holds is an age-old human habit. Today, we are just as prone to worry, stress, plan, and make other attempts to control what lies ahead as humankind has been throughout the centuries. The world is transforming at an incredible pace, there can be no doubt. The challenges facing leaders are daunting, and it is important to remain realistic. However, simply providing a negative prognosis or writing off the unknown that lies before us as "too complex to bear thinking about" won't get us anywhere. In terms of global transformation, ignorance is definitely not bliss. Instead, it is of urgent and critical importance that we turn our minds completely, openly, and with consciousness to the challenges that lie ahead as they start to unfold now (and were in fact seeded long ago). This shift is one that modern leaders – whether in government, business, NGOs, or other realms – *must* make with awareness and without fear. Let me be clear, this is not just about leadership as a stand-alone concept. Leaders can benefit themselves, their organization, and even the world beyond by integrating psycho-spiritual aspects – but only if they are ready to discard old, habitual fears. This process starts with personal self-realization and ends with a future that we need not be afraid of, because we utilize the innate skills we have in order to deal with everything that rises and falls in an organic, holistic, and optimal manner.

In this chapter I firstly explore why we have nothing to fear, because what is happening has happened before. Then I explain the essential self-transformation that leaders will need to undergo in order to enable organizational transformation and highlight the key notions of leading with love, power, and self-realization. From there I delve into consciousness and look at the kinds of consciousness individuals must develop in order to understand the interconnectedness of our existence and apply this in leadership. Finally, I present a unique insight into a highly relevant, "live" business case. In detail, I set out the intensive work I have carried out recently with top-level leaders on a merger which produced one of the largest hospitals in the Netherlands.

Continuous Transformation vs. Transformational Shifts

> Working with executives on their personal development and the development of their organization over the past two decades, I have observed shifting tides. When, in 1996, I introduced meditation and silent walks during a senior leadership course, I was met with disbelief and resistance and noted how they gossiped among themselves during the coffee break, questioning my credibility. Today, the leaders I meet are starting to face their own individual power to create. I certainly don't mean this as a sort of inflated fantasy, but as recognition of the reality that in everything we do, we participate in creation. One implication of this is that perception plays a major role in how we define "leadership." Power today is not about how much you can tell people to do, but the ability to be open, to intuition, to relatedness and corresponding faculties that function well in complex environments. Similarly, leadership today is recognized through different forms of flexibility, rather than directedness, and by listening capabilities rather than by simply being able to tell. Organizations which operate with this awareness create very different ways of working and recruit people who have realized that personal power means being conscious, in the present, now.

Part One: Global Transformation Is Nothing New

Every human population throughout time has considered itself to be amid, or on the brink of, a period of immense global transformation. We have existed in an almost constant state of fear that circumstances have reached some kind of boiling point, or the end of time is nigh. A worried, if not panicked, reaction to whatever situation humanity has found itself in to date is nothing new. In this age of digitalization, discoveries are being made at an extremely high pace, and societal infrastructure – in particular telecommunications – is evolving so rapidly that those bodies once considered the foundation of our society, such as government, religion, and law, are fading in importance. This shift creates a strong, deep-felt sense of uncertainty and feeds a notion of uniqueness: that what we are currently experiencing is without precedent. We are certain that things have never been changing "as fast" or that the global situation has never been "as tumultuous." Politicians' speeches are rife with lyrical declarations that we find ourselves at an important crux of transition. And while this is not incorrect, it is far from the first time. And it is this ignorance that we should seek to avoid now, for ignoring the experience and mistakes of our predecessors will mean an enormous opportunity has been missed. To be specific, we need to understand that becoming caught up in the rational or scientific and becoming fearful and attached are actions which will not serve us.

Despite Toffler's (1970) widely accepted claim that the rate of change is speeding up, the circumstances we find ourselves in today are no different to those that have gone before. The world has always been evolving rapidly – beyond our capacity to control or understand – and it has always seemed overwhelming, because the future before us has always been unknown and therefore uncertain. While circumstances appear different, there is nothing fundamentally new about what is happening today, and acknowledging this fact enables us to see the changes taking place from a different, more trusting perspective. Leaders who are capable of accepting this non-new phase of transition for what it is can disengage their egos and utilize the experiences of the past and their own power of consciousness to facilitate a smooth evolution into the future. A shift is taking place, away from adherence solely to that which can be proven in scientific experiment and toward that which can be sensed, but not measured. The time, as it always is, is now: we need to take the opportunity currently being presented to allow our leadership decisions and approaches to be based in consciousness as our starting point for thinking and behaving.

We've Been Here Before

The human tendency to consider ourselves, our experience, and our circumstances extraordinary causes us to view the world in detail, namely, to zoom in our own time and situation as being the "norm" and forget not only what is going on outside of our immediate field of vision but also what has gone before and is continuing to go on around us. Transition and periods of intense change – which are in fact constant, whether we realize it at the time or not – are always coupled with a strong sense of resistance, questioning, and avoidance. Human beings are part of nature which is itself constantly in flux – we too are constantly changing. However, our rational minds, coupled with strong survival instincts, cause us to react with fear, denial, and rejection whenever we are faced with change, even if this change is unavoidable, such as the immense changes in the climate that have taken place in the very recent past and are continuing to gather pace (Earth temperature timeline on xkcd.com http://xkcd.com/1732/).

The sharing, spread, and dissemination of cultural icons and narrative techniques have occurred for millennia. The center of power has been shifting from one place to another, from east to west and west to east, throughout the ages with Greek theology reaching deep into Asia and some scholars arguing that Indian poems and texts influenced Greek and Roman literature. The Persian empire was known for its openness to adopting different practices: if they observed a superior tool, custom, or practice in the populations they conquered, they did not hesitate in adopting these into their own. There was a high level of pragmatism, and rapid development and change occurred as a result. In this way, traditions, beliefs, and cultural practices spread and merged.

Migration in the period after the Turkish conquest of Constantinople caused many Greeks to flee west to Italian cities. In 1492, the last remnants of the Muslim empire were expelled from European soil by the Spanish, causing mass exodus "back" to Northern Africa. Although how can we even call this "going back," when these people had not lived there for over seven centuries? What if 500 years from now, the Aboriginal people of Australia expel all the migrants that have arrived there since the mid-eighteenth century? The split of the Catholic and Protestant churches also produced a large wave of migration. Migration in Europe and around the world is certainly nothing new – and thank goodness for that. Media paints it as a colossal threat to our livelihoods but in fact an absence of migration would sound the death knell for a positive outcome to the essential transformative phase we are currently facing. The whirls of immigration which have taken place over the course of history have been immense and are an essential part of transformation. Movement of peoples, and with them talents, ideas, traditions, and approaches, forges new versions of all of these. It confronts us and forces us to look at what we had considered "normal" and realize that it is not the norm, that there is another or even others. Just as entering into a personal relationship can cause us to observe our own behavior in an entirely new, not always flattering light, having people of other cultures and backgrounds around us stretches our mental parameters. It is an enormously healthy process and has formed an absolutely essential part of the transformations that have taken place before in history and that with which we are currently faced.

This human tendency, to allow stereotype, superstition, and ideological agendas to prevail when there is an absence of a clear understanding of what is going on – an answer to the unanswerable "why?" – is nothing new. Through the various credit crises that played out two millennia ago, and the credit and economic crises of our time, the human reaction is one of shock and panic. The challenge for leaders in this environment is in a sense what it has always been – to see the bigger picture and act in the interests of the organization as a whole rather than out of selfish or individual motives. What's new – and extremely exciting – is that consciousness is increasingly being viewed and accepted as the best possible means of meeting this challenge (see for example Cooper Ramo 2016; Laloux 2014; Hofstadter 2007).

Greater Challenge, Greater Transformation

The plague which ravaged the European continent in the middle of the fourteenth century left populations decimated and cities unrecognizable: we see this event as an unmitigated catastrophe. But its ramifications were intensely positive for Europe. Its immense social and economic implications forged, indeed *forced*, changes which laid the foundations for a fundamental shift in emphasis toward Europe in the decades and centuries to come. This occurred in part because the dramatic reduction in the number of people who made up the workforce caused a shift in power toward those who had previously been at the lower end of the social spectrum. Peasants, laborers, and women were empowered, while landlords and other members of the propertied classes saw their power vastly reduced. A sluggish market caused by the dramatic decrease in population saw interest rates plummet and spending vastly increase. Before long, European economies had been radically revamped, and the very changes that the plague had necessitated were in fact creating more opportunity and development that could have been imagined. Change evolved most rapidly in the northern European regions, partly because these areas had been less developed than the south. Modern research is pointing increasingly to the fact that the roots of the industrial revolution can be traced to the industrious revolution of the post-plague world (Frankopan 2016). At the same time, parts of Asia were experiencing a similar boost in growth and ambition. Trade links, some new and some pre-existing, burgeoned between southern India and China. Commercial relations were increasingly documented and organized, which had the effect of making trade more efficient and fair – and more competitive than ever.

This is not to suggest that we should embrace infection and wide-scale suffering, but merely to point out that it is these periods of seeming chaos and catastrophe which give rise to development and transformation – transformation that does not occur during one lifetime, perhaps, which is terrifying to Westerners, so fearful of death. But challenge gives rise to the opportunity to change in fast, dynamic, potentially ground-shifting ways.

China's Return: Again

The flux of China as a key bastion of power has existed throughout modern history. Its empire expanded vastly during the Han dynasty, forging new trading routes and connections with trading partners from nomadic tribes to Indian spice houses. In the 1200s, a "ruthless duel for commercial supremacy" (Frankopan 2016) played out between the two leading trading cities of Venice and Genoa. They had long taken part in large-scale slave trading and fought numerous bloody battles in their attempts to dominate trade with Asia and create a vast and strong network across the continents. There was an immense amount of money to be made in furs, pepper, ginger, musk, spices, brocades, velvet, pearls, and precious stones. Both cities benefited from their ability to stimulate the market – they made people want what they had to sell – but also from the fiscal sophistication of their Mongol trading partners to the east, who levied low taxes on goods that crossed the Black Sea. The Mongols are more popularly known for their brutal military tactics, but were in fact skilled bureaucrats who ensured pricing and taxes evidenced a strong willingness not to fight, but to compromise and cooperate and above all, to allow commerce to proliferate.

Exploring and Discovery and Exploring and (etc.)...

The commencement of exploration in the late fifteenth century triggered a period of vast, fast discovery, creating new connections, rapid social change, and breaking open global trade. Suddenly, all manners of new items could be sourced and traded in huge quantities, from sugar to gold. Already in the fifteenth century, an early form of "ecocide" had been identified by one scholar, when the forests of Madeira were cleared, its land stripped of native species and replaced with rabbits and rats (Halikowski 2010). Ideas moved faster than ever before, and notions that had been taken as gospel truth about the planet, the stars, and the way the world works were smashed to pieces. Europe rose, and other parts of the world suffered heavily as a direct consequence. The advance of empires brought with it widespread violence and destruction. Indeed, far from being some kind of intellectual hurrah founded on red wine and intimate chateaux salons, the Enlightenment was founded on warfare and the European skills in this field. "The Enlightenment and the Age of Reason, the progression towards democracy, civil liberty and human rights, were not the result of an unseen chain linking back to Athens in antiquity or a natural state of affairs in Europe; they were the fruits of political, military and economic success in faraway continents" (Frankopan 2016).

The effects of exploration and the increase in global trade, with Europe as its center, had an enormous impact on European populations. Inflation was at times rampant; economies teetered and fluctuated with such intensity that instability was, for many societies, the norm. Urbanization and the flush of cash coming from new trading points in the Americas created a price revolution throughout Europe, and eventually breaking point was reached in the provinces of the Low Countries which were controlled by Spain at the time. Cities such as Antwerp and Amsterdam were extremely attractive for merchants, and they developed not only strong social and economic lives but also clear civic identities. As Protestantism rose in these areas and the taxes levied by the Spanish grew heavier, religious and economic persecution eventually led to a revolt and the Union of Utrecht in 1581, unifying seven Dutch provinces. In the final years of the sixteenth century, difficult circumstances lead to an economic revolution in the Low Countries. Spanish attempts to suppress unrest in the region caused a tremendous flood of migration from southern provinces toward the north. The ban on trade meant that there was plenty of food for these new inhabitants and a housing boom occurred as a result. When Spanish control was finally relinquished in 1590, the Dutch flung themselves into international trade and created a new center of commerce with much lower taxes than anywhere in Portugal or Spain. Yet again, a period of intense hardship gave rise to a period of openness, development, and cultural evolution, where creativity and pragmatism met.

The modern-day tendency of northern Europe to look down on its southern neighbors is diametrically opposed to the situation centuries ago, when the south held both wealth and power and northern regions were viewed as uneducated, uncivilized and, with their lack of interesting trade possibilities, unworthy commercial partners. Could an Athenian living two thousand years ago have imagined that Greece's position in the EU would be questioned or that Greece would be so looked down upon, if not resented, by its northern neighbors?

We Need to Zoom Out

When we step back and view the events of the last two millennia from a global perspective, refraining from zooming in on our own interests or coloring these events with our own bias, it is eminently clear that nothing that is currently transpiring is either unpredictable or new. It is easy to fall prey to concern about the various ways that disruption and change are manifesting, but these are in fact the exact same ways that change, specifically shifts in power and wealth and focus, has manifested throughout the ages.

> What has been striking throughout the events of recent decades is the west's lack of perspective about global history – about the bigger picture, the wider themes and the larger patterns playing out in the region. In the minds of policy planners, politicians, diplomats and generals, the problems of Afghanistan, Iran and Iraq seemed distinct, separate and only loosely linked to each other. (Frankopan 2016)

An evolving world orientation will unfold as the battle for control over natural resources – a battle that has been going on for centuries – continues. However, we have the opportunity now to facilitate this evolution taking place in a conscious, harmonious way. Forces that converge to spark genius and upend social order are always present. Their current configuration might be different, but the underlying potential is eternal. We can learn from the pragmatic, effective approach of civilizations that have gone before us and combine this with a gentleness toward the environment and each other, which is taught at the heart of every religion. There is no need to be afraid of what lies ahead, despite appearances. We need to have the courage and wisdom to understand that the future does not consist of a threat, but of an opportunity. "We don't know where we're headed, and so we let ourselves get pushed around – bullied even – by immediate crises and the anxieties they evoke. We retreat rather than reach out. In an age when we *must* act, we hesitate." (Goldin and Kutarna 2016)

Relax. Nothing Is Under Control

Panic is the last thing we need, but it is what we are being told to do by numerous media sources and even some global leaders, taking advantage yet again of the frightened masses. But as anyone who has kayaked on rapids or surfed in the ocean will know, panic in times of danger (real or imagined) only makes things worse. Panic is exactly what we *don't* need. Instead, we must relinquish the fear that paralyzes us and causes the panic and take a deep breath out. Further, we can go on to adopt breathing techniques that focus on the exhalation – on letting go and releasing that which no longer serves us – to draw us into a place of calm, a calm that is an absolute prerequisite for cool-headed, wise, courageous, and successful leadership. Indeed, when we let go of panic and have the courage to step back and see the larger picture, it becomes immediately apparent that if we had truly been tuned into what was going on on a larger scale, what has occurred is not only unsurprising, but inevitable.

The challenge for modern leaders is to have that courage – to find consciousness – in the moment, and not as a matter of retrospect, when we are looking back on a mess and trying to pick up the pieces. We have to finally learn the lesson that we have to stop learning lessons and be completely aware and conscious in the moment, if we are to see through this phase of global transformation with any measure of success. The beauty of this challenge is that it brings fulfillment, personal transformation, and evolution on such a deep level that it becomes immensely rewarding. It is a life-changing transformation, and there are examples of leaders who have undertaken this transformation (e.g., the CEO of the hospital discussed in the business case below). It's a "win-win-win-win" scenario – personal, organizational, societal, and cosmic.

Part Two: The Need for Love, Power, and Consciousness in Leadership

With the enormous amount of often conflicting information to which leaders are exposed, and the unpredictability of social and economic developments that define the business context, leaders often find themselves overwhelmed and struggle to make key decisions. In these situations, the tendency to focus on rationality rather than intuition actually impairs their ability to respond effectively to what's needed in the given situation. These are the moments when utilizing consciousness is most important, but seemingly most difficult. The starting point needs to be one of calm and distance from the circumstances at hand. In fact, the true starting point requires an awareness, to the extent possible, of the entire universe in which we find ourselves. The latest science shows that the universe is one unified whole: cause and effect are inseparable (Schäfer 2013). It is critical for modern leaders to bring this game-changing understanding into their methodology. Rather than trying to know or control everything, leaders need to trust the process implicitly and to maintain a state of flow as much as possible.

Mystics of the past realized what scientists today discover: this world is a dream, created through perception. But the dream is a fallacy. As long as we take our own, limited, colored, idiosyncratic dream to be true and correct, we will not be able to create, change, or manifest anything new. Leadership requires continuous detachment from the *explicate order*. In the immediate future, leadership means having the ability to be open to the complexity of the *implicate order* (Bohm 1980) and a commitment to guide attention and energy in the surrounding organization according to its movements. It means being open to receiving, guiding, and being sensitive to energy flows within the organization. We are moving away from an individualistic construct which has long dominated the Western workplace and labor market. The shift is toward the Eastern notion of *organic society* as opposed to our traditional Western *atomistic society*, which stems from the individualistic philosophy (that the individual is the primary reality and societies are collections of individuals) which has dominated for several centuries (Sheldrake 1988). What does this mean for leaders and the organizations in which they operate?

One key consequence is that adaptability, flexibility, and openness are essential qualities, and the old-fashioned focus on differences – me vs. you, ours vs. theirs – is no longer useful. Allowing the starting point to be this notion of “oneness” means leading for the benefit of the whole organization and even wider society, as well as its components. The feeling is similar to that in an intimate relationship: we are not in it for ourselves, or the other, but for the relationship itself. Defining our own identity is increasingly important as roles are no longer defined or imbued with importance purely based on hierarchy. With a much more flexible labor market, as freelancing, part-time employment, and career breaks become more common and shorter term, project-based engagement is on the increase, getting that golden watch on retirement is well and truly a thing of the past.

What It Means to Lead with Love, Power, and Self-Realization

The challenge every leader faces is to strike the right power balance while maintaining personal authenticity and integrity. In order to be capable of defining their own identity, a leader must tap into their consciousness. Leadership authenticity is not simply a matter of “being yourself”; it entails a capacity for relatedness and continuous appreciation of the values and perspectives of others (Avolio and Gardner 2005). Acting with consciousness means being fully involved and present while trusting people to do their jobs. This requires confidence and the ability to embrace the capacity for love. Far from being irrelevant, love, in the context of leadership, means allowing employees to experience authenticity in the workplace. By trusting those people who know more about the detail of a situation to handle it, a leader creates a sense of mutual respect and autonomy. Rather than feeling watched and doubted, employees feel more authentic and fulfilled. This approach forges a far stronger loyalty and investment than control or planning or trying to make the future “known” in advance than antiquated, hierarchical frameworks ever could. Love brings with it a sense of generosity, of giving for the greater good, and of having the emotional maturity to act without expecting anything in return. The act is the reward.

Leading from consciousness is the result of a marked departure from a Western notion of power as a span of control (Jironet 2010, 2014). Power in the contemporary interpretation is based more on ideas which have long existed in Eastern philosophy and mentality. Today, in the context of contemporary leadership, power means the ability to surrender personal power or ego and open up to complex patterns of interconnection and intuition. While a strong foundation of intelligence and knowledge is essential, in this process, rationality itself is a hindrance. Instead, openness, the confidence to philosophize (Cooper Ramo 2016), and the capacity to observe both the whole and its detail simultaneously form the framework. This requires the leader themselves to let go of stress and tension, both physical and mental, as these inhibit the flow of consciousness.

We are moving away from colonial or hierarchical governance models. These were defined by exploitation, domination, self-serving fascination, and a patronizing sense of distance. There was no willingness to understand or love – only to profit. It's clear now that this approach is extremely outdated, and companies and leaders who still subscribe to it are already suffering. The global, multicultural model of the future is informed by coexistence, diversity, connection, and relationships, qualities which are often associated with more modern, open, and ultimately human ways of governing. What makes up your identity – at work or elsewhere – is self-realization. When how others perceive you and your true self is one and the same, success follows naturally. Now, the unique qualities and talents you bring to the table are much more relevant. Leading through consciousness means relinquishing the aim of uniformity and creating more room for craftsmanship, artistry, and other forms of creative expression. Today, and in the future, there is no space for mediocrity.

Personal Development: An Essential Prerequisite for Organizational Development

Reason and rationality are not the root of the problem though, and it is in fact essential for leaders to harness their intellectual intelligence. But this alone is far from enough. Inspired by Kant, in her book *Moral Clarity* (2009), moral philosopher Susan Neiman offers a frame of reference for taking responsible action in response to today's urgent political and social questions. Neiman utilizes a number of classically espoused virtues – happiness, reason, reverence, and hope – virtues held dear by many Enlightenment thinkers and writers. According to Neiman, our current-day commitment to values such as tolerance and fairness is not sufficient to shape and reshape our world. We need values that incite passion and are defended with passion. For Neiman, reason and passion are not mutually exclusive but interdependent. Reason, she argues, is not contrary to passion and feelings, but opposed to unquestionable authority, prejudice, and superstition. Thinkers such as Voltaire and Diderot understood very well that reason alone cannot change the world. To rise against moral indifference, to dare make different choices – they were fully aware that this demands passion as well.

The proximity between character and performance – who you are as person and what you do (and especially what you do not do) as a result of your character – forms an important point of academic focus in leadership development. Fred Kiel (2015), who himself went through a crisis formed by moral and spiritual emptiness, conducted a study on how moral leadership is reflected in return on assets. His findings show that leaders who frequently engage in behaviors that reveal strong character, including standing up for what is right, expressing concern for the common good, letting go of mistakes, and showing empathy, earn five times more return on assets than those executives perceived as self-focused by their subordinates. Interestingly, Kiel's findings indicate that those most in need of a "moral shape-up" are the ones least interested in pursuing such development. When asked how such leaders might move past their denial and overcome their character deficits, Kiel offers clear advice: seek guidance from a trusted person and follow it.

In order to achieve lasting change, however, greater work is required. Transformation at a personal level is an absolute prerequisite to organizational agility and success. Individual leaders will need to relinquish fear as their base motivation for behavior in order to let go of its many manifestations – jealousy at the success of others, doubt about their own competencies and those of their colleagues which leads to excessive desire for control, and the notion of being under threat. Know someone who works at an extremely senior level but stills spends evenings and weekends tapping away at their computers on assignments they could much better delegate to a subordinate, but are unwilling to do because "it's faster if I do it myself"? This kind of mentality – an absence of trust and an attachment to control – is still rife in the culture of many organizations. But it will very soon become not just optional but essential to the survival of these companies – even large, international corporations, law firms, NGOs, banks, you name it – that they embrace consciousness and insist that their employees manifest this through trust, love, and a new definition of power.

In order to comprehend the dynamics of challenges faced when truly engaging in personal development, it is helpful to consult Dante Alighieri's *Divine Comedy.* Dante moves through *Inferno*, *Purgatory*, and enters *Heaven* in pursuit of self-realization and self-betterment. He is driven by a desire to know himself, why it matters what choices he makes and how his life is molded as a result of these and why humility, kindness, generosity, and other virtues bring him forward toward the goal. Dante does not travel alone though. His guide Virgil leads him along the dangerous path, marked by peril, temptation, uncertainty, and an absence of hope. The *Divine Comedy* is highly relevant for leadership development (Jironet 2010). When you find yourself in *Purgatory*, you cannot help but move on. Unlike the eternity of *Inferno* or *Paradise*, in *Purgatory*, there is time, night and day – duality – and hence development. Personal development takes place through seven states of human condition. Dante distinguishes these states as sins and virtues. The seven sins in Dante's definition are caused by a denial, indifference, or excess of love. While exploring sloth and the nature of indifference, Virgil says that love is the seed of all human acts, both sinful and virtuous.

It is only after passing through *Purgatory* and overcoming the grip of duality with its ensuing emotions, however, that a person can claim to choose freely. Until such personal development is acquired, it is the play of emotions and context that makes the choices. It is not any specific behavior or deed that forms a sin, but the attitude with which life is led. How do you function and deal in relation to others, how do you value others in relation to yourself, what do you take, and what do you give? The way through *Purgatory* teaches a person to deal with these fundamental opposites and ambiguities. This learning process ultimately leads to balance. If we have passed the journey, we know how to live and work with duality consciously. We acquire a state of awareness that there are consequences that flow as a result of our decisions and how we lead our life. To put it more succinctly, we are cognizant of choices and that we make these ourselves.

Part Three: Global Transformation – What's New?

> What has been will be again,
> what has been done will be done again;
> there is nothing new under the sun.
> Ecclesiastes 1:9

So it is clear that history repeats itself, and there is nothing new under the sun. Some might argue that although there is nothing new to the cyclical nature of life on Earth, human awareness evolves and grows through our expansion of perception. However, this is an illusion. When you watch the ocean for an hour or two and become aware of the ebb and flow of the tide and all the changes that happen as a consequence – the relocation of sand and stone, the erosion of rock, the drying out of the sand as the tide goes out, and the wetness as it comes back in – an overriding awareness arises that everything is moving, constantly, sometimes repeatedly. So the same "thing" – the tide, consciousness, occurs again and again. But change is continual throughout. Shifts in sand and consciousness may be immeasurably small but occur nonetheless.

When Solomon wrote that human toil is meaningless because generations come and go, the sun rises and sets, and everything that has been will be again, he was not ignoring advances in science, technology, or healthcare. Rather, he knew that these do not alter the fundamental nature of creation and humanity. Taking this approach, it is clear that attaching importance to success, bravado, and ego in any leadership role can only lead to misery because of its temporary nature. A single human life has significance to the degree it is connected with something beyond the eternal flow of comings and goings. Living for making a permanent mark on impermanence is not only meaningless; it makes life futile. Say, a prominent and important CEO retires: watch how business goes on, somehow!, miraculously!, and how that prolific leader might leave a legacy or have had an impact, but eventually is washed away with the tide. Solomon knew what he was talking about.

Shaky Ground

I was in the south of Rome for work. One night around 3am, dogs were barking in the street. I got up to close the windows only to notice that beyond the shrill noise of the barking, birds were chattering fervently and insistently. I went back to bed only to wake up an hour later, this time with a shock. Sounds were coming from the kitchen. Glass, plates, cutlery. . .

I peered out the window to look for suspicious cars. The light went on at my neighbor's house. "Ah! They've seen the intruder," I thought. I opened the window but felt a strong gush of wind against the frame so closed it again. Unnerved, I went back to bed. "The intruder must be gone," I deduced and dozed off. At 6am, I checked the news. There had been earthquake of 6.2 magnitude north of Rome.

Had I experienced an earthquake before, I would probably had known how to read the signals, but I hadn't, so instead projected all my own perceptions of reality and made an inadequate and vastly incorrect interpretation.

The earthquake's impact was new to me, but it was not new consciousness as such. The dogs, the birds, and the wind were conscious of and responded accurately to that earthquake, as did the cutlery. I was not open to doing so because my mind – my thoughts and feelings – were blocking a direct experience of reality.

When an organization undergoes fundamental changes, most people tend to do what I did – use what they already know and project this knowledge onto the new situation. The cultural code, mental model, communication habits, and dress code – the parameters of coexistence – not only define an organization; they also continuously, and often inadequately, inform its members about reality.

The Nature of Consciousness

The notion of consciousness has long been recognized as being nigh on impossible to nail down in terms of definition. Just like the "soul," consciousness defies definition. Awareness, connectedness with a higher wisdom, intuitive power. . . Nothing quite gets there and encompasses the fullness of this concept. And yet its meaning can be intuitively understood, and experienced, and it is this comprehension and practice which is so critical for modern leaders.

Christof Koch, one of today's most well-known experts on consciousness, takes a neuroscientific view on consciousness. In his work *Consciousness: Confessions of a Romantic Reductionist*, Koch addresses the difficulty in defining consciousness. He offers four different perspectives that together point toward a tentative definition. The first, the "common sense" definition, infers that consciousness enables perception and degrees of "awakened-ness." It is present in sleep and dreaming, but not in death. "Ecclesiastes had it right: For the living know that they shall die but the dead know not anything," Koch posits (2012).

The "behavioral" definition identifies behavior that evidence consciousness. For example, in a hospital emergency room, adequate response to stimuli signals a degree of consciousness, whereas a coma would not. Although Koch supports this definition, he notes a number of its drawbacks. "Although this measurement is perfectly reasonable when dealing with children or adults, the challenge is to come up with behavioural criteria appropriate to organisms that can't readily be asked to do something, such as babies, dogs, mice, or even flies." The third definition is "neural," which "specifies the minimal physiologic mechanisms required for any one conscious sensation" (2012). The philosophical perspective, finally, observes that consciousness is "what-it-feels-like-from-within," which is to say that consciousness means phenomenal awareness, the ability to experience. In his later work, Koch contends that all living beings including animals, nature, and the elements are able to perceive and feel things. Together with neuroscientist Giulio Tononi, who developed the Integrated Information Theory (ITT), he writes in *Consciousness: here, there and everywhere* that "...in line with the central intuitions of pan-psychism, ITT treats consciousness as an intrinsic, fundamental property of reality" (2015). Koch and Tononi's research shows (Tononi et al. 2016) that consciousness is everywhere.

If we apply these definitions, you could certainly say that I was to some extent "conscious" of the earthquake, and yet, this was nothing more than a subjective attribution in a conscious state. The level of consciousness was not equal to its content.

Objective Consciousness

The theory of continuity of consciousness, in whatever form or vehicle, is further supported especially by the work of David Bohm and Karl Pribram. Neuroscientist Pribram collaborated with Bohm to build on the work of Nobel Prize winning physicist Dennis Gabor. Gabor invented the holography method, and in 1963 published an eminently, endlessly timely title *Inventing the Future* which addresses the three major challenges facing the global community: war, overpopulation, and the age of leisure. Pribram's work (see e.g., Pribram, K.H. (1991) *Brain and Perception: Holonomy and Structure in Figural Processing*) further postulates that Gabor's holography findings show how interference patterns are created in the brain and in relationships.

David Bohm, a key theoretical physicist of our time, developed the notion of implicate order, mentioned above. Implicate order proposes a model in which structures and processes preexist any awareness of these structures and processes by individual elements – including people, animals, trees, and the elements. In the 1980s, Bohm applied this concept in order to transcend the dichotomy of mental vs. material realities that had prevailed following a western, Cartesian model and showed that these realities are in fact composed of one substance. In *Wholeness and the Implicate Order*, Bohm considers reality and knowledge to be objective processes, which individual objects respond to secondarily. "I regard the essence of the notion of process as given by the statement: Not only is everything changing, but all is flux. That is to say, what is is the process of becoming itself, while all objects, events, entities, conditions, structures etc., are forms that can be abstracted from this process" (Bohm 1980). Applied to consciousness, Bohm's theory opens the door to the spiritual experience of unity. "The new form of insight can perhaps best be called *Undivided Wholeness in Flowing Movement.* This view implies that flow is, in some sense prior to that of the 'things' that can be seen to form and dissolve in this flow. One can perhaps illustrate what is meant here by considering 'the stream of consciousness'" (ibid).

Prior to Bohm's ground-breaking research in physics, in *Psychology and Alchemy*, Carl Gustav Jung held that the objective psyche, sometimes equated with the unconscious, is accessible to humans not through form, but rather by means of symbolic representations of life's eternally evolving reality. While providing direction, the objective psyche enables us to experience transient glimpses of understanding of the soul, or the Self. "Indeed, it seems as if all the personal entanglements and dramatic changes of fortune that make up the intensity of life were nothing but hesitations, timid shrinkings (sic), almost like petty complications and meticulous excuses for not facing the finality of this strange and uncanny process of crystallisation. Often one has the impression that the personal psyche is running round this central point like a shy animal, at once fascinated and frightened, always in flight, and yet steadily drawing nearer" (C.G. Jung 1968, CW 12 ¶ 326).

The objective psyche, in Jung's definition, refers to a state of knowing beyond ego or attachment, in other words, the subjective psyche. Certainly, most of us humans are attached to life, to protecting offspring, ensuring professional quality, investing in friendships, and so forth. However, Jung postulates that the objective psyche engineers these processes, most of the time without subjective, conscious awareness, let alone deliberation. Michael Talbot in the *Holographic Universe* (1991) describes, in line with Bohm and Pribram, how the implicate level of reality equals the spiritual reality, the realm that in terms of manifestation precedes that of material objects and phenomena. Referencing Bohm, Talbot conjectures that the separation of matter and spirit is a mental construct (1991). This work on the nature of consciousness provided an implicit foundation for modern theory on self-organization and personal leadership development, taking wholeness as a starting point. See the business case section below for more on this point.

Subjective Consciousness

My cheek rests on my lover's hairy chest as I think, "So, this is how love feels."

After a while, not reaching any deeper than a conscious awareness of this feeling, I turn to face him in the dark and say, "This is how love feels."

I sense his gaze, feel his hand grab my shoulder a bit more firmly, and hear his reply: "Mmmh."

Together, we know more than we do individually.

Wordless reality needs continuous confirmation by self and the other – the third place, the connection, the relationship, the love, and the force – whatever name you give it. The mesh of interconnected consciousness desires to be known. Who is the knower? You – *and* the other. The crux of the matter in terms of leadership development at this pivotal moment (I note again that nothing is new, and every moment is in its own way pivotal) is that we are finally becoming aware of the forcedness that has come with the proliferation of separation, difference, and judgment in organizational culture. There is a growing, strong, motivated awareness of the need – for organizations and individuals alike – to rediscover, acknowledge, and engage with the interconnection between human beings, circumstances, energy, and potential. When we acknowledge our connectedness, everything changes. Power shifts. It changes what we expect, how we behave (Cooper Ramo 2016). It is a shift that cannot be fully understood by reading, or discussing, but only by experiencing. It is about looking beyond language and culture and background and judgment of all of these. It is not about the "how," because when we understand this deep level of connectedness, the how manifests organically. It entails an understanding that individual liberty and interconnectedness are not mutually exclusive; in fact, they depend on one another.

Individuals have the opportunity to create conscious connection with the source of all that is continuously manifesting. Similarly, organizations make a contribution through offering services in their field of expertise with authenticity and passion, while staying innately aware of the bigger picture around them – the greater scheme in which they operate. There is an overlap too, *because* the individual realizes that they are interconnected, and the organization, through the transformation in awareness, consciousness, and perspective in its management and directors, becomes imbued with an awareness that it is the sum of its parts, a mutually beneficial consciousness is formed. This realization of the interconnectedness between not only human beings, but human beings and things, ourselves and nature, and even our interconnection with the cosmos, has finally now reached mainstream society. No longer is this oneness the realm of ancient mystics and new-age hippies. Propelled by advances in technology and natural sciences, this awareness has extended to and spread among the vast populations of the current younger generation. Implicitly, in turn, the focal point of a conscious leader shifts from individuality – my consciousness of the world around me and the other's consciousness of the same – to what lies in between and in fact everywhere: the interface of consciousness with consciousness, the "third place" which is actually the *only* place, the eternal flow of interaction. It is this dynamic awareness and the courage to tap into it, which has the potential to change everything.

Part Four: Conscious Leadership in Practice

Notions of consciousness, applied intuition, and personal development in a senior leadership setting are best understood through experience and specific examples rather than theoretical postulations. In order to reveal, in practical terms, how personal and organizational development are both interdependent and critical to modern leadership, I'll share insights on a high-level organizational transformation in which I have recently been closely involved.

It was late in December 2013 when I received a call from the CEO of a large Dutch hospital. He was about to lead a merger with a neighboring hospital which had been decided for reasons of quality and efficiency, with the aim of meeting the clinical needs of the community and allowing patients to receive high-level care close to home. Both hospitals firmly backed the merger, and their boards of directors shared an understanding of its importance and urgency.

Their question to me was how to create one hospital, a common culture and a shared, *new* story. The work on bridging the two different cultures started at top level in early January 2014. During one-on-one interviews with each of the four board members, it became apparent that although the motivation for merging was shared, their individual approaches differed, primarily due to personality-related factors (which were revealed in the interviews as well as a formal character and profile assessment). In addition to their individual views on style and action, subtler differences proved key in determining each individual leader's capacity to deal with the demands of the merger which were as yet only known in theory. The not unsubstantial task for me was to address these differences in order to facilitate mutual understanding and acceptance, which in turn would enable meaningful collaboration.

In order to achieve this, I organized a series of off-sites which were held over the course of 1 year, which I prepared together with the board members and structured such that they would support the new organization's leaders with the demands of the merger and the delineation of a new organizational model, while simultaneously creating greater awareness of the board members' personal biases in leadership style and communication patterns. While listening to and incorporating their perceptions of the business issues, possible solutions, and especially *how* they envisioned tackling them, it was clear that creating a common base – a common space for interaction and consciousness – would be essential. Knowing that leadership development relies on the willingness to engage in personal development, that the former relies on the latter, I knew the off-sites would provide the optimal space and possibility for both to occur.

Each off-site had its own focus and was linked into the following gathering in an organic energetic flow. However, certain fundamental parameters were established from the outset. For example, I started and concluded each session with a short guided meditation and a couple of minutes of silence. I hadn't actually planned this specifically in advance; it was simply a response to the way everyone arrived full of busy intention, dedication, and a very long to-do list and was partially inspired by Bohm and Scharmer (see above) and also by my own professional experience and research (Jironet 2010). In these kinds of situations, it is my experience that during individual dialogues, a vigorous, extraverted approach is unproblematic – energy naturally moves the way the speaker intends, without collision or drama. But when assembled, sitting in a circle, a need for gathering and focusing attention arises. This was exactly the case here.

Not everyone exhibited patience with those minutes of meditation and silence; some – sighing loudly or purposefully crossing their arms across their chest – considered it a complete waste of time. But despite the resistance, those practices served an important purpose. They meant that each session commenced as free from immediate urgencies as possible and encouraged openness to the flow of the now. The meditation created an opportunity to arrive at a place of common perception and purpose in the present moment and to start from that ground.

The first off-site focused on personal life histories, for instance, the individuals' approach to decision-making and their entire outlook on and perception of the merger. Openhearted and truthful sharing of parental, sibling, and partner relations – birth and death, marriages, and divorces – enabled the whole group to feel connected with a sense of a shared humanity. No story was alien; all was within the scope of comprehension and much respect, and emotional support was expressed.

However, when we moved onto the topic of how personal leadership would set the tone for a common, new expression of leadership, it suddenly dawned on the participants that in order to do this, they would have to take each other into account. For some members of the group, fear and resistance cropped up in the form of body language, pacing, and short attention spans – the usual indicators. Between off-sites, one of the board members moved toward immediate operational action, another toward active postponement, a third felt sheer logic was needed, and the fourth invested in bridging the gaps. During the course of the year in which we held the off-sites, it became clear that a new, common, public form of leadership style would be extremely difficult to achieve based on the individual contributions of the four board members. Their subtler personality differences emerged as sensitivities and around ego-pride and habitual ways of perceiving reality, and these created a pressure to take immediate action rather than reflect on the bigger picture. In order to clarify the role and importance of perception, attribution, and being present to what is, I introduced the work of Otto Scharmer (2009) and the excellent *Presence* (Senge 2004), the latter of which sets out how the whole is entirely present in any of its parts and that perception of the present now determines ability not to remain stuck in old patterns of seeing and acting. We discussed these works and looked into their relevant applications for the new hospital, but the differences remained, and I knew I would have to create a more transformational learning experience for the board members.

Having provided them with the experience of how meditation, silence, and connection could create common ground, I introduced a model which I developed together with my colleague, Jungian psychoanalyst Murray Stein (Jironet and Stein 2012), in order to overcome the tensions produced by differences in approach. The purpose of the practice is to create a field for a group in which to find fresh solutions to ingrained barriers. It comprises three steps: deep listening, close attunement, and transformational shifts. It's worthwhile taking a moment here to be clear on what each of these elements entail.

Deep listening is a technique for allowing insights to emerge into consciousness. This involves a subtle process of listening closely for a voice which speaks from the unconscious, from recesses below the habitual thinking and behavior which govern daily life. Deep listening seeks to “turn up the volume” of that inner voice and help the listener to intuitively accept the guidance that comes. The success of this method depends on the listener’s capability to enter and navigate the realm of the unconscious. Unlike traditional quantifying principles where more is more, here realization relies on (a) accessing previously unconscious material and (b) retaining awareness of this material long enough to integrate it into consciousness. Easier said than done. The board members gradually set aside their predominantly extraverted behavior in order to familiarize themselves with this intense, internal listening. Despite being strongly invested in concrete manifestations, they each demonstrated a ready ability to shift to symbolic analysis and making sense of the immaterial reality. There was no hesitation in the exchange of impressions and interpretations, and this enabled me to shift to the second stage of the practice: close attunement.

Close attunement involves sharing the voice of the unconscious, one’s own inner knowing, with another person or persons and is essential for strengthening the insights and solutions that arise from deep listening. Attunement denotes synchronization of two or more psychic energy fields (Jung 1966), and the term is also used in Sufi teachings to signify a form of concentration (Hazrat Inayat Khan 1960). Close attunement occurs when two (or more) people enter into the same unconscious space simultaneously, as if jumping into a pool of water together. It is a shared moment in which the water is entered at the same for all involved and those leaping into it are on the same journey, while still individually experiencing the moment. Close attunement can be geared to address a particular dilemma or more broadly to inspire or build up interpersonal relationships, for example, among coworkers.

During this phase, the group’s objective was primarily to create a common vision of what they identified as their immediate responsibilities – unified leadership and transparent governance – and how these should be approached. This practice helped them to focus on a cohesive goal: the new hospital – what was it going to look and feel like? How would things operate in that environment, and how would they move the two hospitals in one direction together? In the process of translating images into actions and coming to grips with the implementation of processes in the new environment which would yield a unified whole, the board members continued to diverge. Despite their common understanding of image and intention, profound disagreements began to surface in action. Some even reached the point where they felt they were unable to contribute to the new leadership model and stepped down.

In the meantime, the third stage of the model had started to manifest: transformational shifts. These occur when a new awareness is fully experienced and recognized as true and meaningful. This experience constitutes a fundamental transformation of consciousness and changes the basic attitude and outlook on life of the individual and potentially of the entire group. For the impact to spread, two fundamental principles must be addressed.

Firstly, while the previous stages laid the plan, now it has to be executed. For this a new narrative must be created which frames the intention and ensures that all dispersed energy – everything people do in the workplace – naturally fits into and contributes to that new narrative. The narrative transforms the ideas and energies released in deep listening and close attunement into a plan of action, not in the traditional sense, but on a metaphorical level. To create this narrative, we have to address the following questions.

What is cooking? Find out what is going on behind the scenes and identify the main theme at play.

What is the germ? The germ hangs in the air, but is as yet unrealized. It therefore can encompass a new attitude to the unspoken energy that exists.

Who is drawn to it? The narrative is shared by communicating, preferably by gathering people who want to contribute. Together, the story is told and retold until the individuals are confident that although they have their own story, it represents the shared narrative and has the potential to resolve whatever dilemma is at hand.

After going through this three-step process with the board members, the change in outlook and attitude regarding the new leadership narrative was distilled into a key-point focus on the following notions:

– Start with the patient's interests.
– Invest in what works to create positive results.
– Trust your colleagues in doing the same.
– Excel through collaboration with colleagues in order to serve the patient.
– Develop your personal leadership intelligence continuously.
– Follow the flow with confidence.

Although this is of course a very brief glimpse of many hours of dialogue, it is clear that this narrative not only has consequences for the conceptualization of shared rather than hierarchical leadership but it also encourages sharing, lets go of control and dominance, encourages team work, and fosters communication skills and the ambition to know yourself. This leadership narrative speaks to an intensely relational process of constructing meaning and action while inviting staff to cultivate interpersonal trust and connection and to become more aware of the fabric of their connectedness. It results in cognitive and behavioral transformation toward self and distributed leadership.

Secondly, it is the responsibility of those who lead to discover and regulate their own behavior, communication, and intention while using energy patterns, as well as being able to change these states at will. Just as the narrative impacts behavior and communication, it had consequences for decisions regarding how to implement the merger. If the goal is to serve patients, what are the implications for specialization, joint locations, and shared services? Beyond leadership, the narrative emphasized top-level healthcare, hospitality, and collaboration with external parties. The decision was made to concentrate resources in specific areas of healthcare in one location, so-called "lateralization of resources," so doctors move rather than patients and entire wards move and settle in a new culture. As much as this disrupted habitual patterns and triggered resistance and competition between previously separate locations, at the same time, it created a unified, positive energy. "Yes, this will work." That "yes" to extra workload, emotional upheaval, and frenzied interaction between best friends was clearly acutely needed by those directly reporting to the board.

Having woven together a narrative for future leadership, which was then tested and refined over the period of a year, the board of directors decided to create a similar learning experience for their direct reports, a group of about 26 directors. Trusting (or at least hoping) that the new leadership narrative would be enhanced once understood by their colleagues, they opted to retain the inductive approach, although the actual sessions were adjusted to group size and other conditions.

The initial design for this specific training rested on principles described, for example, in *Appreciative Inquiry: A Positive Revolution in Change* (Cooperrider and Whitney 2005). Together with Srivastva, Cooperrider formulated a social constructionist perspective on change and development which stresses open dialogue as a means of reaching agreements about what works and how to be creative and achieve amazing, unimagined results. The beauty lies in the simplicity of this work and its model, described as "collective inquiry into the best of what is, in order to imagine what could be, followed by collective design of a desired future state that is compelling and thus, does not require the use of incentives, coercion or persuasion for planned change to occur" (Kessler 2013). It has been employed in many different contexts; see, for example, *Positive Deviance* (Pascale et al. 2010).

The first off-site was held at a location by the sea. I started, as usual, with a short meditation and a moment of silence, which seemed to last for longer than the 2 min it took. The CEO talked about his own journey toward crafting a new vision on personal leadership. I introduced the purpose of the day and gave attention to the joy of opening up, exchanging, and enjoying each other's company while exploring individual dreams, purposes, needs, and who they would like to be teamed with in order to optimally realize their dream. We sought to link subjective perception and motivation with objective consciousness as manifested in the group's overall intentions and purposes.

All participants felt the benefits of sharing dreams, imagining where to go and how to reach new vistas. However, during the following two off-sites, certain tensions crystallized. The effect of exercising loosened control, to make statements such as "I don't know" or "it hurts me when you. . .," in plenary was disturbing to a number of directors who felt uncomfortable in this blurred territory of decision-making and shared responsibility. Very few opted to resist the change actively, but some did so passively through noncompliance. During the course of 2015–2016, this reactivity was the major cause of tension among a group of directors who felt natural affinity with shared and distributed responsibilities and another group which was drawn to control. The indirect nature of this resistance to changing from the established culture (e.g., glacial-paced reporting lines and embedded responsibilities) meant that the directors only gradually became conscious of the inefficiency these antiquated practices caused. The resistance was indirect, so it was addressed indirectly. In order to create conscious awareness of the differences between the old and the emerging leadership style and to create ownership of, and passion for, new responsibilities, I knew I needed to *invite* the directors to take part in the new narrative rather than insisting. As a result of the processes utilized in the workshops, which drew on the thinking behind Appreciative Inquiry and the fundamentals of qualitative research (Glaser and Strauss 1967), the four fundamental pillars were further defined and discussed. Individual team members who joined the workshops continued to develop different sub-themes together based on passion and function.

Polarization and Parallel Shifts

As so often in creative endeavors, I observed movements in opposite directions occurring simultaneously. In a way, I believe this is what led to ultimate coherence: polarization is required for union. Imagine you have a close relationship with a few colleagues. You talk everyday, text, joke, and then at a certain point, there is a tension. They take a different view than yours. You feel unhappy because the basis you've trusted seems undone and every email, WhatsApp message, or personal encounter is disconcerting. You can hardly bear it. But, do you suddenly tell them you agree with everything they say to avoid the discomfort? No. And this is why creativity is an often painful process of self-realization. The more you express your true character, the more tension arises with those who are also expressing themselves. But evolving as a leader does not just mean that you are conscious of this rising tension: it means that you know how to live in harmony with and accept it, if not welcome it, as part of the process.

> In its great cohering motions, life is a poet. It brings together seemingly separate elements to create and discover new meaning. Life moves, creating more of itself in the unlimited space of wholeness (Wheatley and Kellner-Rogers 1998).

As the work progressed and changes were implemented accordingly, two parallel shifts occurred organizationally. One was the decision to increase openness in communication and direct participation by those implicated in decisions, dilemmas, or problems. It meant increasing involvement of those members of staff who reported to the 26 directors, and this quickly led to much greater transparency and agility throughout the organization. Reporting lines and formal decision-making procedures which had been taken for granted for years were acknowledged as old-fashioned and were swiftly abandoned. This development was supported and stimulated by frequent communication from the CEO, who made a point of regularly encouraging everyone to be a leader and to support each other in fulfilling their responsibilities (Grant 2016).

A second movement was toward an increase in control and overview as a counterweight to the chaos and havoc that inevitably comes with a merger of this scale. Some were afraid of losing power as they relinquished control, and this fear jeopardized the many operational challenges related to the merger. Specializations in different locations, allocation of surgery theaters, introduction of a central telephone number, digitalization of patient records, negotiating contracts with insurance companies, reinventing relationships with general practitioners, and a vast number of other, intensely demanding, merger-related challenges quickly seemed overwhelming and out of control to staff when these issues were not clearly under the close supervision of senior staff. Transparent, frequent, and thorough (but not overwhelming) communication was critical.

The response to these developments provided its own challenges. The reaction of many staff was motivated partly by work ethos or the habitual perception of "control = power = success," but primarily by fear – particularly the fear of losing the faulty idea of control that inherently comes with holding a certain job title. Although no one was overtly against the concept of "everyone is a leader in their own way," there was a strong, passive resistance which manifested in delay, procrastination, apathy, a lack of communication and openness, and a tendency to say "yes" and do "no." Active resistance also reared its head in communication and noncompliance. There were even moments of sheer acting out born of a desire to gain control: raised voices, imposed activities, manipulation of events and meetings to attract attention, or to have the last word in a public sphere. Maturity was not always apparent in these actions. Eventually, over the period of about 18 months, these two movements grew into a polarization around leadership acumen. It was now apparent that the look and feel of the new leadership narrative and culture was clearly defined and irrevocable.

CEO of Zappos Tony Hsieh describes this moment of truth extremely clearly in an email he sent to his personnel. "We've been operating partially under Holacracy and partially under the legacy management hierarchy in parallel for over a year now. Having one foot in one world while having the other foot in the other world has slowed down our transformation towards self-management and self-organisation." (Greenfield, https://www.fastcompany.com/3044417/zappos-ceo-tony-hsieh-adopt-holacracy-or-leave).

This was true for this newly merged hospital too. Once the word was out about the stamina of the new leadership model, the transformation sped up significantly. Again, the enduring polarization (and it is at times tedious back and forth between the old and new leadership narratives) had fulfilled an important function. It had actually served to prepare the organization for the inevitable: a change toward an entirely new way of serving clients and each other while providing excellent healthcare. Were it not for the process of open exploration, and the shared experience of grief, joy, and discovery, among more than four thousand employees, self-leadership could never have been embraced so emphatically. However much it might be needed, however right it might seem to be, it would just have been another top-down decision. Instead, it grew through conflict, dialogue, and collective, engaging experience. And it took time.

Discovery is not about finding something once and for all, such as a continent or a repressed memory; discovery means continuous awareness (Jironet 2010, 2016). In order to help staff members across the organization to better understand the transient space the merger and its implications for a new leadership narrative had created and provide external affirmation, I introduced them to the tremendously important work of Laloux (2014) whose writing has affinity with the work conducted by Bohm on consciousness and Robertson (2015) who similarly deconstructs bygone notions of processes that slow down organizational effectiveness through advising on how functional themes rather than individualistic ownership can achieve rapid results. So, once the discovery and deep realization of self-leadership reached a conscious level of awareness among a majority of the hospital's employees, it was in turn affirmed and further explored.

Ultimately, the entire support system went through an overhaul. "Collaboration is the new competition" resonated from the top down throughout in the organization. In one of our off-sites, the implicit perception of support roles as being less important or valuable was fiercely debated. This led to distinctions among "managers" being abolished in favor of functional teams, which are self-selected smaller groups composed of those whose expertise is needed for optimal performance. The groups have concrete, short-term focus and implement incremental changes that make a difference for the totality. This approach injects energy and confidence into the organization and the various functional teams. The different way of organizing interaction manifests positively not only in larger meetings but also in app groups and personal communication.

This demonstrates how essential it is to learn through experience as a confirmation of perception, as well as the power of continuous, ongoing learning. True to its nature, this learning process takes the form of the individual's choice, be it reading, listening, dialoguing, reflecting, analyzing, assessing, or choosing where to put attention. There is nothing programmatic about it – nobody learns to discover, but rather to recover, recognize, and be reminded of what they already know.

Personal Development as a Precursor to Leadership Development

Alongside the movements and shifts which are central to transforming interpersonal and organizational dynamics, the intrapersonal dimension of consciousness development is also critical. What did it take for the CEO to surrender his own power for the benefit of a model which he believed in but had never experienced? Which dilemmas did he encounter, and how were these tackled? Below I highlight a few main themes that reflect his personal process toward a successful merger of two hospitals as well as greater subjective wholeness or individuation.

Consciousness may seem too new age, or hippy, or mystical to be taken seriously by CEOs and other senior leaders. However, the top executives who seek my assistance see the importance of consciousness in their role and look to simplify, clarify, learn new ways of thinking, and let go of unwanted emotions which block their judgment. The CEO of the new hospital had an extra advantage: in his thirties, he worked with a Freudian psychoanalyst who took him on as his last patient before retirement. He spent 60 min on the couch, 5 days a week, for 6 years and refers to this period as his most important learning experience. "It cost me everything and it brought me everything. I am so grateful."

This CEO – let's call him John – now wanted to get his thinking straight around strategy and the planning and processes involved in the merger, as well as to spend time on actively visualizing an embodied image of the new hospital, one that he could carry with purpose and integrity. He also wanted to learn more about intuition and how to tap into it, and he was keen on exercising how to be clear in communication, in such a way that the recipient would both understand and accept the message. First we addressed communication, focusing on listening/receiving rather than expressing/sending. John had been the chairman of one of the hospitals and was now the CEO of an organization twice as large with more than double incoming correspondence. He found himself immediately confronted with a challenge: support staff with whom he had previously worked without issue were suddenly overwhelmed and completely inflexible in their approach. John struggled with this, feeling a sense of obligation and indebtedness toward these particular staff and tried numerous means of facilitating growth or change in order to smooth out the experience and change their methodology to reduce stress, mistakes, and miscommunication. Some staff members who showed themselves again and again unwilling to adapt to the new circumstances were eventually let go.

It's hard to act as a strong leader and to live up to the often enormous expectations while feeling torn, doubtful, and vulnerable to critique. Leaders in these kinds of intensely challenging situations often ask the question "why?"

> "Why is it so difficult for me simply to say thank you and goodbye?"
> "Why am I so sensitive to others' opinions?"
> "Why do *I* feel bad when *she* is underperforming?"

For John, the answers were centered around deeply held beliefs on responsibility. Like so many western men at the top, he almost fearfully clung to the conviction that he was responsible for the whole enterprise and everyone's well-being and happiness. It wasn't a conscious belief, but when we looked at patterns in dreams, associations, and interrelationships, it became apparent that they formed an important underlying conviction which caused him to automatically seek "to save the situation." It took courage for John to let go of that conviction. It was the work of wakeful, unattached attention to the interface between habitual consciousness ("I must take full responsibility") and new consciousness ("nobody can take full responsibility") which liberated John from a major subjective as well as collective form of consciousness and enabled him to access a new, "third place" in his consciousness. And it proved to have the potential to change everything. It led to the ultimate organizational design and implementation in which everyone is the leader and is fully responsible toward peers, patients, and safe, high-quality healthcare. In order to explore how to manage resistance to change in a big organization, John and I delved into his own resistances and the way these gradually were made available to his consciousness. In the process of doing so, certain elements related to childhood experiences, later relationships, and creativity came up for scrutiny. There was a moment toward an intense session, when he looked up from the chair across, "I'll do my best. I will. Now I let go. I trust the flow that has started." Again, personal transformation proved itself to be critical to organizational transformation. Without courage, consciousness, and hard work, both may have failed.

Working together with John, the other board members and senior managers in the newly merged organization provided numerous insights into leadership development and transformation. Perception is key; for some the merger came as an opportunity, for others as a hassle. Openness or resistance was demonstrated as a result. Dealing with the different, highly personalized, and often fear- or ego-driven responses caused me to reach to my knowledge and experience of Sufi mysticism as well as my training as a Jungian psychoanalyst. Leadership is no longer just a matter of being a boss; new leadership is by definition a simultaneous, transformative experience of consciousness for the individual and the organization. There is simply no other way.

The Imminent Future Is Now

There are all kinds of uncertainties and fears that arise when we start looking at changing the way we lead. This is because tinkering with our behavior often taps into deep, long-held beliefs we have about ourselves and the world around us. This psycho-spiritual journey appears terrifying and time consuming, so we write it off as a waste of time and get back to work. However, in the interests of the very existence of humankind right now, with global transformation whirling around our ears and making itself impossible to ignore any longer, this fear, while natural, has to be overcome.

As I mentioned above, the time, as always, is now. We cannot sit and wait for consciousness to simply occur spontaneously and imbue leaders, and the organizations and societies they lead, with the wisdom, perspective, and intuitive strength they require to face the challenges with which they are confronted. Leaders at all levels must take active steps toward self-realization – they need to find the courage to relinquish antiquated beliefs and behaviors in order to create space for consciousness and ancient (yet seemingly new) methods for interacting with themselves, others, and the universe itself. It is ironic that this process of letting go of unhelpful past behavior and ways of thinking is something which brings up much fear in many leaders, who are afraid of failure, of rocking the boat, or being viewed as strange. When in fact this, self-realization as a first step to conscious leadership and global transformation, is a deeply liberating and enriching experience – perhaps the most liberating and enriching experience a person can undergo. The more leaders realize this to be the case and delve into the transformative work it requires, the more in flow we will find ourselves with the implicate order and brighter our imminent future will be.

References

Alighieri D (1955) The Divine Comedy II: Purgatory. Translation Dorothy Sayers. London. Penguin Classics.

Avolio B, Gardner WL (2005) Authentic leadership development: getting to the root of positive forms of leadership. Leadersh Q 16:315–338. Elsevier, Amsterdam

Bohm D (1980) Wholeness and the implicate order. Routledge, New York

Cooper Ramo J (2016) The seventh sense: power, fortune, and survival in the age of networks. Little, Brown and Company, New York

Cooperrider D, Whitney D (2005) Appreciative inquiry: a positive revolution in change. Berrett-Koehler Publishers, San Francisco

Earth temperature timeline on xkcd.com http://xkcd.com/1732/

Frankopan P (2016) The silk roads: a new history of the world. Knopf, New York

Gabor D (1963) Inventing the future. Secker & Warburg, London

Glaser B, Strauss A (1967) The discovery of grounded theory: *strategies for qualitative research*. Aldine, Chicago

Goldin I, Kutarna C (2016) Age of discovery: navigating the risks and rewards of our new renaissance. Bloomsbury Publishing, New York

Grant A (2016) Originals: how non-conformists move the world. Viking, New York

Greenfield R. Zappos CEO Tony Hsieh: Adopt Holacracy or Leave. In: Fast Company. https://www.fastcompany.com/3044417/zappos-ceo-tony-hsieh-adopt-holacracy-or-leave

Halikowski Smith S (2010) The Mid-Atlantic islands: A theatre of early modern ecocide. Int Rev Soc Hist 65:51–77

Hofstadter D (2007) I am a strange loop. Basic Books, New York

Jironet K (2010) Female leadership: management, Jungian psychology, spirituality and the global journey through purgatory. Routledge, London

Jironet K (2014) Awareness and beyond: Why moving on means letting go. In: Schuyler K, Baugher J, Jironet K, Lid-Falkman L (eds) Leading with spirit, presence and authenticity. Jossey-Bass, San Francisco

Jironet K (2016) Use it or lose it: about leadership ethics in the United Nations. In: Schuyler K, Baugher J, Jironet K (eds) Creative social change: Leadership for a healthy world. Bingley, Emerald Group Publishing

Jironet K, Stein M (2012) New approaches for leadership: a psycho-spiritual model for leadership development. In: Pearson C (ed) The transforming leader. Berret-Koehler Publishers, San Francisco

Jung CG (1931/1966) Problems of modern psychotherapy. In: *Collected works*, vol 16. Princeton University Press, Princeton

Jung CG (1968) Psychology and alchemy, Bollingen series. Princeton University Press, Princeton

Kessler EH (2013) Encyclopedia of management theory: the appreciative inquiry model. Sage, Thousand Oaks

Khan HI (1960) *The Sufi message of Hazrat Inayat Khan. The mysticism of sound, music, the power of the word, cosmic language*, vol II. Motilal Banarsidass, New Delhi

Kiel F (2015) Return on character. Harv Bus Rev 4:20–21

Koch C (2012) Consciousness: confessions of a romantic reductionist. The MIT Press, Cambridge

Laloux F (2014) Reinventing organizations: a guide to creating organizations inspired by the next stage of human consciousness. Brussels, Nelson Parker

Neiman S (2009) Moral clarity: a guide for grown-up idealists. Harcourt, Orlando

Pascale R, Sternin J, Sternin M (2010) The power of positive deviance: how unlikely innovators solve the world's toughest problems. Harvard Business School Publishing, Boston

Robertson B (2015) Holacracy: the new management system for a rapidly changing world. Henry Holt and Company, New York

Senge P (2004) Presence: Human Purpose and the Field of the Future. New York. Crown Business

Schäfer L (2013) Infinite potential: what quantum physics reveals about how we should live. Deepak Chopra

Scharmer O (2009) Theory U: leading from the future as it emerges. Berret-Koehler Publishers, Oakland

Sheldrake R (1988) The presence of the past: morphic resonance and the habits of nature. Icon Books, London

Talbot M (1991) The holographic universe. Harper Perennial, New York

The Holy Bible, New International Version (2015) Grand Rapids, Zondervan

Toffler A (1970) Future shock. Random House, New York

Tononi G, Boly M, Massimini M, Koch C (2016) Integrated information theory: from consciousness to its physical substrate. Nat Rev Neurosci 17(7):450–461.

Wheatley M, Kellner-Rogers M (1998) A simpler way. Berret-Koehler Publishers, San Francisco

Part VII

Management Education Transformation

The Co-created Classroom: From Teacher/Student to Mentor/Apprentice

Michael B. London and Bill Van Buskirk

Contents

Abstract

The classroom can be an exciting place full of the potential for transformational learning. However, this possibility often remains at the level of wishful thinking. This paper describes transformational teaching and learning in practice and

M. B. London (✉)
Muhlenberg College, Allentown, PA, USA
e-mail: mlondon@muhlenberg.edu

B. Van Buskirk
La Salle University, Philadelphia, PA, USA
e-mail: vanbuski@lasalle.edu; vanbuskirk99@verizon.net

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_7

the migration of relationships from teacher/student to mentor/apprentice. Moreover, we reimagine the classroom as one that is co-created by instructor and students, transforming the learning space and leading to meaningful relationships, growth, and development.

Keywords
Active learning · Assessment · Coaching · Collaboration · Communities of practice · Course design · Culture change · Empowerment · Engagement · Experiential learning · Feedback · Intrinsic motivation · Leadership · Learning community · Mentorship · Peer evaluation · Tacit knowledge · Teaching · Transformation · The will

Introduction

The nature of business suggests a mind-set that is both practical and value driven. It carries the notion of a "bottom line", that one should set goals and create the most appropriate and effective structure to realize them. It is mission driven in that the best businesses have some important reasons for being that really matters to people. And business also requires us to recognize the importance of listening deeply to the stakeholders that surround it and to get in sync with the concerns and motivations of the people that are its lifeblood. When businesses live these realities, they become relevant and are usually able to grow and to prosper over time.

In some ways, the business classroom is separated from these qualities of the business world, and it can quickly get out of sync with the heartfelt concerns of its stakeholders, including students, parents, companies, etc. Parents care deeply about employment and career concerns and academia often downplays all this. This can make some question the relevance of higher education to their interests and concerns. In addition, pressures to publish can make faculty question the importance of teaching. Intense graduation requirements can put so much focus on checking off boxes and earning grades that the actual learning becomes the ground and not the figure. As educators we know the value of helping our students to learn the essential facts and concepts that are the vocabulary of our academic disciplines. But beyond this, our larger challenge is to make the classroom come alive and to create the potential for "transformational learning," which we define as an enthusiastic experience that causes students' lives to be different or better in some way that feels important. However, at times we may feel that the norms of undergraduate education are not conducive to this. Faculty and students can start to settle or lower their expectations.

Many of us become educators, because we know that the classroom can be an exciting place full of the potential for transformational learning. We most likely have experienced this in our own schooling and also had glimpses of it as we now lead our own classrooms. Teachers are passionate people, and we have a natural yearning to have our work go beyond the transactional practices of covering material, grading, and motivating students to meet deadlines and do their work. In our heart of hearts, we hope to develop our students and to see them develop new capacities, to expand their thinking, and to go beyond constraints and barriers to relating and be effective with all kinds of people. We want our class to be one that students look forward to coming to and one that really touches their lives in a significant and meaningful way.

However, as we face the constraints of the traditional classroom, we also know that some of the potential for transformation often remains at the level of wishful thinking. This paper describes my own journey of discovering a more meaningful way to engage students in teaching organizational behavior and leadership classes. My class size is approximately 16 students, which is smaller than at many colleges, so larger class sizes may require further innovation to make conducive to the co-created classroom. While examples are detailed from my own classes, I believe that there are opportunities for transformational teaching and learning in all disciplines and that it is a worthy challenge to look for the possibilities. My hope is that it might inspire you to innovate in your own way and to rekindle your desire to transform the classroom and try some new approaches in working with your students.

This paper represents years of collaborative work done with my writing partner, Bill Van Buskirk. Bill serves the work as thinking partner, writer, and scholar in developing the method and thinking, while I serve as teaching practitioner, innovator, and data collector. Our many invaluable discussions move this thinking forward and challenge the ingrained assumptions that hold the work back.

Engagement and the Transformational Classroom

No transformation happens without students being deeply engaged. Kurt Lewin (1947) talked about the change process as requiring an “unfreezing” and then a “refreezing.” The engagement in the classroom then has to be strong enough that an “unfreezing” of thinking, practice, habit, relationship, perception, or attitude might actually occur. So, as an instructor, I view it my job to help my students to engage with the course material with urgency and to find their own meaningful connections to it. When this happens, the classroom environment invariably comes alive. This aliveness is palpable and becomes a fertile ground to all kinds of individual, interpersonal, and group transformation. Students find themselves with new curiosities. Students start relating to peers they had felt distant from. Intellectual concepts start to seem relevant and relatable. Skill areas that seemed like weaknesses become possibilities or even strengths. When these things start happening, you know that the classroom environment has become transformational.

Transformational teaching then means always looking to connect to the intrinsic motivations of the students and the energy in the group that is potentially there. This is similar to making music. To sing and play a song and not feel it does nothing for either the singer or the audience. The master musician, like the great teacher, brings the music to life and draws people to it, uplifting everyone in the process. As educators, we must also connect ourselves to the course material and give it a context in which to live and breathe. But as we bring our whole selves to this endeavor, we must also manage our own vulnerabilities, and this can be a challenge.

Managing One's Own Engagement in the Classroom

A key challenge in facilitating the co-created classroom is in deciding when and how to engage with students. The instructor needs to be vulnerable enough to connect with students on a human-to-human level but removed enough to maintain a formal role that protects the integrity of the learning environment. It is still a classroom and looking out for students as they share more of themselves with each other and with you is of paramount importance. Setting boundaries can be challenging because while opening things up is clearly a necessity for maximizing engagement, safety is a must. So when students move into dialogue that borders on therapy, the instructor should refocus discussions on the work, building skills, careers, and course material.

In my own development, I've increasingly become more transparent in the classroom but, in doing so, have discovered that a key challenge is to keep myself grounded so I maintain the ability to hold the space. Some topics in my courses are emotionally charged and can trigger my own thoughts, feelings, and issues. For example, if we are discussing sexism or racism and I myself am triggered by the discussion, then my own ability to provide a safe environment for the students to explore and learn may be impaired. Therefore, deciding when and how to engage is important. Recently, during a student led presentation on "gender in leadership," I was asked to role play an interaction to reconsider my position and to change my behavior. In the role play, she immediately threatened to escalate the situation. We debriefed the role play and I suggested that she might try to analyze what might be underlying her boss's behavior so that she might hopefully change it without escalating the situation. At this point, I could feel her getting frustrated as she snapped, "I don't really care what his feelings are." In thinking back on this interaction, I realize that I had put myself into a situation where I was playing too many roles at once: teacher, role play partner, and feedback giver. And in trying to understand her reaction, I realized that my response might have come off as invalidating her legitimate concerns. It made me rethink putting myself in a situation in which I'm role playing such a charged issue, especially given my own power position in the classroom. In this case, the class needs me to be more removed from the action so I can hold the space for them to freely engage and learn from their experience.

Partnering with the Elephant in the Room

When teaching, at times it may seem like there is no intrinsic interest at all and that all the students care about is their grades. One must reject this cynicism and continue to open to the potential energies in the classroom space. We will refer to that hidden, latent energy, the "elephant in the room." When we are teaching, there is always an elephant in the room. The "elephant" represents everything that is "unspoken" that carries energy for the students. Some elephants are external to the classroom but effect it, while others emerge during the learning. In a group of undergraduate seniors, the elephant might be that they are all about to graduate and are feeling scared and alone in taking their next step. No one talks about this in class, but it is a hovering backdrop that is striking in its silence. Or sometimes the elephant is an event taking place in the world, as in a controversial election. After a racially charged event in the news, it might be fear and vulnerability about the diversity in the class and how different students might feel. Or it might have to do with the course work itself. If students are supposed to be working on a group project but some are procrastinating, there might be some uneasiness about disappointing the professor – about being "found out." Or perhaps "rush" is going on in the sororities and fraternities. Here, the students might seem distracted from the course work, but they are actually alive and present to the compelling challenges that they are experiencing in there extra-curricular activities. Other times the elephant takes the more diffuse form of tacit knowledge students have acquired, dense, rich stores of knowledge in the back of their heads that might parallel the major themes of the course material we are studying. Experiences in internships, relationships, and family life all have potential connections to organizational behavior/management/leadership concepts but may go unexplored. If we welcome this tacit knowledge and lived experience, students are happy to share it, and they delight in learning from their peers when it is grounded in real, felt, passionate experience. If we treat these "elephants" as interference, distraction, or threat to our own position of "knowledge sharer," then they quickly retreat to the safe ground. In the traditional classroom, these elephants are often viewed as a distraction from the material being discussed in class. Instead of viewing them this way, we can transform the classroom by bringing these rich sources of energy into the dialogue and connect them to the material we are teaching. And we can take it a step further by teaching the students the skill of surfacing hidden sources of meaning and having them do this for each other. When this becomes a shared goal for the class, things start to get really exciting.

Students are in one of the most amazing times of their young lives. They are exploring their identities, falling in and out of love, playing with possible futures, saying goodbye to childhood, establishing independence, dealing with how the world sees them, learning about their strengths and weaknesses, and finding out what really matters to them. Accessing these energies can fill the classroom with connection and vibrancy. Instead, we often try to manufacture an interest in our courses in ways that may seem artificial to our students, despite our best efforts to be relevant. We ask them to come to our interests instead of reaching out to theirs. Meanwhile, the elephants call for their attention and we lose a ready source of energy, motivation, and passion. Since many of these concerns are often viewed as "nonacademic," it actually takes energy to not talk about them and to "check them at the door," so we can do what we are here to do.

But what if these stories, curiosities, and life challenges were not a distraction to the classroom but a part of the lesson plan? What if our job was not to distract students from them but to collaborate with our students to find creative ways to connect and to allow the elephants to graze in the course material? We can name the elephant and use it, and there is energy and passion there. There is relevance and connection and a personal stake. Many of them can be turned into real-life case studies with analysis, theory application, and role plays. So as instructors, we need to look for the “elephants” we can bring in to our particular course material. In most fields, there are fertile bridges to bring in the student’s life stories and concerns. And we can share that responsibility by making it a class objective to create a culture conducive to sharing.

In the field of “organizational behavior,” we have already come a long way down this path. Kolb’s notion of experiential learning (2005) permeates our teaching methods, and most instructors use experiential learning exercises, case studies, and various discussion methods to energize the students and make learning enjoyable. Still, the instructor usually owns the power in the room and students are largely passive unless called upon to take part. And with these power dynamics at play, if the students are not being graded on an activity, there will be insufficient extrinsic motivation, and they are often not intrinsically motivated to do the work.

Transforming the “Teacher/Student” Relationship

Transformational teaching requires us to rethink our role as instructors. Students will share almost anything with a mentor, but in most teacher–student relationships, interdependence and trust are simply not there.

The challenges of faculty to student mentorship were highlighted for me when I was with a group of friends having an informal discussion about significant mentors we had experienced in our lives. When someone asked who our most significant mentors in undergraduate school had been, few reported having any at all. It wasn’t that there weren’t excellent teachers at the schools we attended, but that the faculty that might have potentially become mentors never actually got to know us as people, our goals, strengths, and challenges. There was never an occasion for these faculty to take a sincere interest in our individual development and to guide us in a way that could make a significant difference in our lives. My friends further went on to say that there had been extracurricular mentors that had helped to shape them in an important way, but not faculty. This struck me and let me to question whether the classroom really was a fertile ground for mentorship. And if it isn’t, then what are we really doing?

This challenging conversation reinforced the struggle I felt earlier in my teaching career. When I first thought about manifesting more meaningful relationships in the classroom, I thought that I would simply offer my coaching services to students and that they would gladly take advantage of them. After all, I had a consulting practice coaching executives outside the college and was offering to show my students the same care and concern as my clients. I was surprised and disheartened when only a few responded to this invitation. I might have concluded that they were disinterested but later realized that creating a mentor relationship is like a building that gets built one brick at a time and does not come from a wide sweeping and impersonal invitation. True mentorship relationships need time and care to develop and are not created by a generalized invite. And further, they need to have real and present involvement in shared and co-authored work to take root.

The traditional power relationship between teacher and student can be very confining. At times, the teacher is viewed as the all-knowing expert and the student, the hungry mouth to feed. This dynamic is hardly conducive to empowerment and building new competence and confidence in the student. Teaching in a more traditional way, I never really got to experience the work of the student by working alongside them, so the whole relationship was one of reporting on life, rather than living it together. When the master plumber works with the novice apprentice, the whole idea is for the novice to eventually be able to offer the same quality as the master. As wisdom and competence are built, the relationship is affirmed and the advantages to both are clear; the master gets inexpensive help and the apprentice eventually becomes a master. Their stake in each other is clear. Many students never have an apprentice relationship like this during college, and so there is no expectation for this role and also a limited ability to know how to manifest and function in it. And because it breaks the norms of the usual professor/student relationship, there is bound to be some resistance, even if in the abstract, it might sound advantageous and refreshing. Anything new carries its own discomfort and new norms and expectations need to be nurtured.

So I asked the questions, how do we create the occasion for mentorship, where can I meaningfully engage with my students and collaborate despite our differing levels of expertise, age difference, and disparate roles? What would create the conditions for us to work together toward something worth struggling with, toward something that demanded our utmost commitment and creativity and give us a relatively equal stake in the outcome? And what could we collaborate on that would seem real and compelling?

A natural interdependence comes with focusing on the course itself as a shared goal. The reality is that we spend more hours together in a term than most of us have with some of our friends and extended families. We also expend great effort on assignments and class-related activities, and making this all enjoyable, engaging, relevant, and meaningful is a natural, shared concern. We have a common stake in co-creating the classroom, sharing responsibility for the course material, and building a classroom community to support learning. Adding to our interdependence is a collective interest on building skills, reaching our potential, and attaining success. The skills associated with classroom design and management have clear and practical application to many careers, i.e., commanding a room, presenting yourself with confidence, building a group, presenting material, forming relationships, building trust, public speaking, conducting oneself at meetings, getting work done on time, collaborating with a partner, sharing power, earning respect, appropriate disclosure and storytelling, listening, etc.

Since adopting a pedagogy of co-creating the classroom, the difference is dramatic. Where just several years earlier I was inviting students to be coached and having no one show up, I am now constantly meeting with students and serving as a mentor to many. We now have meaningful work to do together, and there is a real and organic context for our mentor/apprentice relationship to begin, grow, and prove to be of value. When the students did not respond initially to my invitations for mentorship, I might have falsely concluded that they were disinterested in their own development. In truth, everyone wants a mentor if they can reasonably believe that it will be a positive and constructive relationship. And I personally find that stepping into mentorship is a great privilege and a meaningful life of service. However, creating the occasion for this relationship to flourish is where things get challenging. For those teaching courses related to management and organizational behavior, we are well positioned to use the wisdom of our field of study to optimize our teaching life and to make our teaching work as meaningful as possible. Just as the field of organizational development emphasizes meaningful participation in the process of managing change and the sharing of power, co-creating the classroom requires us to do the same.

The Mentor/Apprentice Model

We'll begin this description of how the mentor/apprentice relationship takes shape with a story from a recent organizational behavior course. The context is a class of 16 students taking a required course for their major at Muhlenberg College, a liberal arts college in Allentown, Pennsylvania. We'll break it down step by step so you can think about how this reframing of the teacher/student relationship might be applied in other teaching, consulting, and training contexts.

The topic of the day was "culture." It is useful to note that the design for the class was the one proposed by two of my students who were serving as teaching apprentices or "TAs" for the day. In the class structure, each student has a turn at this, and it involves reading, strategizing, and having several meetings with me to hash out ideas and to explore what might engage and ignite the class in relation to the topic. This is not a "delegation" of teaching responsibility, but instead I teach the class with the students, with them taking the lead. I make myself a partner in co-leading the session so I can add richness to the discussion and support the TAs' efforts. The knowledge that "I have their back" serves as a comfort in taking on the design and facilitation of a 75-min session which can be daunting to an undergraduate student.

In our preparation meetings for this session, several "games" and "exercises" were proposed by the "TAs," as well as clips from TV shows (The Office), etc. While these initial ideas might have produced an enjoyable session, I saw little possibility for transformational learning in the design. I also sensed that the TAs had not yet immersed themselves in the material and challenge, so there was a superficiality in the air. So in my role as "coach," I opened a dialogue with the two students about how they viewed the culture of our own class. Once the discussion got going, they remarked that while there was a norm of acting cordially toward one another, the students did not yet feel safe enough to really disagree with each other or to act candidly and that our class held a dynamic that was really a microcosm of the entire college's larger community of subcultures. They noted that these subcultures were represented in the form of athletes, Greek students (fraternity and sorority), theater people, etc. They noted that the walls between these subcultures were palpable and greatly affected seating arrangements, who interacted with whom and the overall classroom dynamic. The TAs had some curiosity and energy around this and ultimately decided to explore it in the session as both a way of learning about how subcultures operate within a dominant culture and as a service to the classroom community in moving them past some barriers that they thought were effecting the potential of the class to work effectively together. They viewed this as an "elephant" in the room, as these dynamics were noticed and felt by most of the students but not discussed publicly.

When the day of the class arrived, the TAs and I began by presenting some content about culture from the textbook and some additional reading they had done. They then elicited a discussion about the overall campus culture. It was interesting that during the discussion, no one brought up the subcultures at the college or their presence in the class dynamics. This confirmed our suspicion that it was indeed an "elephant in the room." The TAs then rearranged the seating of the room to group people they thought were in particular subcultures and asked each to meet and describe the artifacts, values, and basic assumptions of their particular campus subculture. I noted that at this point, the energy of the room seemed to explode when the subcultures were acknowledged, and students immediately began opening up and acting more candidly. Soon, the students' out of class personalities began to clearly infiltrate the classroom culture. The rest of the class period was spent looking at how subcultures exist within dominant cultures and how this was playing out in our own class, on campus, in organizational life, and in society. They also drew the link to performance in the workplace and had a discussion about how this all might affect our ability to function as a class and learn with and from each other. Then the TAs reformed groups to have one representative from each culture and charged them with comparing the different subcultures around various cultural dimensions and characteristics.

It was striking when in the debrief one of the student athletes in the class described in detail the ways in which he had been enculturated into the football team culture, from being recruited, then initiated, how they ate meals together, worked out together, went out together, etc. He remarked that if he had not had this class, he never would have really gotten to know any of the other students in the class, despite seeing them on campus, being in courses together, etc. He acknowledged that he enjoyed his own subculture but was also aware of opportunities lost. There were also questions posed about how this way of being might affect the challenges of working with people in the future in their careers and building trust with coworkers, clients, and customers. This was a poignant moment for the group, and several acknowledged that walls were coming down and that they really appreciated the opportunity to hear about each other's lives and the subcultures they lived in.

At the end of class, I handed out a feedback form for each student to write about the session and to give direct feedback to the two TAs. I later met with the TAs for a debrief of the session and we read the comments together and reflected on what had taken place. The TAs were happy about the session but also came up with several ways they might improve the design and their facilitation in the future. We ended with my own comments about each TAs performance and in asking them to give each other some feedback. Each was then charged with writing a reflective paper about the experience, analyzing what occurred. This paper will then be posted on their ePortfolio as evidence of their work.

I share this story to illustrate the quality of engagement I've found to be readily available with undergraduate students and also how we might use the energy and vitality of the students' own relationships with each other to transform the classroom. The excellent design for the class on culture was largely created by the students for the students out of something they felt and observed in relation to the assigned topic. It was also the product of their own creativity, their interactions and chemistry with each other, and research and reading they did in preparation. This was further enhanced by some coaching and interaction with me that challenged them to think and to get in touch with what might make for a meaningful session. And in the process, the evaluation component which in the traditional classroom is centralized to the instructor became broadened to include their classmates which added to the meaningfulness, vitality, and excitement of the whole experience. While I ultimately assign the grade to their session and reflection paper, they are also deeply concerned with what their peers think. This becomes a source of building poise and confidence, identifying workable challenges for growth and enhancing identity. By reading actual written feedback, they see in the data what others notice and appreciate and also behaviors that might get in the way of them meeting their career goals.

In the co-created classroom, the instructor holds the space for student interaction, encouraging them to operate with their full maturity and invest in both the class and each other. He/she supplements the student's tacit knowledge with academic depth and serves as a role model for how to engage people in discussion, exploration, and meaningful storytelling. And he/she serves as coach and mentor in allowing students to shine and to facilitate a great experience for their classmates.

The Classroom as a Community of Practice

The foundations for rethinking our course design come from the literature on communities of practice (CoP). Course design is commonly understood as the arrangements of learning goals, course material, assignments, due dates, and experiential exercises summarized on a syllabus. We imagined that the traditional classroom design could be significantly augmented by the use of tacit, often underutilized resources embedded in the culture of the classroom (Wenger 1998; Lave and Wenger 1991). By culture, we refer to how students make sense of course material against the backdrop of their personal histories, relationships with one another, interests and skills, work experience, ambitions for the future, athletic involvements, etc. These resources are, to a large extent, tacit and underutilized in most classrooms (Wenger 1998; Lave and Wenger 1991; Rogoff 1999; Brown and Duguid 2000). Yet they are charged with lived emotion, passion, and vitality that metaphorically parallel the content of the course.

Communities of practice are learning groups oriented to discovery of new knowledge. They rely on apprentice-like relationships between members and on inventing new practices through which they achieve their ends. COPs have become valued in knowledge-intensive industries where proprietary knowledge is key to competitiveness and where knowledge contained within established organizational routines often proves inadequate (Barney 1991; Barney and Hesterly 2006; Wenger and Snyder 2000; Dawson et al. 2006; Shaw and Stacey 2006; Stacey 2004). In response, communities and organizations build the capacity to generate homegrown knowledge relevant to strategic, cultural, and organizational issues. These efforts require culture changes in which work groups embody enhanced creativity and commitment (Wenger et al. 2002; Wenger 1998; Lave and Wenger 1991).

The extraordinary vigor and liveliness found in COPs has inspired us to incorporate selected elements of the CoP into our classrooms. Over the course of 6 years, incremental attempts to introduce these elements have grown into our design of the co-created classroom. Similar to CoPs, in the co-created classroom, students discover and invent knowledge that is new to them (and to some extent to the professor). This task is initially experienced as beyond their competence. As they learn course material, they collaborate with the professor to design and conduct most of the class sessions in a manner that is exciting as well as informative. We have found that this approach generates high enthusiasm, improved course ratings, high attendance, a more intense willingness to get involved, and a sense of relevance. In reflection papers at the end of the term, students report an increased sense of confidence as they get over their stage fright and learn how to "command the room." They also delight in being an integral part of a true learning community, closer to the ideals of what college might be.

Transitioning to a co-created classroom involves culture change with elements that are at once subtle, complex, and outside the range of student awareness. We draw inspiration from ten dimensions commonly found in CoPs: domain difficulty, emergence, learning-by-doing, dispersed expertise and authority, tacit knowledge, high engagement based on openness to new members, intrinsic motivation, informal communication, learning at the level of identity, and the invention of new practices (Wenger et al. 2002; Wenger 1998; Lave and Wenger 1991; Clark and Stewart 2012; Retna and Ng 2011; Hara and Schwen 2006).

In the co-created classroom, tacit knowledge is embraced and efforts are made to focus material on the real-life opportunities, challenges, and dilemmas of students. Marrying course contents to the tacit knowledge of students puts it into context and is then viewed as useful and vital. Task-relevant knowledge is often encoded in personal meanings: hunches, skills, rules of thumb, intuitions, images, and interpretations of events (Von Krogh et al. 2000). Tacit knowledge encompasses ways of organizing, operating, and thinking that individuals may have not articulated to themselves or to each other (Polanyi 1967). It is often accessed through personal experiences: stories, jokes, metaphors, skits, gesture, drawings, songs, rituals, and the imaginative layout of work spaces. (Von Krogh et al. 2000, p. 176). It is shared by direct observation of how a task is done, by storytelling of successful solutions of difficult problems in the past, by imitation of more accomplished members, by hints, and by outright experimentation (Von Krogh et al. 2000, p. 83; Retna and Ng

2011; Orr 1990; Lave and Wenger 1991). The classroom becomes transformed when these resources to make tacit knowledge become available and central to the work of the class.

With the community of practice metaphor in mind, the classroom then can be experienced as a community with true interdependence because neither expertise nor authority can be centralized in a single individual. While the instructor has a special role in the group, there is the expectation that all members must learn from one another. Due to the open-ended nature of the group's tasks, members both give and take direction from one another. Leadership is more facilitative than directive and members act as apprentices to the leader. The teacher acting as the leader of the community of practice provides both opportunities to participate in the work and resources to support learning, but much direction comes from members (Lave and Wenger 1991; Wenger 1998; Brown and Duguid 2000). To decentralize power, the design and running of sessions are, as much as possible, carried out by students themselves in partnership with the professor.

The Student as "TA"

In this model of co-creating the classroom, each student serves as a teaching apprentice or "TA" for the course, which provides a framework for collaboration between the professor and students. This can be done with individual students or in pairs. While it may seem simpler and more efficient to delegate the classroom presentation and facilitation to the student, this would run counter to the goals of the cocreated classroom as this would greatly reduce occasions for shared work, apprenticeship, and mentorship. Delegation can also rob the class of the benefit of the instructor's experience and remove a rich source of data for the professor: to have the experience of working directly with student partners on a complex task. In the role of TA, students invariably showcase both their issues and their strengths, and the professor then has the opportunity to model a way of working assertively and collaboratively with the students. And in classroom sessions, students invariably pick up on the "moves" of the professor, and these become part of the body of knowledge for all students to draw from. The collaboration between the professor and TAs requires give and take and for the professor to both assert him/herself while giving the students room to lead. Keeping the overall experience of the class in the forefront, the professor makes choices based upon what will serve the class best, and TAs are encouraged to do the same. The students in fact may be better equipped than the professor to find stories that are relatable and interesting for the class that relate to the concepts. They also might think of exercises that are in line with the interest levels and context of the students. In addition, when they take risks, it has a different symbolic meaning than when the professor shares personal data. Students are also challenged to make interventions that will allow for the development of the class as a learning community. The professor brings a wealth of experience gained from a graduate studies, research, and practice. Together they make a potent team.

Engaging the Will of the Class

In many classroom environments, there is a battle of "wills." The professor tries to get the students to work, and the students either succumb to the power of the professor or resist. In the co-created classroom, there is a sincere attempt to engage the will of students. In TAs' sessions, students are asked to not only deliver material but to energize, engage, and mobilize the class. This requires engaging the "will" of their classmates. This includes both the more disciplined side of the "will," often called "will power," and the more expressive side often called "the wish." (London 1991) The disciplined will is at play in class preparation and in keeping people focused during the session. If the students need to have done some prework for the session, then the TAs need to find a way to encourage them to do it. During the session, their efforts are more directed toward engaging "the wish" and making the classroom come to life.

The immediate nature, high desirability, and excitement of "the wish" exhibit a sort of clarity and desire that transcends logic and rationality. Rollo May (1969) asserted that every act of will starts when a wish is conscious and addresses a presently felt need. This viewpoint is akin to Freud's notion that nothing but a wish can set the mental apparatus in motion. And the more the students come from "the wish," the more energy there will be. So the role of the TAs becomes to look for ways to engage "the wish" of their peers.

For example, in my organizational behavior class, I had two student "TAs," Steven and Erika, who designed class with me about power and influence. The two students came up with an exercise in which their peers had to build a tower out of some materials that they provided. They announced a prize for the winner and separated the class into groups to do their work. They also introduced several original touches into the exercise in which each group was given monopoly money, and groups could purchase additional items at a "store" they created. They could buy various items and also use coupons that allowed them to affect the tower building of other groups. The class evolved into a near pandemonium as groups increasingly tried to win, forgetting the usual norms of being in a college classroom. In the end, one of the groups found themselves in an ethical conundrum. Would they use their earned coupons to topple another group's tower in order to win? They did. As you can imagine, this offered great food for class discussion about many subjects pertinent to the course. And it was brought up in future class sessions as part of the shared lore of the group. A wide range of phenomena happened in the space of 75 min, as groups formed alliances against other teams, and the class allowed themselves to be ordered around by two student TAs who minutes before had just been their peers. Each student in the exercise also got individualized feedback about their performance in the building groups. Overall, the session was a powerful design, further enhanced by the fact that it was generated, created, and implemented by students in collaboration with the professor. Beyond the value of the exercise, this feeling of student empowerment reinforced the dynamic of co-creation and transformed the classroom. It was as much how it got created than what was created that carried the power to get full involvement from the students and the possibility of more and better class sessions to come. In debriefing with Steven and Erika, they reported being amazed by what had transpired but also self-critical. They mentioned that they could have managed their time better and highlighted more of the behaviors that resulted, pairing them more succinctly to theories. I interpreted their self-criticism in the face of a session that had been very successful, an artifact of the maturity they had been elevated to. Their standards for themselves had grown to the point that were working on subtle nuances. At the end of the debrief, I asked them to give feedback to each other, asking each, “If someone asked you what it’s like to work with the other TA, what would you say? What strengths did he/she show in working with you and what would you want even more of? In the discussion, each praised the other. But an issue emerged where Erika had been holding back her own ideas and felt the need to defer to Steven’s opinion. He told her that he would rather she be more assertive in sharing her own ideas and that they spurred his own thinking. So this became another learning point as they think about working relationships and the subtle dynamics that occur.

Overall, the design and facilitation of this session visibly tapped into the “wish” of the students. They began to act in an unguarded manner and to show their instincts. Later this became material for thoughtful analysis of what had occurred and lived human behavior to use as a text for analysis.

The learning for Steven and Erika as TAs was both content and process rich. They took on what felt like a big challenge in designing a class with their professor, learning to collaborate with each other and finding their poise and confidence to deliver a product to a group they felt a stake in. Afterward they were asked to apply theory in writing a reflective/analytical paper. They also had the experience of making an intervention into a group’s development and had a chance to distinguish themselves among their peers. All this creates an upward spiral where the next pair of TAs will want to keep the bar growing ever higher. Students in their early twenties are potentially very mature but can also be immature. The structure brings out their potential maturity and then inspires others to follow suit.

The experience described above was early in the term and also then created the possibility of classroom experience being different than the norm. What else might happen in the rest of the term? It also deepened the relationship between students as they began to respond to each other’s leadership; to deal with each other’s values about winning, losing, and competition; and to show each other in real time how they exercise power. And since the exercise was largely designed by the students in collaboration with me, their teacher, it was uniquely theirs. They now clearly saw themselves as cocreators of the classroom and a place where almost anything is possible.

Students report that the variety and novelty of having different student TAs in each class creates a freshness that keeps them engaged throughout the semester. One student remarked, “I think what I liked most about your classes was the fact that no class was ever the same. By having students serve as TAs, it made coming to class more interesting because you never know what class will be like. As someone who has ADD, I find interactive learning to be much more beneficial to me than a standard lecture.”

The co-created classroom can be realized through a series of interventions. There are certainly other interventions possible that might be even more appropriate for different courses or to make use of the instructor's unique personality and skills. These have been developed over 5 years and refined. They are designed to empower students and build a strong classroom culture migrating a shift from teacher/student to mentor/apprentice.

The Interventions

Intervention #1: The Poetry Gallery

In our experience, most students carry with them a complex, powerful, and unconscious default image of what constitutes a college class. Therefore, it is important to introduce a "frame-breaking" experience to open up possibilities and to begin to see new potentials in what the experience might be. We have found that the Poetry Gallery exercise is a great way to set a tone for this transition. In addition, students find a deeper engagement with classmates, intrinsic motivation, and learning at the level of identity. Finally, students participate actively in inventing practices through which the class takes shape.

The Gallery is comprised of two equally important elements: a setting and a set of activities. The setting is designed to capture student attention immediately upon entering the room. We post approximately 75 poems on the classroom walls. Poems are displayed in oversized fonts on brightly colored sheets of paper. We provide live or recorded instrumental music to provide a calming, unobtrusive background that supports quiet browsing of the poetry. First, participants silently *browse the gallery.* Next, they *select a poem that speaks to them.* They *share their poem* with one other student and tell why they selected it. Time permitting, participants *read their poems to the whole group* and talk about what the poems evoked in them. Next, participants engage in a *freewrite exercise*. For 8–10 min, participants write on a theme without self-critique or hesitation. Finally, those members who choose to do so can *perform their freewrites for the group.*

Research on the Poetry Gallery (Van Buskirk and London 2008, 2012) has found three major effects: personal transformations, group empathy and trust, and enhanced connection to the course material. Students report that the Gallery intensifies and clarifies personal and interpersonal experience. For example, a shy student chose a poem that expressed his faith and feelings of strength he gets from his religious life. This is not something he would typically talk about with peers, especially in a business class. During the Poetry Gallery, he surprised himself by taking the risk to pick this poem and then to talk openly about it with another student of a different race and gender. She was surprised by his sensitivity and they opened up to each other. This then gave him confidence to read his poem to the whole class. He reported in a reflection paper that it took courage for him to break his usual self-censorship. The class was surprised and delighted by the sensitivity and strength of his description. His peers then felt challenged to rise to his example as the group suddenly became a safe place to talk about difficult things. Later in the term, they found themselves able to address many undiscussables in terms of the course material (i.e., how social class of students affects peer relationships, spending habits and perceptions of social loafing in student working groups). This arc of personal discovery, social bonding, and enhanced relevance of the course material is a common occurrence.

How the Gallery Facilitates the Migration to the Cocreated Classroom

While the Gallery by itself is not enough to generate the culture change we seek (it is a one-time experience in a 14-week semester), it orients students to the kinds of changes they will experience in the rest of the class, and it is a vital stage-setter for the other three interventions. Below, we briefly sketch how the Gallery supports change along each of the ten dimensions. These insights have been obtained though student reflection papers after the Gallery and at the end of the course.

The Gallery is also a gateway experience toward dispersed expertise and authority. In the Gallery, the directive role of the professor is greatly reduced. He or she provides little initial explanation or guidance beyond telling arriving students to wander the room reading the poems on the walls "as if they were at an art gallery." As a result, students create their Gallery experience.

This experience also introduces students to ideas of tacit knowledge and learning. As they browse, select, and share poems, students encounter a great deal of personal material that they have not shared in other classes (or may have been completely unaware of). These include values, relationships, future ambitions, crises, work experience, athletic or artistic skills, conflicts, and changes. As they share these responses with others, and as they write their own proto-poems in the freewrite, students begin to encounter and appreciate what they have been missing in previous classes.

One of the most common student responses in reflecting on the Gallery is the increase in engagement with others. As students hear others talk about "issues close to their own heart," they respond with great appreciation. As they feel heard by others, the sense of trust in the class increases exponentially. Stereotypes fall away as students get to know one another on a more personal and nuanced basis. They discover and appreciate one another's depth of feeling, integrity, and in many cases, poetic sensitivities.

Although participation in the Gallery is initially required by the professor, as students participate in the Gallery, they quickly own it. In the climate of engagement that occurs, students report making choices to take risks related to sharing, freewriting, and performing. In student reaction papers, students rarely mention grades as a significant factor. Intrinsic motivation, first experienced in the Gallery, is later built into other interventions.

The Poetry Gallery also is an intervention into identity. Learning occurs at levels deeper than mere content. Students commonly report experiencing themselves differently. The surfacing of tacit material, unanticipated depth in others, the climate of high trust, and decisions about risk-taking in participation often prompt students to view themselves in a different light. They begin to wonder if they should share more of themselves in other groups, if they should seek out community more intensely, or if poetry might have some value in other settings (Van Buskirk and London 2012).

Intervention #2: Coaching for High-Impact Class Sessions

In the typical classroom, personalized attention through coaching is unlikely to occur. Firstly, the instructor has no direct experience working with the student, so the coaching would be based upon self-report or worse, the instructors own guess about what the student needs. By partnering with students on the TA session, a great opportunity presented itself where the coaching had a reason, a context, and a real-life working outcome to live in. The second reason for coaching is that many of our students are ill equipped to handle the responsibility and maturity required to TA for a class session. We found that they needed the coaching to uplift them and to bring out their potential. As they stepped up and succeeded, the relationship could take on a more mature character. So the coaching provides quality control and developmental potential and brings the student-professor relationship to a place of real mentoring.

Immediately after the Gallery (in the third or fourth week of the semester), coaching sessions are organized. Initially, students are given the challenge of working with a peer and the instructor to design and facilitate one 75-min class session. They read the material assigned to the class. They also read an additional article on the topic and set goals for the session. These goals are multidimensional including the content of the topic, skill practice, and engagement of peers, furthering the development of the class as a learning community and personalizing the material. They then work with the professor to craft a design, execute, it and get feedback from both peers and the professor. While most students have had to give presentations in the past, few have been challenged with creating a session of this magnitude and with this much responsibility. Coaching students to lead effective sessions involves addressing three issues: (1) diagnosing the class and what it needs, (2) using of self (usually in the form of personal narratives), and (3) negotiating the role of the professor.

Diagnosing the Class

In the first coaching session, students learn to tailor content and pedagogy to what the class needs. At this point, the professor asks a series of questions to elicit tacit perceptions of the class so far. For example, a group might choose an activity at random such as showing a film clip from *Office Space*. Here, the instructor might say, “That would certainly be fun, but what will you do with it that will have some impact?” At this point, the professor tries to put the audience into the picture. He asks questions such as, “What have you noticed about the class?” or “What does this class need?” or “What has been your favorite presentation so far.” Or “In this topic what are your classmates most knowledgeable about, and what can you give them that will really add value?" Another approach is to focus on the student's relationship to the content area. With students who have read the article, the professor asks the question: "What is the most interesting part of the article?" "What is the message of this article that students need to hear?" The professor then challenges the pair to think about how they might respond to the class's needs. These questions are designed to encourage student TAs to be audience centered and to take responsibility for the potential impact of their session. This inquiry usually results in them reframing their challenges from "How do I present information?" to "What is the impact I want to have on individuals and the group."

Use of Self

The second goal of the coaching session is for students to "use themselves." This step builds on the Gallery workshop and reflection paper where students have had significant experiences of tacit knowledge becoming explicit. The professor encourages them to put themselves into the topic and to share their own stake in the material. Usually, this involves finding personal or work-related stories that connect in some way to the topic and have the potential to spark classroom discussion and inquiry.

Particular emphasis is placed on stories that contain a modicum of personal vulnerability. We have found that shared vulnerability often triggers strong identification, curiosity, and interest from the class. As part of the coaching session, the professor encourages students to share their own stories early in the presentation, prior to asking their classmates to take risks. Finally, students and the professor rehearse the story in full and explore possible exercises that might engage the class even more. In rehearsing presentations with the professor, students reduce risk and transform vulnerability into confidence. Once students have connected their stories to the material and to the current state of the class, they are in a position to choose an exercise from the text, to modify an exercise from a previous session, or to invent something completely new:

In a session on influence, one student, a prominent member of the football team, repeatedly talked about his coach. It was clear that this man had been an important figure in his life and that he had learned a great deal about leadership from him. However, the student was confused because, while he had viewed his coach to be a role model, his language, judgmental attitude, and aggressive manner were inconsistent with how influence was described in course readings. The student also found a disconnect between how he acted on the football field and the gentler way that he and his classmates influenced each other. Yet he was fascinated by the way his coach acted and wondered if there was some way to incorporate aspects of this style in his presentation. I suggested that he talk to his partner as his coach spoke to him. The result was both amusing and exciting as he transformed into his coach. We decided to use this as the basis of an exercise. The class was initially shocked by his manner, but this role play led to a great discussion where students *challenged their assumptions about political correctness, boldness, the risks involved in being assertive and how they interacted with each other in group projects.*

Negotiating the Role of the Professor

The diffusion of expertise and authority in the co-created classroom does not mean that the professor is passive. In fact, he/she participates actively as a partner in the presentation as well as a guide. The relationship to the student resembles a master/apprentice arrangement where the teacher participates actively in the work at the same time he teaches (Lave and Wenger 1991). The precise nature of this collaboration, however, varies from case to case as the professor's role is tailored to the needs of the dyad. In some cases, the professor provides music, in others class management expertise. In all cases, he/she "has the student's back" in case anything goes wrong. The professor as partner tends to assure a level of trust with the presenters that infuses them with confidence and, according to student reflection papers, contributes to quality presentations.

How Coaching Sessions Facilitate the Migration to the Co-created Classroom Coaching challenges student notions about what it means to prepare for a presentation. In the coaching, the professor encourages the TAs to diagnose the state of the class as a learning community and to view their session as an opportunity for intervention. They are also encouraged to be innovative in creating their own designs that emerge from the students' own experiences and perceptions. Dispersed expertise and authority are thus enacted by negotiating the professor's role. An ethos of learning by doing emerges as students take increased responsibility for the task. They report learning about the course material as they discover together how to engage a large group in learning important lessons about itself. In addition, tacit knowledge is evoked and used as students diagnose the class and learn how to use themselves in their designs.

The solo TA or dyad, along with the professor, often generates a high level of engagement in the coaching session itself as students gain confidence in the relevance of their experience, in the skills they discover in rehearsing presentations, and in the assurance that the professor is there to support in case anything goes wrong. Motivation shifts significantly from extrinsic to intrinsic as students experience real growth, engagement with the professor and, in some cases, the beginning of a professional trajectory (i.e., how these skills might apply in the future (Wenger 1998). Student identities are enhanced through the discovery of unanticipated relevance of heretofore tacit skills to professional tasks. In response to these experiences, students begin to ask themselves who they are, who they might become, and what they might accomplish in the future (Clegg et al. 2005). They learn to bring their "whole selves" to the work, discovering that memories of work experiences, athletic triumphs and disappointments, or forgotten artistic skills can make their presentations come alive.

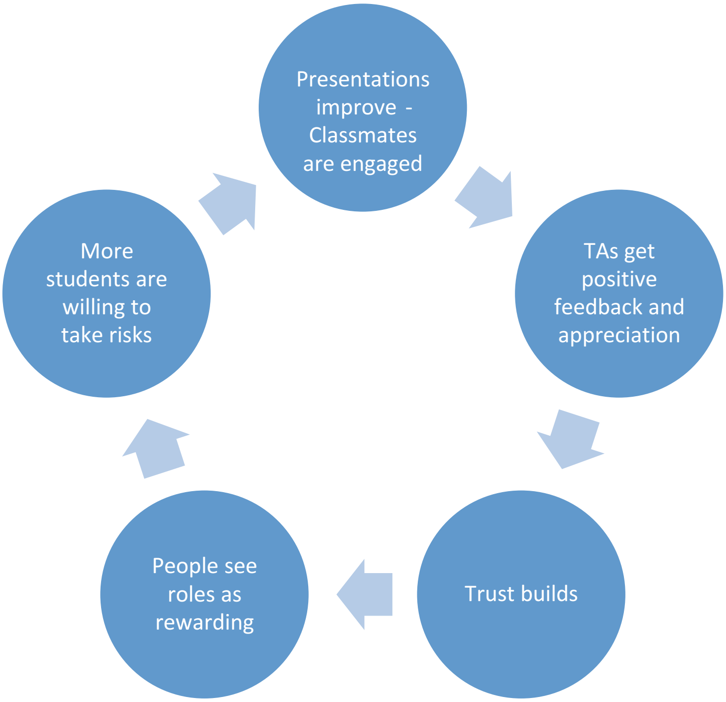


Fig. 1 Cycle of support

Intervention #3: Student-Facilitated Sessions and Their Effect on the Development of the Class

As they find alignment between concepts, personal stories, and experiential exercises in coaching sessions, most students discover new strengths and gain confidence. However, it is in the sessions themselves that the class as a whole begins to shift into a co-created classroom.

Effective class sessions drive the development of a more highly engaged culture. To describe the progression of the classroom culture, we developed two models of interlocking virtuous cycles: a cycle of support and a cycle of aspiration (Figs. 1 and 2). The *cycle of support* (see Fig. 1) usually unfolds in a sequence of five steps. The first step is an early sequence of exciting session designs. For this reason, students judged to be the most active or skillful participants in early classes are the first to present. Next (step 2), effective early sessions elicit appreciation from peers that supports trust, spontaneity, risk-taking, and engagement. As early presenters are rewarded by positive feedback, others see that presenting can be a safe and exciting experience (step 3). As the semester continues, trust builds in the class (step 4), and more students build vulnerability into their presentations. As students model their efforts on earlier work, presentations are characterized by increasing self-disclosure and creativity which further galvanize student attention in a virtuous cycle of support:

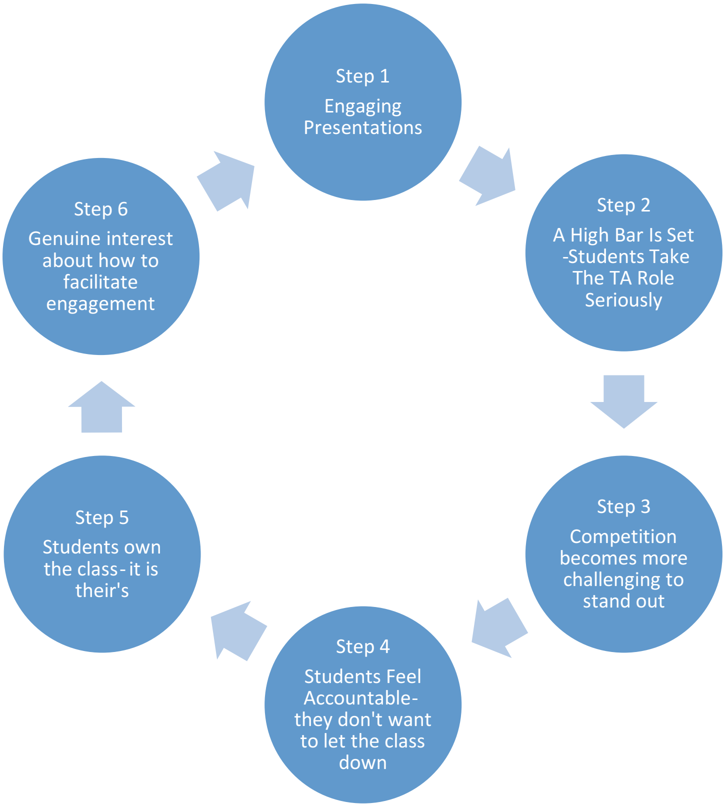


Fig. 2 Cycle of aspiration

One student was a football player. He told the story of having been the backup quarterback, with the expectation of waiting his turn to be the starter and star of the team. However, he was passed over for a younger player. In his presentation on the topic of motivation, he talked about what it was like to continue being a backup and how it was difficult to prepare for games, help the starter and do the other activities expected of the back-up. He also raised the question of how the relationship with his coach evolved and what he might have done differently to earn more respect and credibility. The class was mesmerized by this account. There were many athletes in the class who could easily empathize with his feelings. The high level of self-disclosure in this story and the supportive response of the class tended to create a heightened trust that encouraged others.

Early high-quality class sessions generate a second virtuous cycle, *the cycle of aspiration* (see Fig. 2). As the semester unfolds, the culture of the classroom encourages students to equal or exceed efforts of their peers. Like the cycle of support, the cycle of aspiration begins with *engaging early presentations*. However, in addition to triggering positive feedback, these presentations set a “high bar” that motivates others to take the class more seriously (step 2). Third, class sessions tend to improve as students learn from one another. Fourth, presentations create expectations to which students feel accountable and which they want to exceed. A mix of accountability and competition shows up often in coaching sessions later in the semester. Students don't want to be the weak link in a strong chain. They bring to coaching sessions an urgency to find a way to succeed, and they more easily see the professor as a guide and partner who "has their back" during the class sessions. Fifth, students own the class more and more for its own sake. Traditional concerns of grades and social approval become less salient as each dyad commits to adding value to the class. It is not enough to be a "talking head" or an entertainer. Most of the later presenters have enjoyed their class experience and become curious to learn how to make similar presentations. Sixth, this virtuous cycle of gratitude for the efforts of peers, increasing standards of excellence, and increasing accountability creates an increasing curiosity about how to create engagement in those who have yet to present.

As these two cycles mature, they tend to reinforce each other. As the group gets more supportive, presentations improve. Compelling stories are easier to come by as students see that risk-taking is increasingly supported by the class. A growing climate of trust supports the vulnerability and risk-taking that makes presentations both exciting and effective. The result is a culture where students work together in an atmosphere of high trust to produce an ever-improving product. The cycle of support and the cycle of aspiration work together to create the emergence of a collaborative classroom culture.

Student TAs work collaboratively with the professor as mentor in facilitating classroom facilitated, confronting a domain that is at once highly difficult and emergent. Together, the cycles support students in responding to these challenges: the cycle of support generates an atmosphere of trust and risk-taking which, when embraced, supports the presentation of highly engaging presentations, a central factor in both cycles. Likewise, the cycle of aspiration generates a sense of accountability and competitiveness that motivates students to take on the task of making highly engaging sessions and to support others in their efforts.

Dispersed Expertise and Learning by Doing As the professor steps back from a command and control role, and as students take on more responsibility and leadership, they find the knack of conducting and participating in a series of engaging classroom sessions. As the cycles of aspiration and support mature, students get more involved and learn more and more by "doing." They begin discover their own expertise. They learn course material in the context of mastering the art of skillful facilitation. They borrow (and adapt) techniques from one another such as role plays, skits, stories, and the skillful use of classroom exercises. In this sense, the culture of the class resembles the culture of a community of practice where members freely consult each other based on perceived expertise and interest instead of organizational role.

Tacit Knowledge In addition to borrowing pedagogical devices, students also engage in deeper modes of role modeling. They borrow aspects of personal style that include humor, vulnerability, risk, musical talents, and personal revelations. This expanded repertoire of tacit knowledge constitutes an expanding resource available to the class.

As the cycles of aspiration and support emerge, they energize the classroom community. As students respond to each other on both academic (aspiration) and personal levels (support), individuals become highly engaged with one another. As they learn about the course material and the mechanics of course design, they also learn about one another's values, challenges, skills, relationships, struggles, etc. As a result, students get engaged by one another's sessions on many different levels, and a rich network of intrinsic motivation becomes part of the experience. Students are motivated by social bonding, responsibility to the group, professional growth, and increased confidence in their presentation and facilitation abilities. Many report in student evaluations that the experience of high-quality, self-revealing class sessions make them think more seriously about their own academic and personal identities.

Finally, the cycles of support and aspiration support the invention of many new practices of session design and facilitation. Students have invented dramatic skits, written songs, confronted the class with workplace dilemmas, apologized for "bad behavior" in a previous class, devised a model of "speed dating," and many other surprising approaches. The plethora of invented practices is similar to what is found in highly functioning communities of practice. It also reinforces the value of the cocreated classroom and a sense of ownership, pride, belonging, and identity emerge.

Intervention #4: Continuous Evaluation, Self, Others, and the Class

Evaluation of student sessions is not an afterthought but an integral part of every class session. It is not a discrete judgment made by the professor but occurs as a stream of assessments made by every student on the presentations of every other student. As such, it is an important driver of the culture change. Members evaluate themselves, other class members, their presentation partners, the professor, the feedback they receive, and the course itself. In this dense network of evaluation, students begin to enact a classroom that is different from anything they have experienced before.

The Evaluation Process Explicit evaluation begins after each class session when each student writes feedback to the presenters at the end of each class. In these comments, they answer three general questions: What did you like about the presentation? What did you get out of it? What could the presenters have done better? These notes are written immediately after the performance while the students' reactions are fresh. Since we are trying to gauge not only the academic quality of the performance but its effect on engagement, we want feedback to be immediate. For this reason, the rubric is kept simple and focuses on direct experience.

Next, the TA or TA's for the session meet with the professor immediately after the class (if possible). They are initially asked the questions, "What went even better than you thought it might?" "What would you do differently?" Then they take turns reading the notes aloud. This allows them to "feel" the feedback as well as understand it. This can be a difficult moment, and the professor acknowledges both positive and negative comments (or disagrees with them). He/she is quick to praise what went well. Students are encouraged to explore their reactions. Partners are asked what they make of it. Next, partners give each other feedback. This is important because one's partner has firsthand knowledge of the collaboration. Sharing this is not part of the usual social norms of student collaboration, but the professor's prompts legitimize it and create a space for meaningful sharing and feedback. A good prompt to get things going is "If someone asked you what it is like to work with Jim, what would you say?" Follow-ups can mine the data for more specifics. "You mentioned that Jim was a creative thinker. How would you describe the way he uses his creativity in your meetings together?" This step is also a chance to clear up misconceptions between partners. The dynamics of debriefs vary but are always powerful moments of reflection and learning. Even when the partnership is less than optimal, the potential for transformational learning is there:

> *Ella was very structured, accountable, and controlled, while Marie was unreliable and charismatic. Throughout the project I noticed Ella being very upset with her partner. When the presentation was over, she was horrified, though the presentation on the whole was pretty good. Marie had gone off the design and used valuable time going off on what felt like a long tangent. Marie began the feedback. She talked about how Ella was the best partner that she had ever had, and that she had learned so much in working with her. She acknowledged her for carrying the project and gave a heartfelt thank you. I was watching Ella's face during this, and it was as if it had melted. Gone was the stony hurt and anger, replaced by compassion and a sense that she was somebody's hero.*

It is only after this sequence of activities, peer notes, reading notes aloud to the professor, professor feedback, student responses, and feedback between partners, that the professor gives a grade for the presentation. He usually does this on the spot, although occasionally he waits to read the student's reflective paper on the experience. After students get their grade, they have a chance to respond according to whether they think it is fair. It is important that they have a chance to present their own point of view since the feedback comes from so many different angles, and their take on their performance can be different from the professor's.

Immediacy and comprehensiveness of feedback are implicated in both the cycle of support and the cycle of aspiration through which the culture of the class is enacted. In student notes, negative comments are couched in terms of how the presentation could be improved or in how this student might reach his/her potential. This language lowers defensiveness and most students are avid to learn how their presentation could have gone better. When the notes are overwhelmingly positive, many presenters are disappointed at the lack of constructive criticism.

Writing evaluative notes after every presentation affects the audience members as well as the presenters. It focuses everyone's attention on the act of evaluation in every class. Students who have not yet facilitated a session as TA prepare their own sessions with the knowledge that peer evaluation will be part of the picture. This motivates students to pay careful attention as they seek to learn something they can use in their own presentations.

For students who have already served as TAs, ongoing evaluation of others is an opportunity to reflect on what they have already done. After leading, students return to the participant role. Here they often reflect on their session in light of subsequent class sessions. For some, this extended evaluation is an important way to continue to work on issues raised in the feedback session.

The continual ongoing evaluation in the class strongly contributes to the way the students perceive and think about the sense of the course as a co-creation. These changes cut across most of the dimensions we have sketched so far. It problematizes the domain by involving students in the act of assessment to a much greater degree than they had previously experienced. This intensification of evaluation is yet another difficulty students must negotiate during the course of the class. Students learn to give and receive feedback more intensively and more personally than ever before.

Moreover, continual evaluation under these conditions tends to make assessment an emergent process. The sheer number of the judgments made by peers provides emergent models against which students evaluate the action. This is very different from traditional classrooms where students are usually given a rubric for peer evaluations. In this case, the rubric itself evolves as the class progresses.

Dispersed expertise and authority are also bolstered by the evaluation process, as the voice of the professor is one of many to which students must pay attention. Moreover, the placement of professor feedback at the end of the evaluation process provides maximal opportunity for students to judge themselves and one another before the professor weighs in with his/her opinion. The chance to question and influence the professor's judgment further empowers students.

Evaluation in the collaborative classroom tends to support the emergence and utilization of tacit knowledge. On the spot evaluations, the profusion of notes, feedback from one's TA partner, the professor, and the ongoing "feedback" one gives oneself during the rest of the semester tend to surface a variety of tacit judgments, reactions, disagreements, and reevaluations of one's performance. As the class goes forward, these tacit elements inform the design of later classroom sessions, feeding the upward cycle. Similar to a community of practice, the skill and knowledge of each individual in the class are elevated along with a collective capacity to learn and effectively participate. Challenges that were a struggle at the beginning of the term become much easier later in the term. Students who are uncomfortable participating report finding a new ease and flow in being active. Students who fear public speaking find themselves actually enjoying leading a session. Students who previously would read off PowerPoint in a stilted fashion begin speaking extemporaneously. And the ability to go back and forth between the personal, the practical, and the academic becomes a collective competency.

Evaluation also supports high engagement within the class as a whole. In a class of 16 students, the presenters will receive 16 notes of feedback. This lends a weight to peer opinions that most students find unique. As the semester wears on, they care more and more about what peers think of their TA sessions. The fact that students continue to make sense of what they have heard in light of later presentations and that they experience a certain level of angst relative to their upcoming sessions point to evaluation's effect on engagement.

One of the most unexpected results in our work has been the change in student orientation to grades vs. feedback. Students are disappointed when feedback is "too easy," they parse positive feedback for critical suggestions, and they continue to work with feedback they've received in future classes. Finally, working with the professor to make sense of the feedback provides another intrinsically motivating element.

The experience of being so continuously involved in evaluation creates an expansion of the student's professional identity (Clegg et al. 2005). In reflection papers, students talk about how the dual role of being judges and judged changes how they think about their role as students. Many find this role empowering as they make judgments that are at once more consequential, more critical, and more empowering than ever before. Many students envision taking this heightened criticality into the workplace where they imagine giving feedback that balances caring and fairness.

While students do not invent the evaluation scheme, it immerses them in a wide range of practices that changes how they view classroom evaluation. Writing notes, receiving notes, and working through reactions with the professor force them to deal with the actual impact of their presentations on their peers. They must deal with the possibility that their class session might be boring, disturbing, or confusing. They must deal with these reactions in direct interaction with the professor, who acts as a facilitator and a judge at the same time. However, they are not passive recipients, even when they themselves are being evaluated. Reacting to notes from the class, giving and receiving feedback from their partner, and checking self-evaluations against this wealth of feedback amount to a more richly nuanced evaluation than any they have ever experienced (this is a common response in evaluation papers and focus groups).

For the instructor, evaluation becomes a vibrant process of thinking critically about choices made in preparation, design, and implementation and how they resulted in what actually occurred in the TA session. While most sessions are highly successful, the few that are disappointing can be challenging for both the professor and student. I recently had a student who seemed unaware that a disconnect had happened during her session. At one point, she became long winded and students began avoiding eye contact with her and disengaging. In our debrief, I let the written feedback speak for itself, and as we read each note, together, we validated or invalidated the comments. This built a shared understanding and a co-inquiry that I thought helped her to take in the feedback and to not feel overwhelmed by it. Then we discussed how the disconnect occurred and how her long-windedness is an ongoing issue and some ways she might work on being more concise and powerful in her communication. As we discussed, I tried to make sure she felt supported as we looked at what is a very significant issue for her that might affect her career aspirations. In the end, her grade on the assignment became secondary and getting control of the issue became of greater importance. I found myself feeling vulnerable in the interaction, since I did not know how much directness she could handle and worried about crossing her sensitivity line in looking at something as central as the way she comes off to her peers and their judgments about her behavior. I also added some criticism of how she had acted in our preparation sessions and this felt risky to do, given the disconfirmation she was already experiencing. However, I also needed to make sure I told her the truth and did not shrink from the difficulty of helping her to face issues that could derail her career.

Continual evaluation primes students to reflect deeply on the process of the class. At the end of the course, they write reflection papers on the course as a whole. These consist of open-ended questions designed to provide a window on how the class worked from their point of view. Students routinely integrate course material, personal experience, and the dimensions and interventions described in this paper. We provide three quotes that exemplify many of the processes that occur in the course. After each quote, we highlight the dimensions and the interventions contained within it:

> *Douglas McGregor's ideas of Theory X and Theory Y were present in our class in a big way. As a student, I felt empowered in this class to create my own experience. I felt more loyalty to the teacher and to the class when I was given respect as a person and was able to input my own ideas. Whenever I went into the professor's office, I knew that he would listen to my ideas and take them into serious consideration. He let us implement our own ideas even if they weren't ideas he would have chosen. Because he let me have the power to control my own work, I felt a greater desire to perform well so as to keep the balance of respect between us.* (CoP dimensions: diffusion of authority, invention of practice, intrinsic motivation. Classroom interventions: coaching).
>
> *I came prepared to the coaching sessions every time because I wanted to rid myself of a stereotype that I believe I helped facilitate. I felt that people at Muhlenberg underestimate my intelligence because I am a football player. The other football players and I always sit together in class usually wearing sweats or some type of athletic attire with Muhlenberg football somewhere on it. I also do not help my case by coming late to class and not speaking up more.... One thing I will never forget is when one student brought up the Poetry Gallery we had done earlier in the semester. He said to me that he thought I was just a jock who played football, but when he heard what I had to say about my father and how he was always there for me, it changed his opinion.*
>
> *The evaluation process kept me involved. I was engaged in all of the sessions because I knew I had to provide feedback at the end of class. Since I would be receiving feedback from these same people down the road, I wanted to give the most genuine and helpful commentary I could provide. This reminded me of the 360-degree feedback we read about in class. It increased the focus of not only the students but of the presenters as well because they had to present material in ways that appealed to class members as well as to the professor.*

Conclusion

In exploring the possibility of co-creating the classroom with students, we must deal with our own basic assumptions based upon our own experiences, anxieties, and fears. For example, some would argue that collaboration sounds good but that students care primarily about their grades and therefore are not to be trusted to share power. A deeper look tells us that this obsession with grades is more of a symptom of a greater problem than an inevitable reality. Grade obsession is a symptom of a learning environment that has grown rote and/or cynical. It is also a sign that students are bored with how we are engaging them. Some faculty are great lecturers, but students report anecdotally that they just get too much of it. And when there is nothing there to engage students at a larger level of concern, they focus on how they are being judged and on dealing with authority. These are not their only concerns, just the ones they focus on when there is nothing else going on that is particularly urgent or compelling. Another roadblock to collaboration with students is the fact that tenure considerations often de-emphasize the relative importance of teaching and leading some faculty to feel that putting greater energy into their teaching might not yield personal or professional rewards. Given these dynamics, the desire to innovate in the classroom must come from our own intrinsic desire to have meaningful work. In many cases, students pay huge sums of money and take on debt to go to colleges and universities and can reasonably expect that their development be a priority of the faculty. If the reward systems don't line up with this, we are not a slave to them but can set our own priorities for what is important.

The co-created classroom offers some exciting possibilities for transformational learning and for a classroom experience that students love. On a personal level, teaching in this way has not only made my classes better but also given me a renewed sense of purpose about my work. Since adopting this approach, I can now say that I am truly developing my students and that what they take from our classroom experience has enriched their lives. It has also been a place for me to connect with students and enjoy those relationships in a clear and productive way. They know what my work with them is and why I do it, and they understand their role and embrace it. This allows students to get value from both me and their peers in a way that respects boundaries but that also carries accountability. Earlier in my career, I was less clear about what my relationship was to them and now realize that they were confused as well. Finding this clarity in intent and approach has made all the difference in making the work come alive. The details of this work were developed in a particular context, but the frame of co-creation has potential for transformation in other types of college settings as well as in consulting, training, and organizational life. My hope is that you feel inspired to find your own story in this pursuit and to find a way to co-create your own learning environment.

Cross-References

► Clarifying the Relationship Between Transformative Teaching and Transformative Learning
► Creating a Flow Organization to Lead into the Future
► Identity and Meaning in Transformation
► Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey

► Self-Awareness in Personal Transformation
► Self-Knowledge: Master Key to Personal Transformation and Fulfillment
► The Untapped Power of Imagination in the Workplace
► Transformative Leadership

References

Baker-Eveleth L, Chung Y, Eveleth DM, O'Neill M (2011) Developing a community of practice through learning climate, leader support, and leader interaction. Am J Bus Educ 4(2):33–40
Bane K (2004) What the best college teachers do. Harvard University Press, Cambridge, MA
Barney JB (1991) Firm resources and sustained competitive advantage. J Manag 17:99–120
Barney JB, Hesterly WS (2006) Strategic management and competitive advantage: concepts and cases. Pearson, Harlow, New York
Barrett F (2012) Say yes to the mess: surprising leadership lessons from jazz. Harvard Business School Press, Cambridge, MA
Brown JD, Duguid P (2000) The social life of information. Harvard Business School Press, Cambridge, MA
Carey C, Smith K, Martin LM (2002) Cross-university enterprise education collaboration as a community of practice. Educ Train 51:696–706
Clark T, Stewart J (2012) Teaching social entrepreneurship: arts management with a community engaged perspective. J Entrep Educ 15:1–18
Clegg SR, Kornberger M, Rhodes C (2005) Learning/ becoming/ organizing. Organization 12:147–167
Corso M, Giacobbe A, Martini A (2009) Designing and managing communities of practice. J Knowl Manag 13:73–89
Dawson S, Burnett B, ODonohue M (2006) Learning communities: an untapped sustainable competitive advantage for higher education. Int J Educ Manag 20:127–139
Deci E, Koestner R, Ryan R (2001) Extrinsic rewards and intrinsic motivation: reconsidered once again. Rev Educ Res 71(1):1–27
Griffin D (2002) The emergence of leadership: linking self and Organization. Routledge, London
Hara N, Schwen TM (2006) Communities of practice in workplaces: learning as a naturally occurring event. Perform Improv Q 19:93–114
Kolb A, Kolb D (2005) Learning styles and learning spaces: enhancing experiential learning in higher education. Acad Manag Learn Educ 4(2):193–212
Lave J, Wenger EC (1991) Situated learning – legitimate peripheral participation. Cambridge University Press, Cambridge
Lewin K (1947) Group decisions and social change. In: Newcomb TM, Hartley EL (eds) Readings in social psychology. Henry Holt, New York
London M (1991) Orientations in the classroom. J Manag Educ 15(3):313–324
May R (1969) Love and will. W.W. Norton and Company, New York
Mintzberg H (2004) Managers not MBA's: a hard look at the soft practice of managing and management development. Berrett-Koehler, San Francisco
Orr J (1990) Sharing knowledge and celebrating identity: war stories and community memory in a service culture. In: Middleton DS, Edwards D (eds) Collective remembering in society. Sage, Beverly Hills, pp 169–189
Polanyi M (1967) The tacit dimension. Doubleday, New York
Retna KS, Ng PT (2011) Communities of practice: dynamics and success factors. Leadersh Org Dev J 32:41–59
Roan A, Rooney D (2006) Shadowing experiences and the extension of communities of practice: a case study of women education managers. Manag Learn 37:433–454. Sage
Roberts K (2011) Imagine deep learning. Mich Sociol Rev 25:1–18

Rogoff B (1999) Introduction: thinking and learning in context. In: Rogoff B, Lave J (eds) Everyday cognition: its development in social context. Harvard University Press, Cambridge, pp 1–8
Schwartz M, Abbott A (2007) Storytelling: a clinical application for undergraduate nursing students. Nurse Educ Pract 7(3):181–186
Shaw P, Stacey R (eds) (2006) Experiencing risk, spontaneity and improvisation in organizational change: working live. Routledge, London
Stacey R (2004) Complex responsive processes in organizations: learning and knowledge creation. Routledge, London
Van Buskirk W, London M (2008) Inviting the muse into the classroom: poetic license in management education. J Manag Educ 32(3):294–315
Van Buskirk W, London M (2012) Poetry's deep intelligence: a qualitative approach for the OB classroom. J Manag Educ 36(5):636–668
Von Krogh G, Ichijo K, Nonaka I (2000) Enabling knowledge creation: how to unlock the mystery of tacit knowledge and release the power of innovation. Oxford University Press, New York
Wenger EC (1998) Communities of practice: learning, meaning and identity. Cambridge University Press, Cambridge
Wenger EC, Snyder WM (2000) Communities of practice: the organizational frontier. Harv Bus Rev 78(1):139–145
Wenger EC, McDermott R, Snyder WM (2002) A guide to managing knowledge: cultivating communities of practice. Harvard Business School Press, Boston
Zboralski K (2009) Antecedents of knowledge sharing in communities of practice. J Knowl Manag *13*:90–101

Clarifying the Relationship Between Transformative Teaching and Transformative Learning

Lisa DeAngelis

Contents

Abstract

Transformative learning describes the change process that an individual undergoes as they come to question their values and beliefs in such a way that they experience a fundamental shift in their interpretation of experiences and bases for their actions. Mezirow (1981, A critical theory of adult learning and education. Adult Educ Q, 32:3–24) coined this term *transformative learning* more than a quarter century ago and laid the foundation for subsequent development of this concept. Concurrently, thinkers such as Parker Palmer (1998, The courage to teach: exploring the inner landscape of a teacher's life. Jossey-Bass, San Francisco) have begun to articulate a notion of transformative teaching. Central to this concept is the idea that the educator approaches their teaching from a holistic and integrated sense of self. The question that remains is what is

L. DeAngelis (✉)
Center for Collaborative Leadership, College of Management, University of Massachusetts Boston, Boston, MA, USA
e-mail: Lisa.DeAngelis@umb.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_55

the impact of a transformational teacher on the learner? In this chapter I summarize these literature streams and use these insights to consider how educators are able to foster learning environments and practices that encourage transformative learning.

Keywords
Transformative learning · Transformative teaching · Curriculum design · Deep learning · Learner-centered education · Safe spaces · Self-reflection · Individuation · Emancipatory process · Dialogic process

Introduction

> Adults who develop – that is, whose meaning-constructive systems transform – are likely to become more deliberative, responsible, and competent in carrying out the work of society. (Taylor 2000b, p. 167)

The typical classroom today has as its primary focus, instrumental, as opposed to transformative, learning. Instrumental learning "involves controlling or managing the environment, improving performance or prediction" (Mezirow 2003a, p. 2), whereas transformative learning, as Brookfield so eloquently frames it, "I believe an act of learning can be called transformative only if it involves a fundamental questioning and reordering of how one thinks or acts" (2000, p. 139). Said another way, instrumental learning helps the student to understand what is expected of them, while transformative learning enables the student to become aware of, question, and perhaps reframe the beliefs that shape how they enact with the world around them. If the assumption is that transformative learning is a pursuit worth accomplishing, this chapter seeks to clarify the role that facilitators can play in making this deeper learning more likely for students in formal learning contexts.

It may be helpful here to unpack two similarly worded concepts, transformational leadership and instrumental behavior, to avoid further confusion with the terms transformative learning and instrumental learning. As illustrated in Table 1, while these theories sound similar, they each come from distinct fields of study, are based on different precepts, and situate agency differently.

The first concept, transformational leadership, is drawn from the management literature. Transformational leadership "occurs when leaders broaden and elevate the interests of their employees, when they generate awareness and acceptance of the purposes and mission of the group, and when they stir their employees to look beyond their own self-interest for the good of the group" (Bass 1990, p. 21). In other words, it is through the act of leadership that the leader is able to "transform" their followers (employees) to rally around a common purpose. Leaders such as Nelson Mandela, John F. Kennedy, and Martin Luther King, Jr., are held up as examples of transformational leaders.

Whereas transformative learning is an introspective process whereby the individual them self is transformed, in his later work, Mezirow (2003a) defined transformative

Table 1 Overview over the terms

Term	Synopsis	Field of study	Focus of agency
Transformational leadership	The garnering of a collective's efforts toward a common purpose	Management	The individual is asserting influence on others
Transformative learning	The acquisition and embodiment of new or deeper ways of knowing	Education	An introspective process whereby the individual develops their sense of self-authorship
Instrumental behavior	Taking action to seek reward or avoid punishment	Psychology	External pressures influence individual behavior
Instrumental learning	The acquisition of skills in order to perform routine tasks	Education	Individual attainment of skills toward a self-established tangible goal

learning as "the epistemology of how adults learn to think for themselves rather than act upon the assimilated beliefs, values, feelings and judgments of others" (p. 1). This statement sits within a larger body of research, through which Mezirow offered insights into the process adult learners move through as they come to question their own knowing. It is this conception of transformative learning that we will explore through this manuscript.

The second term, instrumental behavior, comes out of the field of psychology (Pavlov 1941; Skinner 1957). The idea behind this concept is that behavior is conditioned toward or away from stimuli. The dog hears the bell and he comes for the food (Wyrwicka 1975). Quite simply, the behavior is demonstrated to achieve rewards and avoid punishment. This is similar to the carrot and stick motivation theory (McGregor 1966) evident in the work environment where management uses the means at its disposal, such as bonuses, promotions, and recognition, to reward or punish behaviors.

Instrumental learning, however, is not stimuli focused but rather focused on the acquisition of the skill (Mezirow 1990). Instrumental learning enables the learner to begin demonstrating new skills as a result of training. Examples of instrumental learning in the context of leaders in organizations include learning to conduct behavioral interviews, write and present effective performance reviews, and establish and execute on organizational goals. Typically, the motivation for learning in this fashion is to be able to fulfill a task (e.g. you learn CPR in order to become a lifeguard). Instrumental learning is important to be able to address the day-to-day operations of an organization. However, when the conditions an individual faces are radically different than anything they have experienced previously, the person consciously looks to a deeper sense of self (Dirkx 2000), a consonance between their head and heart (Dirkx et al. 2006) to understand the way forward (Mezirow 1991, 2000, 2003a).

The intent of transformative learning is to enable the learner to better understand their decision-making practices. The transformative learning process supports the individual in engaging in critical reflection (Brookfield 2000; Wiessner and Mezirow 2000; Taylor 2000b) while exploring how their values, beliefs, and motivators act as filters (Cranton 2000; Dirkx et al. 2006) that shape how the individual views themselves and their world (Daloz 2000; Kegan 2000; Mezirow 1991, 2000, 2003a). The transformative learning process enables the individual to form a stronger understanding of his- or herself. The learner, beginning with this clearer sense of self, is able to view, interpret, and engage with others in a more collaborative manner (Dirkx et al. 2006; Kegan 2000; Mezirow 1991). It is through these touch points that the learner is able to embody and demonstrate their transformation.

This generation has experienced events unlike those of prior generations, such as cyber disruption, radical warfare, and global economic impacts. Additionally, the pace of the dissemination of information has curtailed the space and time individuals have to understand, assimilate, and react, in this ever-changing environment. As Aral et al. (2013) posit in the introduction to their *Special Issue of Information Systems Research* dedicated to Social Media and Business Transformation, social media "represents one of the most transformative impacts of information technology on business, both within and outside firm boundaries." Social media has enabled messages to travel around the globe in a matter of seconds. Examples of this include something as seemingly minor as the individual consumer who posts a complaint online – only to have it go viral – to more sophisticated and subversive acts such as cyberhacking. The combination of these circumstances has highlighted the importance of transformative learning. As Kegan and Lahey (2009) frame it, "our current designs are not adequate means for promoting the *transformational* learning that is necessary to meet adaptive challenges" (p. 310). Individuals who are able to employ "a more inclusive, differentiated, permeable, and integrated perspective" (Mezirow 1991, p. 155) are better positioned to meet such challenges. The hypothesis here is that this stronger sense of self better positions the individual to engage different perspectives, perhaps reshaping their own position as they integrate this new information into their existing paradigm, while they determine their course of action. The ability to be vulnerable and open in your views is what allows the learner to take in broad and disparate information, contextualize it, and reimagine a way forward.

Facilitators of formal development programs have a unique opportunity to support their students on this journey. As Taylor (2000b) posits, "how can adult educators encourage the kind of learning that has the potential to transform the very way one perceives and understands?" (pp. 157–158). The classroom can become a space where students can explore their ways of knowing, become aware of other perspectives, and begin integrating their revised beliefs into their lives (Taylor 2000b; Brookfield 2000; Mezirow 1991, 2000).

This chapter will first explore the goals of adult education in order to situate the reader in the context within which these two theories – transformative teaching and transformative learning – are explored. The chapter then turns its attention to defining transformative learning in order to explain this deeper, introspective, and potentially durable learning. I then ask you to turn your attention to understanding how the classroom can support the transformative learning process. This exploration begins with an understanding of the importance of the interactivity as a catalyst for learning. Next, I begin to discuss how faculty can intentionally foster transformative learning in the classroom. This discussion begins by reflecting on pedagogical design considerations. We then shift our attention to address practical curriculum design considerations. Lastly I will conclude by offering some final thoughts for facilitators as to the importance and impact of endeavoring to engage students in the transformative learning process.

Goal of Adult Education

This manuscript focuses on the education of adults. This decision is, in part, rooted in Kegan's (1982) cognitive developmental framework. Lewis (2011) wonderfully lays out the framework Kegan developed which looked at perspective taking. He posits that infants and young children's perspectives are limited to their own viewpoint. In other words, they believe that everyone sees the world as they do. As children get older, they begin to recognize that others may see things differently than they do. A simple example of this is the child who, while recognizing that he wants to play, his teacher wants him to do his school work. In this stage of the development, the child is focused on getting what they want – if I do my classwork then the teacher will let me play. This transactional way of being can also be seen in the workplace, for instance, with the employee who expects to be paid a certain wage for the expertise they bring to the job. The next stage of development attends to the impact that others have on an individual. In other words, how the perceptions of others shape our own perceptions. One example of this might be that of peer pressure. This would lead one to believe that transformative learning is possible only when the individual is able to realize a sense of self-authorship in relationship to their context. It is, in my humble opinion, the precipice between this stage and the latter two stages, which focus more on self-authorship, where transformative learning is possible.

Throughout his lifetime of work, Mezirow (2003a) has consistently framed the goal of adult education in terms such as "to assist learners to more fully realize their capability for autonomous thought while pursuing their own learning objectives" (p. 4) and "to help the learner develop the requisite learning processes to think and choose with more reliable insight, to become more autonomous" (Wiessner and Mezirow 2000, p. 348). It is important to be able to distinguish between what one has been taught to believe, what one is expected to believe, and what one actually believes. He speaks of this as an *emancipatory process* where the student becomes aware of the "forces that limit our options and our rational control over our lives but have been taken for granted or seen as beyond human control" (Mezirow 1991, p. 87). A timely issue being deliberated by many, which can be used to demonstrate this, is same-sex marriage. The emancipatory process would have us tease apart what society's views are, what religious views are, and what community views are, to come to understand our own views on the subject. It is through this awareness that the student is able to reassess these "forces" and make deliberate choices for themselves.

Patricia Cranton expands upon Mezirow's introspective point of view in reflecting upon how this self-awareness enables the individual to interact more effectively with others. "Our goal of adult education, and transformative learning in particular, is individuation, the development of the person as separate from the collective, which in turn allows for the person to join with others in a more authentic union" (Cranton 2000, p. 189). A metaphor for this "authentic union" might be that of a salad, where each of the ingredients retains its individuality and yet, when combined with the others, creates something symbiotic. The process of adult education, then, is one of helping the student to discern their own point of view while enabling them to be open to, and identify value in, perspectives which may be disparate from their own. At the foundation of both Cranton and Mezirow's interpretation of adult education lies the theory of transformative learning.

What Is Transformative Learning?

> Transformative learning may be understood as the epistemology of how adults learn to think for themselves rather than act upon the assimilated beliefs, values, feelings and judgments of others. (Mezirow 2003a, p. 1)

Jack Mezirow is one of the preeminent authors in the field of transformative learning. He is, in fact, credited with coining the term "transformative learning." His work in this arena spans nearly 50 years. In his work, *Contemporary Theories of Learning*, Mezirow (2009) outlined ten phases in the transformative learning process. These include a disorienting dilemma, self-examination, critical assessment of assumptions, recognition that one's discontent and the process of transformation are shared, exploration of options, planning a course of action, acquiring knowledge and skills for implementing one's plan, provisional trying of new roles, building competence and self-confidence in new roles and relationships, and a reintegration into one's life (p. 194). Others have added their voice to this conversation, providing insights into the richness and complexity of transformational learning in adults. Notably, Kegan has spent more than three decades exploring the cognitive development aspects of transformative learning. while Dirkx body of research focused on the inner dimensions of transformative learning. These works do not contradict but rather complement and add clarity to one another. One example of how the three might work collectively to provide a clearer picture of transformative learning is in Mezirow's phase of critical assessment of assumptions. Simply from the language and his earlier texts on the phases, one would be led to believe that this is a rather dispassionate, logical appraisal. Kegan's work, however, would be attentive to, perhaps, where these assumptions came from. In other words, might those close to the individual hold similar assumptions. And Dirkx would focus on the emotions surrounding this deep questioning of what one has known to be true.

Table 2 Mezirow's ten phases of transformative learning (1991)

A disorienting dilemma
A self-examination with feelings of guilt or shame
A critical assessment of epistemic or sociocultural assumptions
Recognition that one's discontent and the process of transformation are shared and that others have negotiated a similar change
Exploration of options for new roles, relationships, and actions
Planning a course of action
Acquisition of knowledge and skills for implementing one's plan
Provisional trying of new roles
Building of competence and self-confidence in new roles and relationships
A reintegration into one's life

Transformative learning refines and reshapes one's values and beliefs (Daloz 2000; Mezirow 2009). Mezirow (1991) describes transformative learning as involving ten phases (Table 2). The process begins with the individual becoming aware of existing values and engrained belief systems (Mezirow 1991). This awareness may arise out of an exogenous shock or a more subtle, perhaps subconscious, internal disharmony where the individual can't quite reconcile how they feel about something. This practice challenges individuals to test their beliefs and values by questioning the origin and evolution of the beliefs and values. The testing of beliefs allows the individual to assess whether they maintain conviction that these beliefs are valid for them or find that an adaptation is necessary. While this process sounds logical and rational, the work of exploring beliefs and values is deeply personal and fraught with emotional attachment. This work, however, may lead to newly defined beliefs and values, or it may lead to greater insight that more firmly grounds the individual in their understanding and embodiment of their existing beliefs and values. In either case, the process does not end with the individual's greater self-awareness. It is not simply about the individual becoming more enlightened, it is about what they do with this awareness. In the final phase, according to Mezirow (1991), the process supports individuals' efforts to act upon their newly defined systems. The transformative learning process must be actualized in how the individual interacts with others from this place of knowing.

Take, as an example, a male student, let's call him Adam, who arrives at university with a belief that women are not as capable as men at mathematics. As Adam enters his Statistics course, he finds that the professor is a woman. He also notes that approximately half of his peers in the class are women, many of whom have declared Mathematics or Science as majors (a disorienting dilemma). He may become angry or embarrassed as he thinks about ways in which he's reinforced this belief, such as joking with his younger sister about her math grades (self-examination). In the ensuing weeks, as he comes to interact with the professor and his peers, he begins to call into question his belief. He might begin to think about where that belief came from – perhaps his parents, teachers in primary school, or his childhood friends (critical assessment). He may engage in dialogue with his peers and discover that they are also curious about this contradiction from what they have

Table 3 Kegan's stages of the development of the self (Lewis 2011)

Stage/name	Subject
1 (Impulsive)	Immediate perceptions, feelings, and impulses
2 (Imperial)	Enduring interests, personal agendas, and role expectations
3 (Interpersonal)	Shared meaning, mutuality, social ideals, and self-consciousness
4 (Institutional)	A self-authored system of values and standards
5 (Interindividual)	Universality, paradox, multiple selves as vehicles for connection

known to be true (recognition of shared discontent). The professor pairs him with a female student, Sara, to work on the final course assignment. In their initial meeting, he begins to reimagine how they might each contribute to the work (exploration of new roles), and they come to agreement on division of labor (planning a course of action). As they continue working together, Adam engages Sara to help him reconsider how he thinks about women's mathematical capabilities (acquiring new knowledge and skills), and he begins to treat Sara as an equal partner in the work (provisional trying of new role). As the class ends and Adam goes home for the break, he finds himself behaving in a more encouraging and supportive way toward his sister's interest in mathematics (building competence). Finally, if we were to visit with Adam at his first job out of college, we might find that he no longer believes there is any discernable difference in mathematical capability based on gender (reintegration).

Kegan's body of work looks at transformative learning through the lens of cognitive development. In *The Evolving Self*, Kegan (1982) describes six stages of development ranging from Stage 0, incorporative, to Stage 5, interindividual. As inferred from the title of the book, individuals progress through these stages over the course of their lifetime, though most do not attain Stage 5. Lewis (2011), in referring to Kegan's work, says "nearly half of all adults in Western societies appear to spend most of their chronological adulthood making sense of their lives using Kegan's stage 3 or struggling to make the transition from stage 3 to stage 4" (p. 48). Table 3 below is a distillation of Kegan's stages of cognitive development as framed by Lewis. An individual at Stage 3 is aware of their needs but is strongly influenced by their environment. The ascension to Stage 4, where one begins to truly self-author, is difficult. Similar to Mezirow's explanation, Stage 4 is where the individual understands and "owns" their values and beliefs.

Let us take Kate as an example to demonstrate the various stages Kegan has posited. As Kate enters university, she has a clear vision of what she expects from her college experience. She has determined that, as she did in high school, she will be an honors student, remaining at the top of her class. She thoroughly reads each professors syllabus and sets up meetings with each of them at the beginning of the semester to ensure that she clearly understands their expectations (Stage 2). Over the course of her first semester, she finds herself assigned to project teams in several of her classes. Initially she finds herself struggling in these peer groups as each student seems to have their own expectations and motivations for what they hope to accomplish in the class, and these do not necessarily mirror Kate's (Stage 3). With the professor's help, Kate begins to learn how to work with her peers, understanding their perspectives, articulating her own perspective, and finding common ground (Stage 4). If she were able to achieve Stage 5, Kate might be able to use her deepening understanding of herself and each of her teammates to both support their individual development as well as their development as a team.

One way to think about how these two tables (Tables 2 and 3) come together is that Kegan's cognitive developmental stages help facilitators to understand whether students might be capable of transformative learning. It is unlikely that a student who has not reached Kegan's Stage 3 will be able to engage in the transformative learning process. As noted earlier, at Stage 3 students are able to begin to understand how they are influenced by those around them. This awareness creates the opportunity for the student to begin contemplating how these influences may (or may not) support their burgeoning understanding of themselves.

Scholars steeped in transformative learning, such as Mezirow, Kegan, and Dirkx, describe transformative learning as a process and an often difficult journey. Change is hard. And with transformative learning, the individual is contemplating changing deeply held views and beliefs as well as the role(s) the individual plays in society. Mezirow (1991) encapsulates this well when he says:

> Although slippery and subject to diversions and self-deception, the transformative learning process is irreversible once completed; that is, once our understanding is clarified and we have committed to ourselves fully to taking the action it suggests, we do not regress to levels of less understanding. Reaching this point of full understanding and commitment can be extremely difficult, however, and many people do regress before they reach this point. (p. 152)

One theoretical lens through which we might begin to understand what conditions or factors support deep or lasting learning of such an introspective nature and what may hinder it may lie in the transformative learning literature. Mezirow (1991) states that "transformation can lead toward a more inclusive, differentiated, permeable, and integrated perspective" (p. 155). This process encourages the individual to maintain a stance of openness and curiosity, using information and insights to reframe existing thinking. And, as the term *permeable* suggests, this process is iterative. As the individual encounters new information, they are able to interpret and determine how this insight might again reframe their thinking. *Differentiated* means that they are able to express, in their own terms and based in their lived experiences, what their values and beliefs are, rather than explaining these tenets through the lens of what is deemed socially acceptable. Transformative learning is different than instrumental learning, described by Mezirow (1991) as "task-oriented problem solving" (p. 79) or Argyris' (1991) "single-loop thinking" where individuals, relying primarily on prior experience, seek to quickly resolve the issue at hand.

Argyris (2002) describes the movement from single-loop thinking to double-loop thinking. An example from business may help to clarify the differences among these. Within the sales function, revenue targets provide an example of single-loop thinking. The assumption is that the organization has established financial projections for the year, and these have been translated to the sales function to delineate their accountability in contributing to those organizational goals. Double-loop thinking can come into play as these sales targets are not met. Here, leadership likely reflects upon the assumptions the organizations had made about, and the information they have received from, the marketplace. They then use this information to adjust their plans moving forward. This learning is not mutually exclusive from, but rather works in tandem with, transformative learning. Transformative learning moves beyond double-loop thinking to encompass values-laden terrain, offering the learner an opportunity to reflect upon what they deem to be the right thing to do and why and, as such, can be inherently emotional and somewhat existential. Initially, the learner may not be able to put words to the reasoning behind their position, though they feel deep conviction in their decision. In that sense, values and beliefs have a spiritual dimension to them.

Transformative learning offers a construct for helping learners contemplate the "deeper emotional and spiritual dimensions of learning" (Dirkx 2000, p. 2) about themselves and the world around them (Bronfenbrenner 2005; Lewis 2011; Mezirow 1991, 2000). Single-loop thinking is effective where issues are clear and solutions evident. Where the issues are more complex and solutions are not apparent, transformative learning allows the learner to be open and inclusive in their exploration for a path forward.

Relational Aspect of Transformative Learning

While it is the individual who participates in the classroom curriculum, they do not do so in isolation. Not only do they bring with them their beliefs, values, and assumptions (Ciporen 2008; Mezirow 1991, 2000) but also the various roles that they play in society (Bronfenbrenner 2005). As Bronfenbrenner (2005) illustrates through his research of human development, there exists this permeability between the individual and their environment, where each exerts influence, intentionally or not, on the other. Figure 1 offers a visual representation of this interaction. The student sitting in the classroom is influenced by the teacher and their peers. At the same time, friends, family, community, and even societal norms also influence the student.

Urie Bronfenbrenner (2005) established a bioecological model which explores the interconnectedness of the individual and the nested structures or settings within which they exist. He describes the importance of being aware of how the impact of interpersonal relationships affects the individuals' ability to change. This model helps to explain why it is rarely enough for an individual to be able to create and sustain enduring change on their own or even when guided by materials such as a "self-help book." A simple example of this is how difficult an individual might find it to quit smoking when their social network is constituted primarily of smokers.

Ciporen's (2008) dissertation analyzed how executives assimilated learnings from an executive development program. In her research, she found that an important component of enacting change is "actively searching for support within one's environment and relationships, when trying to sustain deep change" (p. 197). An example of this is when an individual works to change a habit, such as dieting, eating

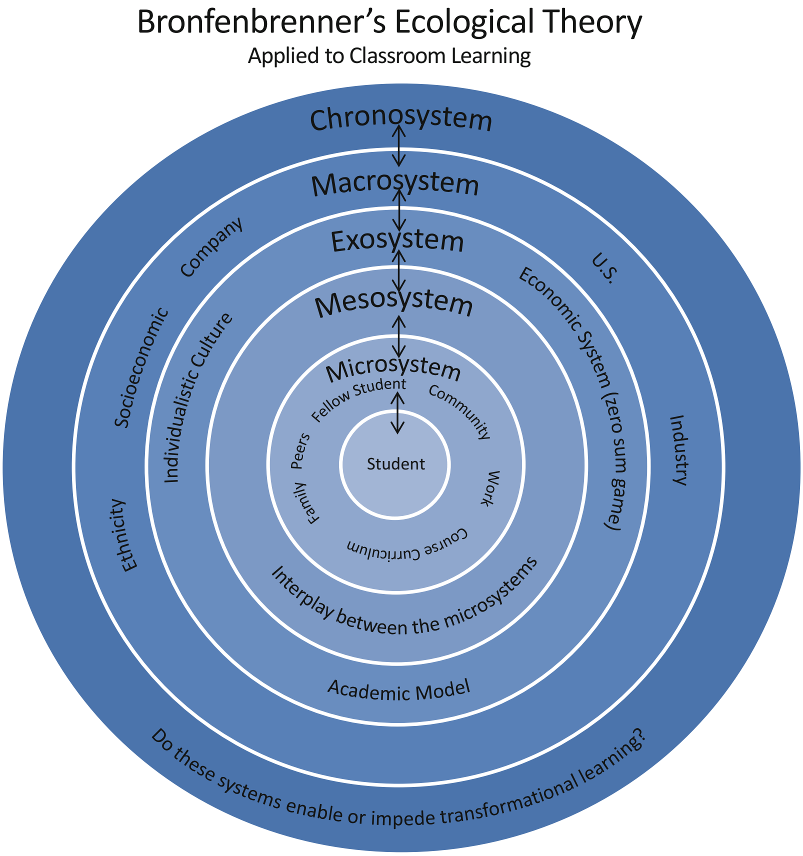


Fig. 1 Adaptation of Bronfenbrenner's model (2005)

healthy, or exercise, and they look to create support structures around them, perhaps asking a friend to exercise with them, joining a diet center, or engaging their family in changing their diets. Mezirow (1991) reinforces this saying, "the social process of perspective transformation further involves testing our new perspective on friends, peers, and mentors. Their reinforcement can be vitally important in making transformation possible" (p. 185). He goes on to say that "transformative learning opens language to both redefinition through reflection and the accretion of new layers of meaning continuously as we seek to be understood and to understand others in dialogue" (Mezirow 1991, p. 215). It is through this dialogic process that we gain clarity and strengthen our affinity to this new way of knowing. This might be a conversation that begins with "As I've been learning about (some topic), I've begun to think about it in a new way." The dialogue that ensues may further shape the individuals' understanding and standpoint on the topic.

Daloz (2000), in referring to his findings in the *Common Fire* study, says, "it is clear that if we really want to understand transformative learning richly we need to recognize the extraordinary power of the webs of relationships in which we are invariably held" (p. 115). Each of us belongs to a myriad of groups, be they friends, family, peers, organizations, communities, and so on. The relationships we have with those groups, and they with us, shape our understanding of ourselves and the world around us.

The process of transformation is an iterative one. The student, through interaction with others, comes to realize something new about themselves or the world around them. "We give meaning to experience in large part by participating in dialogue with others. This includes understanding what is valid in the assertions made by other and achieving consensual validation for our own assertions" (Mezirow 1991, p. 58). It is through our exchange of ideas with others that we become open to the possibility of other ways of viewing the world. From this place of tension between what one had known to be true and new possibilities for truth, the student can then reflect upon what that new learning means to them and whether and how they will incorporate the learning into their life.

Vital to this exploration of difference is infusion of diversity, where the students are both supported and challenged to look at things from a variety of perspectives. Through this, the students "do the work and learning of asking provocative questions, challenging assumptions, surfacing contradictions, and confronting themselves and one another" (Mirvis 2008, p. 176). Mezirow (1991) claims that "the diversity helps to assure that there will be more than one learner in any given phase, so that the chance of forward movement is enhanced for everyone. There is some evidence to suggest that those just one phase ahead can be more influential in fostering transformative changes than those more advanced. Modeling is extremely useful in bringing about major transformative changes" (p. 218). At the same time, the literature also speaks to the importance of creating learning spaces or holding environments (Ciporen 2008; Hoover et al. 2010; Kolb and Kolb 2005; Lewis 2011) where students could safely explore differences, as being integral to the transformative learning process. Throughout the classroom experience, whether that be a day or a full semester, students can work to support and encourage one another's learning.

Fostering Transformative Learning in the Classroom

> The ideal conditions outlined by Mezirow as being essential for fostering transformative learning include the need to promote a sense of safety, openness and trust; the importance of instructional methods that support a learner-centered approach and encourage student autonomy, participation and collaboration; and the importance of activities that encourage the exploration of alternative personal perspectives via problem posing and critical reflection. (Taylor 2000a, p. 312)

As facilitators contemplate creating a curriculum that supports transformative learning in adults, there are many considerations to take into account. Taylor (2000b), in talking about the facilitator's role in the transformative learning process, has this to say:

> Learners work together in groups to articulate their existing beliefs, try out new ideas, and explore the contradictions that may ensue. In this way, as well as through instructor-facilitated discussion, learners can work toward constructing new meaning that takes into account a variety of perspectives. Paradoxically, providing authoritative ready-made meanings (such as those of the teacher or texts) may not challenge adults' existing beliefs, whereas using their ideas as a starting place for further exploration is likely to raise to awareness the assumptions that are often hidden even from themselves, thus encouraging self-questioning. (p. 166)

In *Teaching Smart People How to Learn*, Argyris (1991) highlights several concerns about the student that may mitigate the facilitator's impact in enabling transformative learning for the student. These include:

- Highly skilled professionals are frequently very good at single-loop learning. After all, they have spent much of their lives acquiring academic credentials, mastering one or a number of intellectual disciplines, and applying those disciplines to solve real-world problems. But, ironically, this very fact helps explain why professionals are often so bad at double-loop learning (p. 100).
- Because many professionals are almost always successful at what they do, they rarely experience failure. And because they have rarely failed, they have never learned how to learn from failure (p. 100).
- One of the paradoxes of human behavior, however, is that the master program people actually use is rarely the one they think they use. Ask people in an interview or questionnaire to articulate the rules they use to govern their actions, and they will give you what I call their "espoused" theory of action. But observe these same people's behavior, and you will quickly see that this espoused theory has very little to do with how they actually behave (p. 103).
- Defensive reasoning encourages individuals to keep private the premises, inferences, and conclusions that shape our behaviors and to avoid testing them in a truly independent, objective fashion (p. 103).

Each of these presents a challenge that the facilitator must be aware of and work to address, if they hope to impact this deeper learning. Transformative learning involves being able to examine our lived experiences for insights into who we've been in order to more fully self-author who we are becoming. This process includes becoming aware of, and critically assessing, the gap between espoused and lived beliefs in order to be able to behave in a manner that is consistent with our own internal compass. This work is accomplished through self-reflection, by casting a light on our stories and using that light to see them in a new, perhaps more objective, way.

Ciporen (2008) submits that "when the goal of a program is to foster personally transformative learning, the findings suggest that effective training design goes beyond relevant curriculum and effective instruction and involves the creation of a holding environment that incorporates significant interactions among participants and faculty" (p. 185). A tenet of the curriculum becomes creating a safe space where the learner can actively reflect upon their learning and can experiment with and practice "new behaviors, thoughts, and attitudes" (Ashford and DeRue 2012, p. 150), creating new conceptual frameworks that can transcend context (Kolb and Kolb 2005).

(Dirkx 2006) appears to take more of an inside-out, or feelings-based, approach to the work of transformative learning, declaring his focus as exploring how our thoughts, beliefs, and feelings shape our perspective of, and our role in, the world around us. This speaks of the importance of creating space and a safe environment to explore thoughts, ideas, and feelings associated with the learning. He encourages facilitators to be intentional in designing a curriculum that attends to these inner aspects of the learning experience (Dirkx et al. 2006). As an example, as you hear a poem being read, what feelings does it elicit? Dirkx suggests that any topic of study can engage the soul. And, in doing so, the learning takes on a different import, reshaping or reaffirming our understanding of ourselves and the world (Dirkx et al. 2006). How can we, as facilitator's, create classroom experiences that challenge students to reflect upon, struggle with, and, ultimately, broaden and deepen their ways of knowing?

The intention of the facilitator is to create an environment where the student can become aware of, and reflect on, who they are (are becoming) as an individual. Kasl and Elias (2000) speak of this as "our practice as facilitators teaches us that transformation in the context of consciousness is facilitated most effectively when we nurture interdependent processes of discernment and critical reflection" (p. 231). It is through the iterative process of awareness and reflection that the student is able to begin to internalize what the new learning means to them and how they will incorporate it into their way of being. The facilitator plays a pivotal role in this development, both by providing a framework and tools through which the student can reflect and by encouraging students to enact the practice of reflection (Mezirow 2003b).

Dirkx et al. (2006) remind facilitators that this deeper learning can be challenging as it typically asks individuals to call into question entrenched ways of being and knowing. This may be why when asked to reflect on the teachers or the classroom lessons that have had the greatest impact on us, we tend to recall those that caused us to pause and reflect on the impact of the experience on our life. While Kolb and Kolb (2005) point to the fact that "such deep learning is facilitated by deliberate, recursive practice on areas that are related to the learner's goals" (p. 208). These two concepts are intertwined. The point that Kolb and Kolb are making is that the learning can be enhanced through the process of practice, where the student intentionally works to address the gap that they have identified. Herein lies the tension between where the student is on their developmental journey and to what they aspire.

The educators' role is to "help people see what has been uncritically accepted" (Cranton 2000, p. 198). In the space of transformative learning, what has been "uncritically accepted" are typically the values, beliefs, and motivators of the individual, topics which are very personal. Because of this, it is important that the facilitator heed Kegan's (2000) caution, "we cannot overattend to where we want the student to be... and ignore where the student is" (pp. 60–61). While the facilitator will have a clear sense of their expectations for the students, it is only by understanding where on the development journey the facilitator has joined the student that can they assess the students' progress.

Transformative learning in the classroom requires the facilitator to shift their focus from curriculum-centered to learner-centered education. This puts the curriculum in service of the individual's development (Bilimoria and Wheeler 1995). The emphasis is on creating a curriculum that encourages the student to fully engage in the transformative learning process. Further, this curriculum must meet the learner where they are on their transformative learning journey and provide them with opportunities to continue to progress.

In referring to Nouwen's work, Kolb and Kolb (2005) talk of creating a learning space where "students and teachers can enter into a fearless communication with each other and allow their respective life experiences to be their primary and most valuable source of growth and maturation" (p. 207). It is through mining our experiences that we are able to come to understand ourselves more deeply. Modeling by the facilitator (Brookfield 2013) can create an environment where each student is able to fully express themselves and to be open to learning from the different perspectives that others have to offer (Cranton 2000).

The educator's role is one of "fostering a qualitative evolution of mind that actually creates the distinction between the socialized mind and the individuals own meaning-making" (Wiessner and Mezirow 2000, p. 351). Facilitators endeavoring to support the transformative learning process for their students need to be able to help the students to begin to identify the separation between what they have been taught to know and their own knowing. When we "explicitly teach with developmental intentions" (Taylor 2000b, p. 167) and "provide the kinds of support and challenge that, taken together, have been shown to facilitate new ways of thinking and knowing" (Taylor 2000b, pp. 155–156), there is a greater likelihood for students to experience transformative learning.

Effective adult learning programs recognize that the participant brings into the learning environment the many facets of themselves, including their feelings about learning, their roles or identities, and their lived experience, to name a few. These programs appreciate the multifaceted learner and strive to build a learning experience that acknowledges and engages the complex being, enabling them to reexamine their viewpoints (Belenky and Stanton 2000; Brookfield 2013; Kolb and Kolb 2005). The shift in curriculum design from a program seeking to impart skills and one aimed at encouraging the participant to learn who they are as an individual is significant. In some ways this becomes more individualized where the facilitator works to understand where the participant is on their developmental journey, what they need in order to continue to progress, and how to create an environment and learning experiences that will encourage that progress (Bilimoria and Wheeler 1995; Kegan 2000; Taylor 2000b; Mezirow 2003b).

Pedagogical Design Considerations

> Equally important to establishing a (transformative) learning situation are conditions such as the need for the teacher to be trusting, empathetic, caring, authentic, sincere, and demonstrative of high integrity; emphasis on personal self-disclosure; the need to discuss and work

> through emotions and feelings before critical reflection; the importance of feedback and self-assessment; the need for experiential hands-on learning activities; and the importance of solitude and self-dialogue. (Taylor 2000a, p. 313)

Bronfenbrenner's ecological theory model (2005), Figure 1, may offer two potential keys to furthering the understanding of the efficacy of transformative learning in classroom. First, as we move inward on the model, the facilitator can explore the influences exerted by the various systems that may inhibit or encourage transformative learning. As an example, there may be pressure from the micro- and meso-systems for these individuals to continue to behave in a manner that these groups have become accustomed to. Conversely, the facilitator may design constructs to support the transformative learning process, which encourage exploration of new ways of knowing. A second potential key lies in discerning what enables the individual to realize the transformative learning process in the face of this pressure, as well as what causes the individual to mitigate or abandon their development as a result of this pressure.

Mirvis (2008) speaks of how autobiography can "help to surface unexamined and sometimes repressed feelings about one's life course and to lift them up for fresh consideration" (p. 177). Similarly, Dirkx (2000) talks about "fostering learners' insight into those aspects of themselves and their worlds that remain hidden from conscious awareness, yet serve to influence and shape their sense of self, interpretations of their external world, and their day-to-day actions" (p. 4). Facilitators enable this introspection through the practice of telling life stories or critical incidents. This storytelling may happen within the classroom, with peers, or individually – through self-reflection or journaling.

Reflection, "the most important element of continued consciousness raising" (Mirvis 2008, p. 185), enables the learner to "truly have the experience" (Ashford and DeRue 2012, p. 151). This means that the student is able to separate themselves from the experience and consider it more objectively. This process may lead the learner to identify a gap between how they perceive themselves and how they are behaving (e.g., the difference between words, thoughts, and deeds). As the learner seeks to bridge this gap, which Dirkx (2000) notes often feels like "swimming upstream," the learner may "begin to experience an alignment of our outer lives with the movement of individuation" (p. 5). In other words, as the learner steps more fully into himself or herself – trusting their inner voice – they may find that it becomes easier to know how to navigate the world around them.

Ashford and DeRue (2012) and Johnson et al. (2012) highlight the importance of having the opportunity to test new behaviors and practice integrating them into the individuals' way of being. A peer group, such as fellow students immersed in the same curriculum, can offer a safe place for the student to explore and try on new ways of being.

"Development is, of course, an ongoing process and not a destination; at some point, however, adults may look back and discover that the totality of their experience seems somehow greater than the sum of the small shifts that have accrued – that they have, in some substantive way, changed. As Daloz observed, 'nothing is different, yet all is transformed'" (Taylor 2000b, p. 159). With each exercise, with each experience, through each reflection, the student is unlocking another greater understanding of themselves and the way in which they interact with the world around them.

The transformative learning process makes frames of reference, the lenses through which we see ourselves and the world around us, more permeable. The idea being that as we come to a stronger sense of self-awareness, we are better able to engage with others from a position of inquiry and curiosity. The concepts presented by (Dirkx et al. 2006; Kolb and Kolb 2005) are interwined. Outcomes of transformative learning are discussed as greater appreciation for difference (Mezirow 1991; Taylor 2000a), tolerance for ambiguity (Taylor 2000a), and greater self-trust (Taylor 2000a). The idea being posited here is that individuals who are able to act from this frame of reference are likely to make better decisions.

Course Design Considerations

> Education Is the Kindling of a Flame, Not the Filling of a Vessel: Socrates

Transformative teaching enables learners to discover themselves and continue the inquiry outside of the classroom where new experiences are viewed as learning opportunities. Therefore, it is important to structure courses that foster an environment where students feel safe to explore, try on, struggle with, and consider the topic being discussed. This deepens student comprehension of how course material might enable them to interact with their world in a more meaningful and effective way. Harkening back to the concept of transformative learning, this ties to Mezirow's idea of the individual identifying new ways of being in the world. Teaching, in this way, is not about ensuring that students know the answer but, rather, it is about helping them to discern ways of thinking about the issue.

In an increasingly complex world, there is rarely an absolute right answer. The process of further exploring the precepts that led to the initial answer exposes the learner to more fully understand and support their conclusion. This process allows the student to explore how their choices are shaped by external influences as opposed to being self-authored. Therefore, the role of a teacher is to provide students with tools to help them understand how their values, beliefs, motivations, and experiences influence the way they view an issue and, as a result, posit possible solutions. Armed with this self-knowledge, the teacher is then able to support their students in discovering how to engage others in meaningful dialogue that can further shape the student's thinking on issues.

Because individuals learn in different ways, in order to support the transformative learning process, the classroom needs to offer a variety of modalities through which the student can engage with the topic. It is, therefore, recommended that the teacher strive to provide a curriculum that is multifaceted. Suggestions for accomplishing this include:

- Infusing the classroom teaching with research and theory that support the topic.
- Sharing your own journey of practicing and deepening your understanding of the topic as a model for the students.
- Incorporating storytelling is a powerful way of conveying concepts in a way that is tangible and real.
- Introducing video, guest speakers, and case studies enable students to interact with the stories of individuals who have a demonstrated relationship to the topic being taught.
- Critical reflection offers the student an opportunity to discern their relationship to the topic by ruminating on how they might apply these learnings in their own lives.

It is important to make the effort to create a classroom environment that can become a safe container where students feel free to question, explore, and reassess assumptions that they have held in a way that is open and honors the beliefs of others. This process furthers their development as students, leaders, and human beings. Through this journey of self-discovery, students become more attuned to the journey of others. Therefore, they are better able to approach areas of difference from a position of open curiosity, seeking to appreciate how these differences can create an opportunity for greater learning. Students are able to apply these lessons in their communities, workplaces, and families.

Below I offer an example of how one might arrange the introductory section of their syllabus in order to clarify for students the structure and intention of the course. While this example is for a course specifically designed to address leadership development, it offers a template that can be adopted for other curricular needs.

Sample Syllabus Introduction

The course will follow a seminar format that emphasizes self-development and a learning community. In this seminar format, the instructor will facilitate discussion (dialogue, critique, and inquiry). You are expected to be conversant in the articles and engage in meaningful discussion. We will focus on engaging richer dialogue and skill development. Students must be prepared to discuss *all* assigned articles and offer contributions in terms of critical thinking, analysis, insight, and effective communication of ideas. Students who are not prepared and contributing to the learning environment will be counseled about the need to improve their preparation and contribution.

To prepare for this class, you should:

(a) Read all assigned articles.
(b) Analyze each article to identify the key message/contribution.
(c) Integrate across articles to address how the articles "speak to" one another.
(d) Have specific ideas for how you would apply these concepts in your leadership of self and others.

Expectations and Grading Rubric for Written Assignments

The grading rubric indicates what comprises a strong submission. A less strong assignment would incorporate one or more of these things to a lesser degree (scaled on a 1–3 scale). A strong assignment would fully explore all three dimensions:
Curriculum based – The student grounds their response in concepts covered in the curriculum.
Evidence – This writing draws upon personal experiences, relevant information from the readings, and class discussion.
Actualize – This writing explores the implications for the student's leadership by demonstrating how the concepts learned would be applied in their professional and personal life.

Assignment/deliverable	Grade %
1. Weekly writing assignments	25
2. Final paper	30
3. Participation – classroom and subgroup	25
4. Midterm paper	20

Further clarification of each of the written assignments includes:

Weekly writing assignments – Each week the student will be required to submit a short response (approximately one page in length) in which the student explores their relationship to the concept covered in the classroom. This exploration might highlight the student's struggle to understand the concept, their thoughts on how they might experiment with the concept, or their attempts at having utilized the concept.

Midterm paper – This paper enables the student to explore the ways in which this course is furthering their understanding of themselves and their leadership, as well as to identify questions and concerns about implementing learnings beyond the classroom. This paper should draw upon course concepts, assigned exercises, and learnings from small group discussions. This paper should be 5–10 pages in length.

Final paper – This paper allows the student to reflect on learnings over the course of the semester as they build a year-long actionable plan. This plan allows the student to:

- Map out the ways in which they intend to integrate their learnings into their life.
- Identify methods, such as engaging mentors and peers, in feedback.
- Monitor their progress in embedding the behaviors into their life going forward.

Conclusion

Similar to a physical excursion, the individual does not endeavor on this journey without baggage. Not only do they bring with them their beliefs, values, and assumptions and the origins of each of these (Ciporen 2008; Mezirow 1991, 2000) but also the various roles that they play in society (Bronfenbrenner 2005). As Mezirow (2000) alludes to in the above passage, the final stage of transformative learning is reintegration, bringing this learning back into society. However, achieving this stage is, as he points out, incredibly difficult. One cannot unlearn what they have discovered about themselves. Yet, because this process involves calling into question deeply held values and beliefs and because of the risks potentially associated with enacting these new views within the networks that the individual is entrenched, they may choose (consciously or subconsciously) not to progress. How then can facilitators help to ensure that this difficult process occurs, such that students are able to reintegrate the learning into their way of being and how they enact their learning? How might we support students in developing this "more inclusive, differentiated, permeable, and integrated perspective" (Mezirow 1991, p. 155)? We must seek to understand the conditions under which we, as facilitators, enable the transformative learning process for those we have the privilege of teaching.

Schuyler (2012), citing Boyatzis (2006), supports the assertion that the models that currently exist to assess change are insufficient to address the complexity of transformational learning. Literature reviews of transformative learning theory (Snyder 2008; Taylor 2000a, 1997) note that an avenue for future research includes understanding the facilitator's influence on the transformative learning process. This literature stream further notes that most of the studies done to date have asked the participants to reflect retrospectively upon their learning experience, rather than to follow the participant through the process. Finally, the literature suggests that methods other than interview, such as those that allow the researcher to observe and investigate the transformative learning process as it is occurring (Taylor 1997), would further our understanding of the facilitator's impact on that learning. Specifically, it is Taylor's (2000a) call that "If this theory of adult learning is to remain of significance to adult educators it must continue to inform adult educators in ways that they can improve their teaching practically and theoretically" (p. 286). "This means not only identifying what learning strategies are essential but what conditions need to be present internally as well as externally for the process to unfold" (Taylor 2000a, p. 292). Deeper focus on these phenomena may offer insight into how facilitators could make it more likely that the difficult process of transformative learning more routinely occur.

Daloz (2000) reminds us that "deep change takes time, strategic care, patience, the conviction that we are not working alone, and faith" (p. 121). Through this chapter I hope to have offered facilitators and students constructs for improving the transformative learning process in the classroom such that they may fulfill Mezirow's (2000) aspirations for transformational learning theory by enabling individuals who are able to lead themselves and others from an integrated sense of self. I also hope I have been able to offer facilitators insights into the query I frame as, "how are facilitators able to plant the seeds of transformative learning and nurture and tend to those seedlings over the course of their time with the student, such that the seedling has the opportunity, at some point, to bloom?"

This chapter has endeavored to explain to its readers how transformative teaching can support transformative learning in the classroom. I began by laying out the theories of transformative learning and transformative teaching. Next we turned our attention into the classroom, first investigating how the classroom setting is a ripe environment to encourage the relational aspects of transformative learning. Finally, I discussed the role facilitators can play in shaping the curriculum and designing experiences that engage the student in this deeper learning.

Cross-References

► Identity and Meaning in transformation
► Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey
► Self-Knowledge: Master Key to Personal Transformation and Fulfillment
► The Co-created Classroom: From Teacher/Student to Mentor/Apprentice
► The Truth About Transformation: One Person Can Change the World

References

Aral S, Dellarocas C, Godes D (2013) Introduction to the special issue – social media and business transformation: a framework for research. Inf Syst Res 24:3–13

Argyris C (1991) Teaching smart people how to learn. Harv Bus Rev 69:99–109

Argyris C (2002) Double-loop learning, teaching, and research. Acad Manag Learn Edu 1:206–218

Ashford SJ, Derue DS (2012) Developing as a leader: the power of mindful engagement. Organ Dyn 41:146–154

Bass BM (1990) From transactional to transformational leadership: learning to share the vision. Organ Dyn 18:19–31

Belenky MF, Stanton AV (2000) Inequality, development, and connected knowing. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco

Bilimoria D, Wheeler JV (1995) Learning-centered education: a guide to resources and implementation. J Manag Educ 19:409–428

Bronfenbrenner U (2005) Making human beings human: bioecological perspectives on human development. Sage, Thousand Oaks/London/New Delhi

Brookfield S (2000) Transformative learning as ideology critique. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco

Brookfield S (2013) Powerful techniques for teaching adults: the essence of powerful teaching. Jossey-Bass/a Wiley Imprint, San Francisco

Ciporen R (2008). The role of personally transformative learning in leadership development: a case study examining the transfer of learning from an executive education program. Dissertation, Columbia University

Cranton P (2000) Individual differences and transformative learning. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco

Daloz LAP (2000) Transformative learning for the common good. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Dirkx JM (2000) Transformative learning and the journey of individuation. ERIC Digest 223:1–7
Dirkx JM (2006) Engaging emotions in adult learning: a jungian perspective on emotion and transformative learning. New Direct Adult Cont Educ 2006(109):15–26. https://doi.org/10.1002/ace.204
Dirkx JM, Mezirow J, Cranton P (2006) Musings and reflections on the meaning, context, and process of transformative learning: a dialogue between John M. Dirkx and Jack Mezirow. J Transform Educ 4:123–139
Hoover JD, Giambatista RC, Sorenson RL, Bommer WH (2010) Assessing the effectiveness of whole person learning pedagogy in skill acquisition. Acad Manag Learn Edu 9:192–203
Johnson SK, Garrison LL, Hernez-Broome G, Fleenor JW, Steed JL (2012) Go for the goal(s): relationship between goal setting and transfer of training following leadership development. Acad Manag Learn Edu 11:555–569
Kasl E, Elias D (2000) Creating new habits of mind in small groups. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Kegan R (1982) The evolving self: problem and process in human development. Harvard University Press, Cambridge, MA
Kegan R (2000) What "form" transforms? A constructive-developmental approach to transformative learning. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Kegan R, Lahey LL (2009) Immunity to change: how to overcome it and unlock potential in yourself and your organization. Harvard Business Press, Boston
Kolb AY, Kolb DA (2005) Learning styles and learning spaces: enhancing experiential learning in higher education. Acad Manag Learn Edu 4:193–212
Lewis PM (2011) The discerning heart: the developmental psychology of Robert Kegan. Philip Lewis.
Mcgregor D (1966) The human side of enterprise. MIT Press, Cambridge, MA
Mezirow J (1981) A critical theory of adult learning and education. Adult Educ Q 32:3–24
Mezirow J (1990) How critical reflection triggers transformative learning. In: a. Associates JM (ed) Fostering critical reflection in adulthood (pp 1–20). Jossey Bass
Mezirow J (1991) Transformative dimensions of adult learning. Jossey-Bass, San Francisco
Mezirow J (2000) Learning to think like an adult: core concepts of transformation theory. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Mezirow J (2003a). Epistemology of transformative learning
Mezirow J (2003b) Transformative learning as discourse. J Transform Educ 1:58–63
Mezirow J (2009) An overview on transformative learning. In: Illeris K (ed) Contemporary theories of learning: learning theorists... in their own words. Routledge, New York
Mirvis P (2008) Executive development through consciousness-raising experiences. Acad Manag Learn Edu 7:173–188
Palmer PJ (1998) The courage to teach: exploring the inner landscape of a teacher's life. Jossey-Bass, San Francisco
Pavlov IP (1941) Conditioned reflexes and psychiatry. International publishers, New York
Schuyler KG (2012) Increasing leadership integrity through mind training and embodied learning. In: Inner peace, global impact: Tibetan Buddhism, leadership, and work. Information Age Pub, Charlotte
Skinner BF (1957) The experimental analysis of behavior. Am Sci 45(4):343–371
Snyder C (2008) Grabbing hold of a moving target identifying and measuring the transformative learning process. J Transform Educ 6:159–181
Taylor EW (1997) Building upon the theoretical debate: a critical review of the empirical studies of Mezirow's transformative learning theory. Adult Educ Q 48:34

Taylor EW (2000a) Analyzing research on transformative learning theory. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Taylor K (2000b) Teaching with developmental intention. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Wiessner CA, Mezirow J (2000) Theory building and the search for common ground. In: Mezirow J (ed) Learning as transformation: critical perspectives on a theory in progress, 1st edn. Jossey-Bass, San Francisco
Wyrwicka W (1975) The sensory nature of reward in instrumental behavior. Pavlo J Biol Sci 10:23–51

Teaching Creativity and Spiritual Meaning Using Insights from Neurobiology

Michelle French-Holloway

Contents

M. French-Holloway (✉)
Department of Business Administration, Mount St. Mary's University, Los Angeles, CA, USA
e-mail: mfrench@msmu.edu

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_58

Abstract

More than half of post-secondary students attend college with the goal of discovering their purpose and meaning in life. Given the hunger felt by both college students entering the workforce and by established workers to find a meaning in life that is greater than the self, it is imperative that management instructors and practitioners have tools to help future employees and managers develop this asset. Neuroscience and cognitive science research provide rich data on how the brain learns and ways to help students both retain new information and develop novel insights. The chapter will cover how the brain learns, the process for the transfer of learning to creative applications, and the practical strategies that correlate with this research to improve students' successful learning. This information will be applied to teaching students to identify meaning in life, as well as develop ways to experience meaning in work.

Keywords

Neuroscience · Meaning · Calling · Teaching · Learning · Workplace spirituality

Introduction

This chapter is applicable for practitioners and professionals in education, including faculty from community college through graduate school, administrators, curriculum designers, and graduate students. This chapter will use the R.A.D. model of learning and teaching (Willis 2014) to provide readers with an enhanced understanding of how the principles of neuroscience can be applied to teaching and learning. Readers will acquire a toolkit of strategies readily applicable to their school, classroom or practice that can help students progress toward a meaningful career.

A Teaching Example: What Not to Do

Imagine a college course where the instructor speaks in a monotone voice for approximately an hour and a half every class session. Occasionally he asks the class a question. No one responds, so he answers the question himself and keeps talking. Students are using the computers in this technology classroom to play games, shop online, and surf the Internet. In the back row a student is nodding off to sleep. Other students are texting on their smartphones. The nondescript white slides with black writing and no graphics continue to scroll by on the overhead screen. The instructor talks; no one listens. The professor lectures; the students do not learn. Eventually the class ends and the students, with a sudden burst of vitality, rush to gather their belongings and quickly exit the room. "I wonder what's wrong with the students these days," the instructor mutters to himself as he collects his briefcase and walks back, defeated, to his office.

How does this classroom setting make you feel? What would it be like to be a student in this class? What happens when instructors do not use effective teaching tools?

Review of Transformational Teaching

As instructors, we have the potential to transform our teaching using learnings from neuroscience. The teaching enterprise in and of itself has the power to transform our students' lives for the better. We can do this in a myriad of ways, especially through transformational teaching.

There is a rich package of theoretical background to unpack in order to understand the depth of transformational teaching. Transformational teaching's theoretical underpinnings include constructivism, social constructivism, social cognitive theory, transformative learning theory, intentional change theory, and transformational leadership (Slavich and Zimbardo 2012). Central to our teaching is student learning. "A more common term, found mostly in adult education literature, is transformative learning" (Boyd 2009, p. 52). Transformative learning is defined by Meziro and Associates (2000) as "the process by which we transform our taken for-granted frames of reference to make them more inclusive, discriminating, open, emotionally capable of change and reflective so that they may generate beliefs and opinions that will prove more true or justified to guide action" (p. 7). So what precisely does it mean to teach transformationally?

While there are a variety of definitions, one I particularly like is Rosebrough and Leverett's (2011) definition of transformational teaching as "an act of teaching designed to change the learner academically, socially, and spiritually" (p. 16). Instructors can impact students in positive ways across every area of their lives. Robert E. Quinn broadly describes transformational teaching by stating that "Great teachers call ordinary students to embrace their own greatness" (cited in Anding 2005, p. 488).

First used by Slavich (2005, 2006), the term "transformational teaching" describes "the belief that instructors can promote meaningful change in students' lives if they view courses as stages upon which life-changing experiences can occur" (Slavich and Zimbardo 2012, p. 576). This early definition centered on promoting student learning and personal development by implementing group-based activities that involve experiencing key course concepts while reflecting on the learning process. Slavich posited that when such group activities are implemented with structured guidance from an instructor, these experiences do not merely "impart information to students but rather [change] something about how students learn and live" (2005, p. 3).

More recently, Slavich and Zimbardo (2012) have defined transformational teaching as the "expressed or unexpressed goal to increase students' mastery of key course concepts while transforming their learning-related attitudes, values, beliefs, and skills" (p. 576). It is important as well to achieve "spiritual goals in the classroom" (Rosebrough and Leverett 2011, p. 30). To accomplish this, the transformational teaching "process involves creating dynamic relationships between teachers, students, and a shared body of knowledge in a way that promotes student learning and personal growth" (Slavich and Zimbardo 2012, p. 576).

Transformational teaching emphasizes relationships between the teacher and students, as well as relationships among the students. Transformational teachers are "intellectual coaches who create teams of students who collaborate with each other and with their teacher to master bodies of information" (Slavich and Zimbardo 2012, p. 576). According to Rosebrough and Leverett (2011) transformational teaching provides an education that "begins with learners and their transformation, where the teacher-student dynamic is spotlighted, where the academic and the social are meant to be connected and combined, and where the social is once again joined with spiritual meaning and transcendence" (p. 14).

At the core of the concept of transformational teaching is the idea that instructors have the ability to guide students toward making self-discoveries that shape their fundamental beliefs about themselves. As Slavich and Zimbardo (2012) aptly state:

> In contrast with traditional lecturing, which involves a largely unidirectional transfer of information from an instructor to students, transformational teaching involves conceptualizing teachers as change agents who lead students in the process of collaborating with one another and with their instructor to develop as learners and as people. (p. 577)

Transformational teachers accomplish this by engaging students in a process of interdependent discovery and giving students time to discuss the learning strategies they use and the knowledge they generate (Slavich and Zimbardo 2012). More than a method of classroom instruction with some specific activities that can be used to achieve its goals, transformational teaching is in reality a broad framework for understanding the total instructional setting and how key members of that environment can interact to maximize students' intellectual and personal growth. Transformational teaching "involves examining the roles that teachers may play in transforming students' attitudes, values, and beliefs, as well as the responsibility that students have for shaping their own and their peers' learning experience" (Slavich and Zimbardo 2012, p. 577). The reconsideration of what traditionally occurs in a teaching environment calls for broadening teaching objectives to include "enhancing students' attitudes toward learning, and their beliefs regarding their capability to acquire, synthesize, analyze, and use knowledge in a manner that is relevant and meaningful for their lives" (Slavich and Zimbardo 2012, p. 577).

The three overarching transformational teaching principles are: (1) facilitate students' acquisition and mastery of key course concepts; (2) enhance students' strategies and skills for learning and discovery; and (3) promote positive learning-related attitudes, values, and beliefs in students (Slavich and Zimbardo 2012). In this approach to teaching, "Instructors assume the traditional role of facilitating students' acquisition of key course concepts, but they do so while promoting students' personal development and enhancing their disposition toward learning. . .by implementing the core methods of transformational teaching" (Slavich and Zimbardo 2012, p. 576). Transformational teaching's six core methods are: (1) establishing a shared vision for a course; (2) providing modeling and mastery experiences; (3) intellectually challenging and encouraging students; (4) personalizing attention and feedback; (5) creating experiential lessons that transcend the boundaries of the classroom; and (6) promoting ample opportunities for preflection and reflection (Slavich and Zimbardo 2012). Additional teaching method will be discussed later in this chapter.

The Neurobiology of Learning

What techniques do you use in your course to gain and keep students' attention? The answer to this question is important, as it will help to determine the effectiveness of your teaching. Let's find out what neuroscience can offer to improve teaching and learning.

Two Big Ideas of the Neuroscience of Learning

- The brain functions to promote survival of the animal and the species.
- To do so, the human brain has evolved to seek patterns and pleasure.

Neurological research gives educators tools to teach students to learn more effectively, think creatively, and develop personally (Willis 2014).

Overview of Neuroscience Research on Ways to Teach for Improved Learning

Recent neuroscience and cognitive science research reveal insights into ways educators can help students learn better and improve creativity through higher-process thinking (Willis 2013). Teaching techniques that stir students' executive brain functions can help students develop innovative ways to find and fulfill their meaning in life and work. Neurological research gives educators tools to teach students to learn more effectively, think creatively, and develop spiritually.

While there are a number of models describing the relationship of the brain's structures and processes to learning, in this chapter we will discuss the R.A.D. model of learning and teaching put forward by physician and educator Judy Willis. Each letter in the acronym R.A.D. represents both a physical feature of the brain and a word that describes how this brain feature connects to learning and teaching. The letter "R" stands for *Reach* students' attention and the brain's Reticular Activating System (RAS). The letter "A" stands for cultivate a positive *Attitude* and reduce stress, as well as the brain's Amygdala. The letter "D" stands for *Develop* memory and the brain chemical Dopamine. The first step in understanding how the brain learns is to explore each of the three main concepts in the R.A.D. model of learning and teaching (Willis 2014).

R = Reaching Students' Attention

To teach effectively, educators must first get, and keep, students' attention. Educators attract and sustain students' attention by ensuring that the information they need to learn passes through their RAS. The RAS is in the lower part of the posterior brain and filters all incoming stimuli and makes the "decision" as to what people attend to or ignore (Willis 2014). How does the RAS select which information passes through the filter to gain access to the conscious brain? What are the criteria?

Gaining Students' Attention

Educators can ensure that the information students need to learn passes through their RAS. This can be achieved by presenting information in a novel or curiosity-provoking manner. The RAS first prioritizes novel stimuli. If there is a change in the environment, the related sensory input will likely pass through the RAS. Neuroscience tells us that novelty and pattern change promote gaining attention (Willis 2014).

Gaining Students' Attention: Teaching Strategies

Novelty and Curiosity: Present information in a novel or curiosity-provoking way so that the RAS selects the educator's input over all other competing stimuli.

- Walk backwards
- Suspenseful pause
- YouTube videos
- Color
- Movement
- Instructor's appearance
- Curious items
- Sound
- Alterations in the classroom
- Advertise upcoming lessons
- Animoto.com or Masher.com
- Digital Tools for Students: has dozens of digital tools and images that can be used to provoke curiosity about a lesson or unit: http://studentdigitaltools.wordpress.com/

Sustaining Students' Attention

Neuroscience tells us that novelty and pattern change promote attention, whereas the possibility of reward sustains attention. Keeping students' attention requires prediction. After curiosity has been provoked, students will sustain attention if they are asked to predict what the curiosity stimulating sight, sound, object, statement, picture, question, etc. has to do with the lesson. Prediction = an unknown answer. When students guess what the curious object means and how it relates to the topic of study, they will have an unquenched thirst for knowledge until they find out the object's meaning. The brain "needs" the answer. The brain gives itself a reward of pleasure for accurate decisions (Willis 2014).

Sustaining Students' Attention: Teaching Strategies

It is important that students make predictions. To make their predictions powerful, students need to "bet" on their predictions. Options include:

- Writing the prediction on an individual white board, known as a "magic pad" or using an electronic student response clicker.
- Apps for student responses: www.nearpod.com, www.polleverywhere.com, www.playposit.com, https://edpuzzle.com.

A = Cultivating a Positive Attitude

Once we have student's attention, then educators need to help students cultivate a positive attitude so that they can develop memory. Why is this important? "A person's physical and emotional well-being is closely linked to his or her ability to think and learn effectively" (Doyle 2008, p. 58). Educators can help students reduce stress and develop a growth mindset. This can be achieved through using curiosity to get individual students to buy-in the information they are learning, enabling students to work in their achievable challenge zone, and by teaching students how to recognize their progress toward a goal.

Common teacher concerns include: Some of my students "act out" or "zone out" in class; what can I do? What we do for students who do not "get it" and for those who already "have it?"

This section answers these questions with information about attitude, the amygdala, and achievable challenge (Willis 2014).

The Impact of Emotions on Learning and Memory

Emotions influence where new information is processed in the brain. For learning to become memory it must be directed through the emotional filter (amygdala) along the route to the reflective, higher brain – the prefrontal cortex. Until the prefrontal cortex (PFC) is more mature, students are more reactive than they are reflective, especially when they perceive stress. “If stress is reduced, and a person is in a relaxed and alert state, information can pass through the amygdala and on to the reflective ‘thinking brain’ (prefrontal cortex) for long-term memory and executive function processing” (Willis 2014, p. 10). However, high stress reduces information flow through the amygdala (emotional filter) to and from the cognitive/reflective brain (Prefrontal Cortex – PFC). “If our students are experiencing fear and stress, which means their amygdalas are active, then the kind of active learning we are asking them to engage in will likely be negatively affected” (Doyle 2008, p. 59). During high stress, responses are directed by the involuntary “lower” brain with output limited to fight/flight/freeze responses (act out/zone out). As a result of this stress, students may withhold effort. The mammalian brain is wired to withhold effort when experience predicts a low probability of success (Willis 2014).

Sources of school-related stress include: the boredom of already having mastery of the information being taught, no personal relevance (not being sufficiently interested in a topic or aware of how the topic relates to the student’s own interests or prior knowledge), frustration of previous failures, being confused, fear of being wrong if asked to speak in class/answer questions/present their work orally, and falling behind (this is equally stressful for students who get failing grades and for students who repeatedly fail to achieve the goal they – or their parents – set such as being #1 in the class or getting all “A’s”) (Willis 2014).

The human brain can be “rewired” to reverse effort withholding when instruction follows the video game model: buy-in, achievable challenge, and frequent feedback of incremental goal progress. The power behind the video game model’s impact on motivation and perseverance is the intrinsic reinforcement of the dopamine-reward response to accurate predictions and feedback of challenges achieved. Goals that are clear, personally relevant, and believed to be achievable challenges are needed to promote brain “buy-in” and effort when previous efforts have not yielded goal success (Willis 2014).

Cultivating a Positive Attitude: Teaching Techniques

To promote a positive attitude so that information gets to the prefrontal cortex (PFC):

Use curiosity promoting questions/demonstrations. To get the RAS to select the educator’s input over all other competing stimuli, instructors must present information in a novel or curiosity-provoking way. Even though students are often criticized for not paying attention, they are paying attention – just not to the things the instructor thinks they should notice. A student’s RAS is continuously attending to incoming information, which may include things like the sound of their classmates holding a side conversation, the texture of their scratchy sweater, the ache of their empty stomach, or the emotional pain of the recent ending of a romantic relationship. All of this information may be distracting them from the instructor.

As mentioned earlier in this chapter, the following are strategies that provoke curiosity and prediction to gain students' attention and sustain their focus (Willis 2014):

- Changing one's voice in cadence, tone, and volume can catch students by surprise.
- Moving in a different manner than the usual can be unexpected. Willis (2014) uses the example of a teacher walking backwards during a lecture. This could relate to topics such as: flashbacks in literature, backward design, historical events, or negative numbers.
- A significant, suspenseful pause before saying something important builds anticipation as the students wait and wonder what the instructor will say or do next.
- Alterations to the classroom promote curiosity. Display something new on a bulletin board, rearrange the desks and chairs, or simply write on the whiteboard in an unexpected color.

Use the principles of advertising to capture students' curiosity. Advertisers hope to gain the attention, curiosity, and interest of their audience. For example, the "coming attractions" at a movie theater are meant to leave the viewer wanting more. The trailers are usually edited in a way that is dramatic and attention grabbing. The trailer provides some indication of what the film is about but leaves out the majority of the details. This technique creates suspense. The viewer, now enticed, wants to see the full-length movie to see how everything resolves. Educators can advertise upcoming lessons in a similar way. The goal is to stir curiosity of what is to come. This can be achieved using a variety of both high- and low-tech techniques, such as creating a short video "trailer" describing an upcoming class session.

Play positive media input (such as songs or videos with an uplifting message). I am a fan of using positive songs in my teaching. One semester after introducing the concept of emotion's effect on job performance, I began every remaining class session of the semester with a "happy" song. A quick YouTube search of songs with the keywords "happy" or "positive" yields a rich harvest of musical ideas. This upbeat, encouraging music, video, poetry, or other visual media can illustrate course theory as well as set the tone for students and faculty to experience a positive emotional state that sets the groundwork for learning.

Reduce Stress. "Participating in new learning requires students to take risks that are often beyond their comfort zones. Steps should be taken to reduce stress during these times" (Willis 2014, p. 10). When stress is reduced and students are in a relaxed and alert state, information can pass through the amygdala and on to the prefrontal cortex where long-term memory and executive function processing occurs. Students can learn how to become aware of their own stress and discover strategies for relaxing and then refocusing. These skills allow the prefrontal cortex to override the lower brain's reactive impulses and retain new knowledge.

Promote growth mindsets. People with a fixed mindset believe they are born with a set amount of intelligence and skill, and that is all they will ever have. They believe that when they fail, there is no point in trying again, because they are incapable to performing any better. Those with a growth mindset believe that people are given a set amount of intelligence and skill, just as they are born with particular physical characteristics, but that people have the potential to develop this intelligence and skill with hard work, much like exercising a muscle (Dweck 2006).

Further strategies that assist with promoting a positive attitude will be discussed next. These include: making learning personalized for "buy-in," having students work in their zone of "achievable challenge," and teaching students how to recognize their progress toward a goal.

The Video Game Model

Willis (2014) describes the Video Game Model as a teaching technique that improves mindset, engagement, and perseverance among students. The brain seeks patterns and pleasure, and video games provide this. "Video and computer games are compelling because they offer individualized achievable challenges and frequent feedback of incremental progress that are physiologically rewarded with the intrinsic satisfaction produced by the brain chemical dopamine" (Willis 2014, p. 11).

At the beginning of a video game, a player is presented with a goal. The player begins at level one, and through trial and error, the player receives feedback to build enough skills to pass the first level. The next level then challenges the player's newly developed skills. Through sustained effort, practice, and persistence the player succeeds and continues to progress through the levels of the game.

Throughout the game, the player receives ongoing feedback and the dopamine-boosting pleasure of incremental goal progress, represented by reaching the next level. She experiences intrinsic reinforcement, feeling the pride of knowing that her own effort caused her success. The player then seeks the greater challenge of the next level of the game so she can continue to experience the pleasure of dopamine reward (Willis 2014).

The Video Game Model in the Classroom

The Video Game Model includes goal buy-in, individualized achievable challenges, and frequent feedback or awareness of incremental goal progress.

Goal buy-in (personal relevance). Students want to learn the knowledge tools they need to succeed when they have both learning goals designed to connect with their interests and authentic performance tasks that they consider relevant. Students who want to know what they have to learn are in the ideal state for motivated, attentive learning. Examples of teaching methods to enhance personal goal relevance include:

- Connecting a course unit with current events
- Personalizing information by connecting the topic to a person or place relevant to students (e.g., book author anecdote). Before a lesson or unit, tell a story about the

life of the author, scientist, historical figure, or mathematician when he/she was about the age of your students
- Discussing how the course concept connects to the "real world" or to their lives
- Informing students how are they going to use the new information after you teach it to them (e.g., project, performance task, teach it to other students)? (Willis 2014)

Achievable challenge (lower the barrier, not the bar). "An achievable challenge is one in which a student has the capacity (or skills to develop the capacity) to meet an ambitious goal" (Willis 2014, p. 12). An achievable challenge exists within Vygotsky's "zone of proximal development" (Vygotsky and Cole 1978).

A too easy challenge will cause a student to become bored, which leads to stress, and ultimately disengagement from learning. A too difficult challenge will cause a student to experience frustration and hopelessness. When these are sustained or frequent, they also lead to excessive stress. However, an achievable challenge that is just within the student's reach enables the student to avoid the harmful states of stress, giving the amygdala the ability to pass information to and from the prefrontal cortex (Willis 2014).

Achievable challenges prevent stress by avoiding boredom and frustration. They also help students to develop a growth mindset when students are provided with achievable challenges and provided feedback to their progress toward meeting the challenges.

In addition, achievable challenges motivate perseverance and effort in students. When students learn at their individualized levels of achievable challenge, they are highly motivated by the expectation of a dopamine reward. Providing students with achievable challenges promotes the intrinsic motivation of the video game model.

In the ideal video game model, all students would be learning in their personal zone of achievable challenge at all times. Although this individualization is not possible for all students, options will increase as technology provides resources for online learning games, flipped classroom lectures, and enrichment opportunities for students already at mastery. Teaching techniques instructors can use to enable students to work within their achievable challenge level include:

- Communicating high expectations for all students
- Providing differentiation and support so students can achieve their goals
- Clearly defining the learning goals, success criteria, and types of assessments
- Using scaffolding and enrichment
  – Key vocabulary lists with pictures and definitions
  – Manipulatives for addressing misunderstandings in math
  – Give students the opportunity to discuss ideas before offering responses to questions (e.g., think/pair/share)
  – Reading comprehension strategies to help all levels of readers read appropriately challenging texts

In particular, the following are strategies for increasing reading comprehension of challenging texts:

"'Talking Back to the Text' is an interactive reading strategy that helps students become personally engaged with what they read" (Willis 2014, p. 14). Students begin by writing questions and prompts on small papers that they can insert into their text. Some questions are prediction questions the student will answer before reading, while others will be responded to while the student is reading. Before reading, the student writes and answers prediction questions, "I think you'll be telling me" and "I already know things about YOU so I predict" (Willis 2014, p. 14). During reading students complete questions or prompts such as "You are similar to what I have learned before, because you remind me of," "I didn't know that and I find it interesting because," or "I want to know more about this than you have to offer. I'll find out by" (Willis 2014, p. 14). Additional strategies for increasing reading comprehension of challenging texts include: highlighting with three colors and the "think-aloud" strategy (Willis 2014).

Frequent Formative Assessment, Ongoing Feedback, and Awareness of Incremental Progress

"Students will experience the intrinsic pleasure of incremental progress if they experience ongoing formative assessments with feedback, opportunities for self-corrections, and metacognition" (Willis 2014, p. 16). With formative assessments, students can build understanding and progress at achievable challenge levels of success. In general, people experience an intrinsic reward when they realize that they are making progress due to their own practice and effort. Even noticing small changes can be helpful.

The video game model gives students the opportunity to recognize both the intrinsic pleasure of incremental progress and the effect that putting in effort toward practice and review brings them progressively closer to their goals. Instructors can help students use graphs to see the connection between their work, practice, effort, and their progress. Goals can range from time spent preparing for tests, number of answers correct on tests, to progressing up rubric levels of proficiency in any subject. When students select the progress points they want to achieve on route to the final goal, they build their own goal-directed behavior patterns. In addition to graphs, analytic rubrics correspond with the amygdala positive benefits of the video game model of achievable challenge and incremental progress (Willis 2014). Instructors will know that their achievable challenge teaching techniques are working when they note improvement such as: ambient classroom noise, more participants in discussions, more good questions, and less disruptive classroom behavior.

D = Develop Memory

Increased dopamine is associated with (it both increases and is increased by) pleasurable experiences and the anticipation of pleasurable experiences. Its release also increases focus, memory, and executive function. The dopamine-reward system causes prediction to be so powerful. Dopamine is the brain's pleasure chemical. When dopamine levels go up, the following behaviors are more prominent: pleasure, creativity, motivation, curiosity, persistence, and perseverance.

The process that connects new memories to existing memory is the brain's pattern seeking, extending, and storing system. Educators can assist this process by helping students learn to recognize and match patterns and alerting students to prior knowledge of the subject that they might have gained through formal learning or life experience (Willis 2014).

Develop Memory: Teaching Techniques

The following activities increase dopamine levels:

- Positive interactions with peers
- Enjoying music
- Being read to, or told a story or anecdote
- Acting kindly
- Expressing gratitude
- Humor
- Optimism
- Choice
- Movement
- Feeling the intrinsic satisfaction of accurate predictions and challenges achieved

Maximizing Successful Memory Links

The brain's ability to recognize related stored memories in response to new information or decision-making is frequently an automatic process. However, if students have not been made aware how their prior knowledge connects with new information, they are unlikely to activate the memory stores that relate the new input. Make memory relationships more efficient, effective, and transparent by activating prior knowledge. Prior knowledge is data that students have already acquired through formal teaching, personal experience, or real world associations. Teachers should "activate" this prior knowledge by alerting students to what they already know that connects to what they are going to learn. This is consistent with the way the brain makes these connections through pattern recognition and pattern matching (Willis 2014). Teaching strategies for prior knowledge activation include:

- Having students discuss personal/cultural connections to the topic.
- Giving pre-unit assessments.
  - Show videos or images that remind students of prior knowledge
  - Hold class discussions starting with high interest current events

- Reminding students about previous exposures (cross-curricular, spiraled curriculum).
- Having students brainstorm about what they already know and what they want to learn about a new unit. This could be done with informal class discussions. When they discuss what they learned, they could connect it back to other topics in the class and discuss how the similarities and differences (Willis 2014).

Creativity

Neuroplasticity is the process by which thoughts and actions change the brain through building, strengthening, or pruning memory networks. New short-term memory circuits are activated by mental manipulation. These memory circuits are used together to perform novel tasks or to solve new problems. This is the heart of creativity! Educators can enable the creative process through having students symbolize new information (creating a narrative, teaching to someone else, using humor), synthesize new information (pair-sharing, collaboration, or summarizing), and categorize (comparing and contrasting) information (Willis 2014). These teaching techniques empower students to develop innovative solutions to finding and enacting meaning in their life and work.

Teaching Creativity

Creativity is commonly defined as "the ability to produce work that is both novel (i.e., original, unexpected) and appropriate (i.e., useful, adaptive concerning task constraints)" (Sternberg and Lubart 1999, p. 3). It is worth stating explicitly that creativity can be taught. While extraordinary artistic abilities, for instance, cannot be manufactured where there are none, "Most people can be creative in some way every day" (Brinkman 2010, p. 48). Higher education has begun to realize the importance of teaching creativity (Ramocki 2014). "Ensuring creative growth and development in college students is a serious business for instructors, but defining the mechanics of this obscure business is at difficult" (Montgomery et al. 1995). "We know how to design college curricula to encourage creativity, at least in a limited way" (Brinkman 2010, p. 49). As Brinkman (2010) elucidates,

> It is possible to encourage people to be more creative and to approach tasks with creative outcomes in mind. . .We can teach and model techniques for generating ideas, for being sensitive to personality traits that might encourage creative expression and risk-taking in their work. We know that "incubation" is a part of the creative process. We can structure teaching and creative situations so that the student will understand to the value of letting an idea simmer. (p. 48)

Montgomery et al.'s (1995) study described the components of college creativity courses and instructors' perception of the importance of these components to teaching creativity. A content analysis of college creativity syllabi was discussed in terms of the five dimensions for teaching creativity: social climate, personality characteristics, general theories and models, processes involved, and product variables related to end results. The social climate dimension includes providing a climate in which feel safe and free to explore their creativity, recognizing and eliminating blocks to creative thinking, designing open classroom environments, and dealing with social influences on creativity. The personality characteristics dimension contains openness to experience, inquisitiveness and curiosity, enthusiasm, tolerance for ambiguity, high energy level, reflectiveness, independence, and self-confidence. The general theories and models dimension includes concepts such as cognitive/developmental theory, humanistic theory, Gestalt theory, Gardner: multiple intelligences, and regression in service of ego. The processes involved dimension comprises humor, imagination, creative problem solving, analogy/metaphor, and nurturance of creativity. Finally, the product variables related to end results dimension include insight, innovation, model building, strategies for product evaluation, and make a creative product.

The Montgomery et al. (1995) study revealed that there is some agreement among creativity instructors in American colleges and universities about what is important in teaching creativity. Faculty agree that human interactional ideals such as humor, psychology of creativity, and nurturance of creativity are highly important to teaching creativity. Study respondents "perceive that processes concerning the individual's psychological needs must be utilized before the use of techniques relating more directly to creativity training, such as imagination, creative problem solving, analogy/metaphor, and the like" (Montgomery et al. 1995, p. 88). The variables in the social climate dimension most valued by creativity instructors were removing blocks and alleviating fear while providing safety and freedom. Study respondents reported that creativity instruction is encouraged more through the social climate as opposed to being achieved by rigorous training with technique. The variables ranked most important within the personality characteristics dimension reflected this necessity for a safe environment and a perception among students of freedom to explore their inherent creative ability.

Study results revealed little agreement among creativity instructors about the general theories and the product variables related to end results dimensions. Consensus about which creativity theories to teach did not exist. Although there was little agreement among instructors about the product variables dimension, the highest ranking variables were insight and innovation. It appears that teaching students to be creative is not achieved by studying about creativity as much as it is served by establishing an environment in which to create. When students feel safe and free to explore their creativity potential, they will be open to their internal aptitude, the external environment, and creative experiences, leading to curiosity and inquisitiveness, which will ultimately result in insight and innovation (Montgomery et al. 1995).

Meaning and the Brain

Quite a bit of research on the brain's relationship to personal meaning focuses on purpose in life. Purpose in life (PIL) is the psychological tendency to derive meaning from life's experiences and to possess a sense of intentionality and goal directedness that guides behavior (Boyle et al. 2010). Having a sense that one's life has purpose significantly supports the health of the central nervous system (CNS) (Kaplin and Anzaldi 2015). Purpose in life is linked to many positive health outcomes including:

- Lower risk of developing Alzheimer's disease (Boyle et al. 2010)
- Slower rates of age-related cognitive decline (Boyle et al. 2012)
- A chronic calming effect on immune system activity (Friedman et al. 2007)
- Decreases in pro-inflammatory stress response of the immune system (Fredrickson et al. 2013)
- Reduced risk of stroke (Kim et al. 2013b)
- Lower risk of heart attack (Kim et al. 2013a)
- Seventy-two percent lower rate of death from stroke (Koizumi et al. 2008)
- Forty-four percent lower rate of death from cardiovascular disease (Koizumi et al. 2008)
- Forty-eight percent lower rate of death from any cause (Koizumi et al. 2008)

In addition to improving nervous system disease outcomes in older people, meaningful and purposeful activities may improve the mental health of younger populations (Telzer et al. 2014). PIL appears to be biologically wired into our thinking and necessary for optimal health (Kaplin and Anzaldi 2015).

Brief Overview of College and Workplace Meaning

Astin et al. (2010) found that more than half of college students attend college with the goal of discovering their purpose and meaning in life. Over 76% of students report that they are actively searching for their meaning in life while in college. The search, for many, does not end after graduation.

Millennials are willing to make less money and work longer, nontraditional hours, as long as their work is personally meaningful. Research shows that 71% of Millennials ranked finding work that is meaningful as one of the top three factors determining their career success; 30% of Millennials ranked it as the most important factor (Levit and Licina 2011).

Personal Meaning

Meaning of life can be defined as, "The cognizance of order, coherence and purpose in one's existence, the pursuit and attainment of worthwhile goals, and an accompanying sense of fulfillment" (in Damon et al. 2003, p. 121). While finding meaning in life "consists in attachment to something larger, and the larger the entity to which you can attach yourself, the more meaning in your life" (Seligman 2002, p. 14). "The meaning of life for human beings embraces love, work, and play" (Thagard 2012, p. 142). Frankl (1984) asserted that meaning in life must be discovered outside of the self through "self-transcendence" (p. 115).

Personal Meaning and Its Relationship to Work

The meaning people construct in their work is linked to the way they define the meaning of work. The meaning of work can be described as "what a job and/or the process of working at a job represents to a person and in turn influences what an individual expects to get out of engaging in the activity" (Robin 1998, p. 21). The meaning of work can be divided into three major distinctions: jobs (pay is supreme), careers (advancement and social status reign), and callings (work that is morally and socially significant provides fulfillment) (Wrzesniewski et al. 1997). Work becomes meaningful when it involves contribution to a cause beyond the self.

Research shows that people find more meaning in work that they perceive as a calling. Bellah et al. (1985) found that people who view their work as a calling gain fulfillment through work that is morally and socially meaningful. Calling can be conceptualized as a multifaceted experience that includes person-environment fit, a transcendent guiding force, and meaning and value-driven behavior (Hagmaier and Abele 2012).

More and more, people are looking to work to find meaning in their lives. To address this trend, organizations must find ways to address their employees' need for meaning in work. Organizations can create contexts that support meaning in work and meaningful work through their organizational mission and by creating a context that supports meaning-mission fit. Meaning-mission fit is defined as the compatibility between individuals and organizations that occurs when: (a) the personal meaning of the individual and the mission of the organization share similar fundamental characteristics, or (b) at least one entity provides what the other needs to carry out its respective meaning or mission, or (c) both (French 2006).

Managers provide employees with opportunities to find meaning in work when they connect that work to a transcendent purpose, particularly one that is spiritual (Csikszentmihalyi 2003). Workplace spirituality involves the values that generate a sense of transcendence and interconnectedness leading workers to experience personal fulfillment in their jobs (Fry and Matherly 2007). A similar construct, spirit at work can be defined as a state characterized by profound feelings of well-being, a belief that one is engaged in meaningful work that involves a sense of connection to others and makes a contribution to a common purpose, and a connection to something larger than oneself (Kinjerski and Skrypnek 2008).

Teaching Meaning

Given the hunger felt by both college students entering the workforce and established workers for finding a transcendent meaning in life that gives a purpose greater than the self, it is imperative that professors of management have the tools to help future employees and managers discover and enact meaning in life and work. Astin et al. (2010) identified four strategies for influencing college students' spirituality, including direct encouragement, reflective writing and journaling, collaborative group projects, and contemplative practices in class. Strengths identification (Buckingham and Clifton 2001; Values in Action Institute 2001; Quinn et al. 2004; Rath and Conchie 2008), reflection exercises (Brookfield 1995; Mezirow 1998; Eyler 2002; Henry 2004), and experiential learning (Kolb 1984; Cooperrider and Srivastva 1987; Yballe and O'Connor 2000; Hagevik 2000; Baker et al. 2002; Walker and Carr-Stewart 2004; Mattison 2004) are techniques that benefit students in discovering personal meaning. I want to focus here on the experiential learning cycle (Kolb 1984).

The Experiential Learning Experience (Fig. 1)

1. In the first phase, the educator involves the learners in a **concrete experience** that could be a role play, a live or video demonstration, a case study, or a testimonial but not a lecture.
2. The second phase of **reflective observation** is where learners are asked to review and question the experience from many perspectives.
3. During the third phase of **abstract conceptualization**, the learners develop theories and examine patterns in their experience.
4. In the fourth phase of **active experimentation**, learners identify ways that they can apply the principles they have learned from their experience (Kolb 1984).

This order of learning is vitally important! It turns out that 75% of people learn by having a concrete experience first, and then learning the theory behind it (Carroll 2010). The brain's learning centers can be described in four areas (Zull 2002). The concrete experience corresponds to the sensory and post-sensory area at the rear of the brain, near the R.A.S. Remember, the R.A.S. is the part of the brain that selects the sensory information to which people pay attention (Willis 2014). We must use the techniques of the R.A.D. teaching model to move information past the R.A.S. and through the amygdala, which is where the next step of the experiential learning model takes place – reflective observation.

Do you know who falls into the other 25% of the learning population? Most college professors! That's right, most educators learn by reading the theory and then having a concrete experience with it (Carroll 2010). This explains why traditional instruction starts with reading abstract theory, discussing it, and having a classroom activity at the end of the class session. But the abstract hypotheses correspond to the pre-frontal cortex area of the brain. This is the "reflective 'thinking brain'. . .[where]

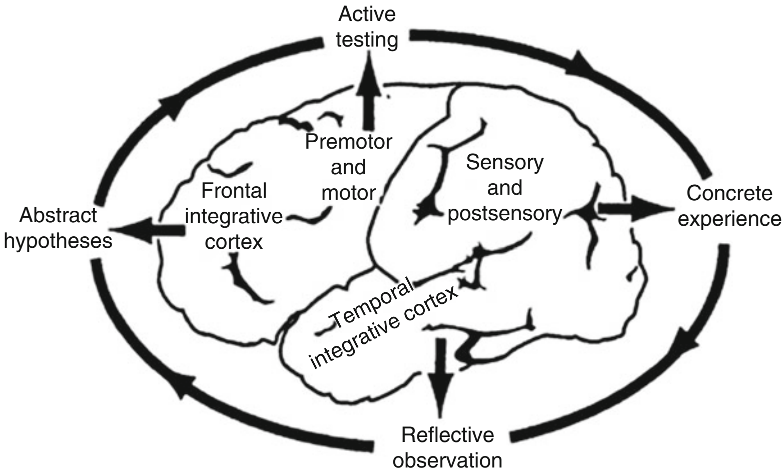


Fig. 1 The experiential learning cycle and regions of the cerebral cortex (Reprinted with permission from Zull 2002)

conscious thought, logic, and judgment can be used to respond to new information" (Willis 2014, p. 8). As we discussed, we will not have success in getting the information we are teaching into this area of the brain – for the majority of our students – without following the R.A.D. model. The big takeaway from the neuroscience research could be summarized in one simple teaching technique – start with the activity first!

I have found that assigning reading about the concept before class helps to ground students in theory. Even reading assignments can follow the experiential learning model. Students who enter the model at various stages can benefit from reading in the manner that best suits them. The majority of students who need the concrete experience first will do well to read the opening mini-case in each chapter of the textbook; this example of someone else experiencing the concept provides a real-world example of the theory explained in the chapter and gives the abstract theory something concrete to "stick" to while they are reading about it for the first time. Students who begin with reflective observation can approach the reading by examining the topic and using the "talking back to the text" (Willis 2014, p. 14) method to think about times when they have personally experienced the phenomenon or something similar. Students who begin with abstract conceptualization can note the topic of the chapter and then think about patterns in their personal experiences with the concept before reading the assignment. Finally, students who begin with active experimentation can view the topic of the reading and think of ways to apply it in their own lives before continuing on to read the assignment.

As an approach to teach spiritual meaning, the experiential learning cycle is helpful when the concept being studied relates to self-transcendence and finding personal purpose in something larger than the self. When students learn about events happening in the world, causes that inspire other people to rally, and the plight of those who struggle with conditions beyond their control, it can give them inspiration to think about attaching themselves to a larger cause. Conversely, the work of going "all the way down" (Palmer 2000, p. 56) through self-exploration to discover one's authentic self can by spurred by learning about purpose in life, existentialism, and introspection to teach spiritual meaning.

Conclusion

Knowledge of how the brain works can enhance educators' teaching theory and practice. The creative teaching strategies described in the chapter apply principles of neuroscience to teaching and learning. It is important to apply these findings from brain research to transform our teaching. We "must examine the way we teach when new research about human learning becomes available. For us to do otherwise would be irresponsible" (Doyle 2008, p. 52).

Transformational teaching provides a framework for reimagining teaching and learning in an interdependent, mutually responsible manner. "The main objective of transformational teaching is to improve students' mastery of a topic in a way that also impacts their learning-related skills and beliefs" (Slavich and Zimbardo 2012, p. 596). Transforming our teaching changes to way our students see themselves and their capabilities.

To transform our teaching using insight from neuroscience, we must explain to students that the new roles and responsibilities that we will ask them to assume will optimize their learning. Typically, students have very little understanding of how their brains learn. Teaching students about their brains allows them to understand how the brain processes input and helps students develop more reflective prefrontal cortex control over their reactive lower brains (Willis 2014). Asking students to exert control over their own brain functioning may seem like a daunting task. "Students do not always embrace the concept of making choices and taking more control of their learning, at least right away" (Doyle 2008, p. 60). Many students believe the role of the instructor is to give them knowledge that they passively accept. It us up to us as educators to help students see the potential for personal growth that can come from them making learning choices and accepting responsibility for their own learning decisions. According to Doyle (2008), when instructors explain the neuroscience supporting the learning activities they ask students to perform, students understand why they are being asked to engage in these activities and this makes their own learning process more relevant. If we are to transform our teaching effectively, we "may need to introduce choices and control gradually, however, to get students to accept this concept" (Doyle 2008, p. 60).

As we transform our teaching to help students experience creativity and spiritual meaning, it is important to remember that we must establish a climate in which students feel safe and free to explore their own creative potential (Montgomery et al. 1995). Employing the experiential learning techniques of concrete experience, reflective observation, abstract conceptualization, and active experimentation are powerful tools in helping students experience meaning. Using the tools and techniques discussed in this chapter, instructors can help students along their journey toward a life of meaning and purpose.

Cross-References

- ▶ Clarifying the Relationship Between Transformative Teaching and Transformative Learning
- ▶ Identity and Meaning in Transformation
- ▶ It's Not What You Do, It's Who You Are
- ▶ Self-Awareness in Personal Transformation
- ▶ Self-Knowledge: Master Key to Personal Transformation and Fulfillment
- ▶ The Neurobiology of Personal Transformation
- ▶ The Co-created Classroom: From Teacher/Student to Mentor/Apprentice

References

Anding JM (2005) An interview with Robert E. Quinn – entering the fundamental state of leadership: reflections on the path to transformational teaching. Acad Manag Learn Educ 4:487–495

Astin AW, Astin HS, Lindholm JA (2010) Cultivating the spirit: how college can enhance students' inner lives. Jossey-Bass, San Francisco

Baker AC, Jensen PJ, Kolb DA (2002) Conversation as experiential learning. In: Baker AC, Jensen PJ, Kolb DA (eds) Conversational learning: an experiential approach to knowledge creation. Quorum Books, Westport

Bellah RN, Madsen R, Sullivan WM, Swidler A, Tipton SM (1985) Habits of the heart: individualism and commitment in American life. Harper and Row, New York

Boyd BL (2009) Using a case study to develop the transformational teaching theory. J Leadersh Educ 7(3):50–59

Boyle P, Buchman A, Barnes L, Bennett D (2010) Effect of a purpose in life on risk of incident Alzheimer disease and mild cognitive impairment in community-dwelling older persons. Arch Gen Psychiatry 67(3):304–310

Boyle P, Buchman A, Wilson R, Yu L, Schneider J, Bennett D (2012) Effect of purpose in life on the relation between Alzheimer disease pathologic changes on cognitive function in advanced age. Arch Gen Psychiatry 499–506

Brinkman JR (2010) Teaching creatively and teaching for creativity. Arts Educ Policy Rev 111:48–50

Brookfield S (1995) The getting of wisdom: what critically reflective teaching is and why it's important. In: Brookfield S (ed) Becoming a critically reflective teacher. Jossey-Bass, San Francisco. Retrieved 22 May 2006, from http://www.nl.edu/academics/cas/ace/facultypapers/StephenBrookfield_Wisdom.cfm

Buckingham M, Clifton DO (2001) Now, discover your strengths. The Free Press, New York

Carroll S (2010, July) Teaching for Learning or Learning Boot Camp, Learning: how it happens and how you can help it happen faster and better. Workshop conducted at Mount St. Mary's College, Los Angeles

Cooperrider DL, Srivastva S (1987) Appreciative inquiry in organizational life. In: Cooperrider DL, Sorensen PF Jr, Yaeger TF, Whitney D (eds) Appreciative inquiry: an emerging direction for organization development. Stipes Publishing L.L.C., Champaign. Retrieved 25 May 2006, from http://www.stipes.com/aichap3.htm

Csikszentmihalyi M (2003) Good business: leadership, flow, and the making of meaning. Penguin Group, New York
Damon W, Menon J, Cotton Bronk K (2003) The development of purpose during adolescence. Appl Dev Sci 7(3):119–128
Doyle T (2008) Helping students learn in a learner-centered environment: a guide to facilitating learning in higher education. Stylus: Sterling, VA
Dweck CS (2006) Mindset: the new psychology of success. Random House, New York
Eyler J (2002) Reflection: linking service and learning – linking students to communities. J Soc Issues 58(3):517–534. Retrieved 25 May 2006, from ProQuest database
Frankl VE (1984) Man's search for meaning: an introduction to logotherapy, 3rd edn. Simon & Schuster, New York
Fredrickson B, Grewen K, Coffrey K, Algoe S, Firestine A (2013) A functional genomic perspective on human well-being. Proc Natl Acad Sci U S A 110(33):13684–13689
French ML (2006) The alignment between personal meaning and organizational mission among music executives: a study of happiness, job satisfaction, and responsibility toward employees. (Doctoral dissertation, Pepperdine University, 2006). Diss Abstr Int 67(11), p 4247
Friedman E, Hayney M, Love G, Singer B, Ryff C (2007) Plasma interleukin-6 and soluble IL-6 receptors are associated with psychological well-being in aging women. Health Psychol 26:305–313
Fry LW, Matherly L (2007) Workplace spirituality, spiritual leadership and performance excellence. In: Rogelberg SG (ed) Encyclopedia of industrial/organizational psychology. Sage, San Francisco
Hagevik S (2000) Appreciative inquiry and your career. J Environ Health 63(1):39 & 44
Hagmaier T, Abele AE (2012) The multidimensionality of calling: conceptualization, measurement and a bicultural perspective. J Vocat Behav 81:39–51
Henry ME (2004) Reflection matters: connecting theory to practice in service-learning courses. Kappa Omicron Nu FORUM 15(2). Retrieved 22 May 2006, from http://www.kon.org/archives/forum/15-2/henry.html
Kaplin A, Anzaldi L (2015) New movement in neuroscience: a purpose-driven life. The Dana Foundation. Retrieved 1 Aug 2016, from http://www.dana.org/Cerebrum/2015/New_Movement_in_Neuroscience__A_Purpose-Driven_Life/
Kim E, Sun J, Park N, Kubzansky L, Peterson C (2013a) Purpose in life and reduced risk of myocardial infarction among older US adults with coronary heart disease: a two year followup. J Behav Med 36:124–133
Kim E, Sun J, Park N, Peterson C (2013b) Purpose in life and reduced incidence of stroke in older adults: the Health and Retirement Study. J Psychosom Res 74:427–432
Kinjerski V, Skrypnek BJ (2008) The promise of spirit at work: increasing job satisfaction and organizational commitment and reducing turnover and absenteeism in long-term care. J Gerontol Nurs 34:17–27
Koizumi M, Ito H, Kaneko Y, Motohashi Y (2008) Effect of having a sense of purpose in life on the risk of death from cardiovascular diseases. J Epidemiol 18(5):191–196
Kolb DA (1984) Chapter 2. In: Kolb D (ed) Experiential learning: experience as the source of learning and development. Prentice-Hall, Inc., Englewood Cliffs. Retrieved 25 May 2006, from http://www.learningfromexperience.com/images/uploads/process-of-experiential-learning.pdf
Levit A, Licina S (2011) How the recession shaped millennial and hiring manager attitudes about millennials' future careers. The Career Advisory Board. Retrieved 1 Aug 2016, from http://careeradvisoryboard.org/public/uploads/2011/10/Future-of-Millennial-Careers-Report.pdf
Mattison D (2004) Appreciative inquiry & experiential learning. Wachovia Corporation. Retrieved 22 May 2006, from http://appreciativeinquiry.case.edu/uploads/Intro%20to%20AI%20and%20EL.ppt
Mezirow J (1998) On critical reflection. Adult Educ Q 48(3):185–198. Retrieved 25 May 2006, from EBSCOdatabase
Mezirow J and Associates (2000) Learning as transformation: critical perspectives on theory in progress. Jossey-Bass, San Francisco

Montgomery D, Bull KS, Baloche L (1995) Teaching creativity at the college level: a synthesis of curricular components perceived as important by instructors. Creat Res J 8(1):83–89

Palmer PJ (2000) Let your life speak: listening to the voice of vocation. Jossey-Bass, San Francisco

Quinn RE, Dutton JE, Spreitzer GM (2004) Reflected best self exercise: assignment and instructions to participants. Retrieved 24 May 2006, from http://www.bus.umich.edu/Positive/PDF/reflectedbest_exercise_preview.pdf

Ramocki SP (2014) Teaching creativity in the marketing curriculum. Marketing Education Review, 24(3) (fall 2014):183–196

Rath T, Conchie B (2008) Strengths based leadership: great leaders, teams, and why people follow. Gallup Press, New York

Robin CS (1998) Existential perspectives on meaningful work: explorations with executive men. Diss Abstr Int 59(06):3106B. Retrieved 28 Mar 2005, from ProQuest database

Rosebrough TR, Leverett RG (2011) Transformational teaching in the information age: making why and how we teach relevant to students. Association for Supervision and Curriculum Development, Alexandria

Seligman MEP (2002) Authentic happiness: using the new positive psychology to realize your potential for lasting fulfillment. Free Press, New York

Slavich GM (2005) Transformational teaching. In: E-xcellence in teaching, vol 5. Retrieved from http://www.teachpsych.org/ebooks/eit2005/eit05-11.html

Slavich GM (2006) Transformational teaching. In: Zinn T, Saville B, Williams J (eds) Essays from excellence in teaching: 2005, vol 5. American Psychological Association, Washington, DC

Slavich GM, Zimbardo PG (2012) Transformational teaching: theoretical underpinnings, basic principles, and core methods. Educ Psychol Rev 24(4):569–608

Sternberg RJ, Lubart TI (1999) The concept of creativity: prospects and paradigms. In: Sternberg RJ (ed) Handbook of creativity. Cambridge University Press, Cambridge, pp 3–9

Telzer E, Fuligni A, Lieberman M, Galvan A (2014) Neural sensitivity to eudaimonic and hedonic rewards differentially predict adolescent depressive symptoms over time. Proc Natl Acad Sci U S A 111(8):6600–6605

Thagard P (2012) The brain and the meaning of life. Princeton University Press, Princeton

Values in Action Institute (2001) VIA inventory of strengths. Retrieved 24 May 2006, from http://www.viastrengths.org/index.aspx?ContentID=34

Vygotsky LS, Cole M (1978) Mind in society: the development of higher psychological processes. Harvard University Press, Cambridge

Walker K, Carr-Stewart S (2004) Learning leadership through appreciative inquiry. Int Stud Educ Adm, 85 32(1):72. Retrieved 28 May 2006, from ProQuest Database

Willis J (2013) The impact of creativity on the brain. Retrieved 28 Nov 2014, from http://www.teachthought.com/learning/the-impact-of-creativity-on-the-brain/

Willis J (2014) Powerful classroom strategies from neuroscience research. Retrieved 25 Nov 2014, from http://www.learningandthebrain.com/documents/WillisHandout.pdf

Wrzesniewski A, McCauley C, Rozin P, Schwartz B (1997) Jobs, careers, and callings: people's relations to their work. J Res Pers 31(1):21–33

Yballe L, O'Connor D (2000) Appreciative pedagogy: constructing positive models for learning. J Manag Educ 24(4):474–483. Retrieved 28 May 2006, from ProQuest Database

Zull JE (2002) The art of changing the brain: enriching the practice of teaching by exploring the biology of learning. Stylus Publishing, Sterling

Part VIII

Case Studies and Application

A New World Is Already Here: Lessons from Radically Different Organizations

Lenette Schuijt

Contents

L. Schuijt (✉)
Crystal River Consultancy, Amersfoort, Netherlands
e-mail: lenetteschuijt@me.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_16

Abstract

In the past 15–20 years, hundreds of experimental organizations have been initiated, from start-ups to collectives and cooperatives to networks and communities. Together, these organizations, however small in size and scope, can be viewed as an "undercurrent" of a new organizational reality. These new forms of organizing are based on radically different premises and depart from a totally different paradigm. This new paradigm gives way to creativity and innovation and requires a personal transformation of the leaders and/or initiators. This chapter first provides a philosophical overview of how the organizational paradigm is shifting. It then describes nine characteristics that set undercurrent organizations apart from classic bureaucracies and illustrates this with the case study of "Buurtzorg." It also describes a few characteristics of leadership within undercurrent organizations. To draw lessons from undercurrent organizations, we first discuss to what extent and how bureaucracies can implement the principles from undercurrent organizations. This chapter concludes with lessons from undercurrent ways of organizing for those who want to start their own, pioneers for a new time, and with the personal transformation that such a start would require from them.

Keywords

Transition · Transformation · Paradigm shift · Undercurrent organizations · Pioneers

Introduction

In the past 15–20 years, hundreds of experimental organizations have been initiated, from start-ups to collectives and cooperatives to networks and communities. Together, these organizations, however small in size and scope, can be viewed as an "undercurrent" of a new organizational reality. I call this an undercurrent as many of these initiatives are small, local, and hardly visible, yet they greatly influence our thinking of organizations and ways of organizing. The undercurrent points to that which is arising, although it is hard yet to define what it is.

Undercurrent organizations are those organizations that are founded on radically different premises than regular organizations and depart from a totally different paradigm. They were set up out of frustration with the current way of organizing and aim at fulfilling their mission through different ways of organizing.

Undercurrent organizations are a perfect illustration of the vital bottom-up dynamics so characteristic of transition times, and it is not a surprise we see so many of them arising these days. Most people working in organizations are fed up with the dominance of the system world that was created to enhance the work of professionals, but has become a barrier to good work: rules, formats, protocols, technologies, spreadsheets, structures, and administrative procedures. The system world aims at efficiency, productivity, and profits. Professionals miss a focus on the heart of the work: making a difference for clients with their products and services. They are frustrated because they cannot deliver the good work they know is not only possible but also wanted deeply by the client. They can't provide that because of strict procedures, long decision-making channels, and financial targets to be achieved. Many employees also are fed up with the pace of work, which prevents them from genuine attention for the client and from reflection on possible innovation. Many people who work in large organizations are tired, with a high rate of burnout.

Courageous people use their frustration to break away from the bureaucratic world and start something new. In section "Case Study: Buurtzorg" of this chapter, you can read how the founder of Buurtzorg left his job in a large, bureaucratic healthcare organization to start a new one, from scratch.

Undercurrent forms of organizing are based on radically different premises and depart from a totally different paradigm. This paradigm gives way to creativity and innovation and requires a personal transformation of the leaders and/or initiators. This chapter first provides a philosophical overview of the transition times we live in and the paradigm shift that is happening in many domains (section "Transition Times"). It shows how the organizational paradigm is shifting. In section "A Paradigm Shift," I describe undercurrent organizations that are built on a new organizational paradigm. I will discuss nine characteristics that set undercurrent organizations apart from classic bureaucracies in section "Characteristics of Undercurrent Organizations." In section "Case Study: Buurtzorg," I will illustrate these nine characteristics in the case study of "Buurtzorg." Section "The Role of Leaders" describes characteristics of leadership within undercurrent organizations and points to the pioneering character of leadership in transition times. To draw lessons from undercurrent organizations, in section "Transforming Bureaucracies," I will discuss to what extent and how bureaucracies can implement the principles from undercurrent organizations. In section "Starting an Undercurrent Organization," I will formulate some lessons from undercurrent ways of organizing for those who want to start their own. This chapter also describes the personal transformation that pioneering a new world requires. I close this chapter with a summary of my findings and final conclusions.

Transition Times

We live in a dynamic world, often described as a VUCA world: volatile, uncertain, complex, and ambiguous (Johansen 2007). Secure answers and solutions have become illusions; we each have to find our ways in constantly changing contexts. We are pioneers, finding creative and innovative solutions, failing and learning quickly, and turning inside to find our own moral compass. We live in a time of major worldwide transitions. A transition is a radical, irreversible transformation of (a part of) society and its structure, culture, and practices (Rotmans and Loorbach 2008).With this definition, I consider transitions from a complex systems theory perspective. A transition is a fundamental change in a societal system, whether it is a nation, a town, a community, or a company. A transition therefore involves a reversal of our thinking, acting, and organizing, a process that takes one to two generations (Rotmans 2012). A transition is the result of developments in different domains. In other words, a transition can be described as a set of connected changes, which reinforce each other but take place in several different areas, such as technology, the economy, institutions, behavior, culture, ecology, and belief systems. A transition can be seen as a spiral that reinforces itself; there is multiple causality and coevolution caused by independent developments (Rotmans et al. 2001).

Characteristics of a Transition

A transition is a period of construction and destruction in which all groups fight for their place in society, to protect their own identity (Rotmans 2012). During a transition, everyone is confused, discontent, or even in despair. A sense of chaos is inherently part of a major transition. There is no specific enemy to be afraid of, but everyone is aware that certainties and privileges are disappearing. Nothing is quite the same and we can't rely on the truths we held dearly for a long time. Nobody, not even our leaders, have an overview of what is happening and in what direction things are developing. Although some people may have a sense of the new, and these are usually not the leaders, politicians, and presidents, this is not a utopic image of a new society. Rather, they intuit what is arising.

Sometimes there is large step forward, as when people come up with a disruptive technology (like mobile Internet) or break through current business models (such as the electric car by Tesla). These new concepts threaten the established business world and greatly influence the way of thinking about products, society, and environment. Slowly, new concepts and ideas, however diverse and diffuse, become visible. The old order is gradually making way for the new, but it is unclear where the new may lead us.

Professor Jan Rotmans (2012), who studied numbers of historical transitions, argues that we are currently going through a major transition (Fig. 1).

Our society is changing fundamentally in a number of ways. First of all, there is a change in the way society is governed: instead of a centralized organization, we're moving toward decentralized or horizontal ways of organizing. We can see this in the way start-ups are organized, for example. The top-down power structure that our society has been based on in the past is changing to a bottom-up power structure. The policymakers of the future will be enterprising citizens. More and more people are organizing themselves in loose structures. Partly because people don't feel at home at the big and impersonal corporations anymore, but also because for many people it's their only option since companies have economized their human capital by dismissing people.

The Old Resists the New

Historical transitions have taught us that old structures and institutions resist the new order as long as possible. Classic organizations and institutions have a vested interest in protecting their power. Built on hierarchy, bureaucracy, separation of thinking and doing, and top-down management, they continue to do what they did for 200 years and even tighten their control focus. Their ambitious change programs produce more of the same and the changes are cosmetically at best. Managers, staff members, employees, and consultants feel trapped in a system that nobody wants, but nobody seems capable of changing.

Interestingly enough, this phenomenon occurs in business, finance, health care, education, academia, and governmental organizations. The specific form may differ;

Characteristics of a transition

Collective sense of discontentment
Instability, insecurity and chaos
No clear direction or overview
Vital and passionate bottom up dynamics
Creative people break through well established patterns
New concepts and business models change the economic landscape
Conflicts and power struggle between existing and new order

Rotmans (2012)

Fig. 1 Characteristics of a transition yet everywhere we see a mixture of overly bureaucratic systems, leading to customer dissatisfaction and frustration; perverse incentives, such as introducing markets in the public health domain; fraudulent practices; and alienation and fossilization where organizational means become an end in themselves. Most classic organizations no longer fulfill their original purpose, which is to serve customers with a product, or service that contributes to one of their needs.

As a result, many of these classic organizations have gone bankrupt or are in stormy weather. If they stick to their traditional principles, they may not exist anymore in 10 years' time. Only those that will embrace parts of the new order may survive. Institutions, such as trade unions, professional line of industry organizations, traditional media, and political parties, will have to reinvent themselves or disappear completely.

At the same time, we see thriving alternative ways of organizing that defy these very principles. Organizations like Gore & Associates and Buurtzorg illustrate that radically different ways of organizing, such as purposeful goals, co-creation with clients, employee autonomy, and innovative business models, are not only possible but often more successful than their classic counterparts. This points to a paradigm shift in our thinking about organizations and organizing.

A Paradigm Shift

Thomas Kuhn (1962) showed that science did not advance only by steady progress, but advanced the most by occasional revolutionary explosions of new knowledge, each revolution triggered by introduction of new ways of thought so large they are called new paradigms.

In the first stage of a paradigm shift, there is no longer consensus regarding important theories, and there are even conflicting or incompatible theories. Even though theories evolve, using these can no longer solve major problems.

In the second stage, using a different mental framework solves some problems. Pioneers, who step outside the beaten paths, confront us with our assumptions and show that fundamental alternatives are possible. For example, the British economist Tim Jackson works on an alternative for the economic "growth" theory, by pleading for low productivity (Jackson 2009). Exceptions are recognized within existing theories, although they do not lead to a radical change of a theory.

Paradigm shifts do not happen overnight, as it takes time before scientists accept that their models have become obsolete. This is a tipping point. In the third stage of a paradigm shift, academics finally accept that attempts to integrate exceptions in the existing theories fail and start to explore new theories.

New Organizational Paradigm

In recent years we have seen an explosion of organizational theories, none of which seems to explain the success of an organization or enable fundamental change.

Consultants and organization development experts advocate contradicting strategies and interventions. This points to the first stage of paradigm shift.

Sometimes however, case studies of alternative organizations point to ideas and concepts from a different mental framework. A young start-up may consider their semifinished products not as something to be protected, but publish them freely and invite customers to provide feedback or even to make their own improved version. Where the old adage advocates competition, these new concepts promote sharing information as a way of progress. Such out-of-the-box ways of thinking, resulting in successful alternative organization practices, often become the point of reference in their industry, as we will see with Buurtzorg, a Dutch health-care organization. However, there is no general acceptance in academia yet of the value of employee autonomy and other organizational principles. This points to the second stage of paradigm shift.

New Perspectives

We learn from historical transitions that new ideas and concepts come from the bottom up. Creative people, frustrated with the results of old thinking, break through existing systems and invent radically different forms. They start something new out of frustration with the existing order. For example, the founder of Buurtzorg, Jos de Blok, was a manager in a classic health-care organization and was frustrated with the many protocols, procedures, and administrative baggage that kept his employees from providing good care.

New frameworks may also arise from using our common sense, rather than following system logic. While system logic creates efficiency by dividing tasks in various departments, common logic brings together all those involved in a problem to find a solution together.

The younger generation, which has no vested interest in the existing order, often triggers us to explore alternative approaches. Raised in the Internet era, these young men and women don't want to work in a 9–5 bureaucratic job where their ideas need to pass through channels of command to be heard. With their different work/personal life balances, their desire for open communication and sharing of information, their collaborative networks, and ease with information technology, they challenge organizations to review their concepts of organizing (Myers and Sadaghiani 2010).

And of course, there are always curious, creative minds, which dare to look beyond the horizon and come up with provocative questions and original ideas, such as the Dutch student Boyan Slat, who invented a system for concentrating and catching plastic debris driven by ocean currents. He won a prize for Best Technical Design at Delft University of Technology and has established a foundation, The Ocean Cleanup, to further develop and eventually implement the technology (Winter 2014).

Explosion of Alternative Ways of Organizing

For many people, the new perspectives remain invisible as traditional media are not interested or do not take them seriously. Classic organizations tend to mock new approaches as naive and amateurish. Energy collectives have been disregarded by the fossil energy industry, banks have ignored credit unions, and the government has dismissed citizen collectives for a long time. Yet in recent years, there has been an explosion of new alternative organizations. In the Netherlands, there are more than a hundred health-care cooperatives run by citizens; over 500 local energy collectives, in which citizens collectively generate, buy, and distribute green energy in their community; more than a hundred "broodfondsen," which are collectives of independent entrepreneurs who provide each other with financial help in case of illness; hundreds of physical breeding grounds, such as Seats2meet; and literally thousands of digital platforms that provide mutual help, such as Thuisafgehaald, where members can see which neighbors have cooked an extra portion of food that they can come and buy. Furthermore, there are hundreds of new companies and organizations, such as Buurtzorg, and existing organizations in transformation. All of these initiatives are based on radically different organizational principles.

Characteristics of Undercurrent Organizations

It is exactly this explosion of alternative ways of organizing that inspired me to study them. I wanted to know what inspired their founders, what ideas and concepts do they use, and what is the impact on clients and employees. I have made an inventory of new ways of thinking and organizing by collecting over 50 case studies of alternative organizations and by interviewing leaders and coworkers in 20 organizations that I came across as a consultant or was referred to by others. The organizations ranged from schools, start-ups, family enterprises, a hospital, cleaning companies, local authorities, health-care organizations, a supermarket, a bank, citizen collectives, and mental institutions to electrotechnical installation companies and internationally operating manufacturing companies.

Also, I used material that was collected in a study on Innovative Labor Organizations at the University of Antwerp (Marichal and Maenen 2015). The data were organized in categories such as structure, decision-making, and communication. From there it became obvious that all the interviewed alternative organizations had four characteristics in common. Many case studies shared these four characteristics, although not all of them. Five more characteristics were shared by at least ten interviewed organizations and most of the case studies. The total set of nine characteristics was then used to study five more alternative organizations, as a result of which the naming of the characteristics was slightly adapted. In the next section, I will describe these nine characteristics (Fig. 2). The examples come from my own research; those from case studies are referenced at the end of the chapter.

I use the term "undercurrent organizations" to describe those organizations that are founded on radically different premises than regular organizations and that depart from a totally different paradigm.

They are different from "Edgewalker Organizations" (Neal 2011) that seek to be on the leading edge, are curious about what is emerging just over the horizon, support creativity and innovation, and nurture the human spirit. Undercurrent

Fig. 2 Characteristics of undercurrent organizations

Characteristics of undercurrent ways of organizing
1. Mindset: unconditional trust in people 2. Purpose is leading 3. Employee self-organization 4. Enabling real autonomy 5. Simplicity and flexibility 6. Horizontal connections 7. Mutual accountability 8. Co-creation and permanent innovation 9. Organic sharing of information and knowledge
Schuijt (2014)

organizations are innovative mainly in their organizational form, not necessarily, although this is often the case because of the passion of the founders, in products or services. Buurtzorg basically provides the same services as other home care organizations, yet the way they organize themselves to deliver that care differs considerably from classic home care organizations.

I also use the term "ways of organizing," since the concept of "organization" is at issue here. I have found loose groups of people with a common goal, professionals working together between organizations rather than in an organization or individuals all around the world working as a team, without being paid for their work. These groups and individuals form an "undercurrent" in our society. They are an illustration of the vital bottom-up dynamics so characteristic of transition times, and they point to that which is arising, although it is hard yet to define what it is.

Mind-Set: Unconditional Trust in People

When Jean-Francois Zobrist became the new CEO of the French copper company FAVI, it was a bureaucratic, top-down managed company (cited in Carney and Getz 2009). His middle managers were convinced that the employees weren't very capable and refused to take responsibility. When Zobrist spoke with the employees, they pointed to structures that treated them like children, such as elaborative request forms for maintenance parts, instead of their own stock. Zobrist asked the middle managers to act as if their employees were competent and willing. This led to major changes: no more time clocks, handbooks and registrant procedures, nor more separate sales and HR departments. Teams are now responsible for all the production, sales, and service processes for a specific client group. Motivation is such that, if necessary, employees visit a client with a problem even during the weekend, while no manager or procedure requires them to.

Undercurrent organizations often have leaders with a different mind-set. They have a complete and unconditional trust in the competencies and responsibility of people. Therefore, they refuse to think for others, but develop strategy and solutions together, and they abolish any structure or system that undermines this trust. The way managers think of their people is a self-fulfilling prophecy. If you as a leader believe that your coworkers are inherently lazy and rather not work, they will start to behave accordingly. If the leader believes that coworkers naturally want to work and do their best, they will start to act that way. This theory X and Y (McGregor (1960) appears to be a major factor that differentiates classical from alternative ways of organizing. The old model is based on mistrust and control, whereas the new principles focus around trust and co-creation.

Another type of mind-set we often find in classic bureaucracies is the fixed mind-set (Dweck 2006). From a fixed mind-set, we believe that our talents are limited, that we should find work within our possibilities, and that we should avoid making mistakes by taking on too exciting new challenges. Managers with a fixed mind-set tend to refine employees to narrowly formulated job descriptions and help them develop only within a small range of activities. From a growth mind-set however, we believe that our talents are not limited, that we can constantly learn and develop. It is our own attitude or perseverance that will make us grow through new challenges. Managers with a growth mind-set give trust and encourage their employees to take new steps. Managers with a growth mind-set are more likely to give their employees autonomy, help them learn from their mistakes, and give them responsibility.

Purpose Is Leading

It is well known that organizations driven by purpose do a good job. For instance, Kotter and Heskett (2011) have shown how purposeful, value-driven companies outperform their counterparts in stock price by a factor of 12. In the absence of purpose, a company's leadership is likely to have greater difficulty in motivating employees, and customers are likely to have difficulty connecting with the company.

Yet, it is not a concern for performance that brings undercurrent organizations to focus on purpose as a leading mechanism. Rather, they want to move away from the undermining effect on the system world of structures, report systems, and administrative procedures that has become the central focus of so many classic organizations. System logic, rather than professional arguments, dominates strategy and decision-making. With its procedures and spreadsheets, the system world attempts to improve the professional work by making it more efficient, profitable, and productive. The assumption, for example, is if nurses follow the quality and safety procedures, patients will recover better and faster.

In contrast, the professional world is focused on what is right for a specific client, given the purpose of the organization. Employees ask: "What contribution can we make to this client, given what we are here for?" Professionals use their expertise to offer clients what they need. Most professional workers do not experience the system world as supportive to their professional work, but instead often hindering their ability to deliver good quality.

In undercurrent organizations the purpose, rather than the system world, is the central focus. Strategy and decisions are driven by the purpose of the organization, not by efficiency or productivity criteria. In schools it is the child that learns, in youth organizations it is helping adolescents master their life, and for a cleaning company it may be providing hospitality for their client. These organizations do have administrative procedures, decision-making structures, and report systems, but these are all in place to support the professionals fulfilling the purpose. It is the purpose that gives direction to the employees, not efficiency reasons. It is the purpose that decides which performance indicators are used, whether to replace an old machine or not, which extra business is taken on. All structures and procedures are created to support the purpose.

In all of the researched alternative ways of organizing, whether a network, a community, a start-up, or a cooperative, the primary focus is on fulfilling the organizational purpose. The purpose is well known among employees; they own and embrace it; it is much more than a beautifully phrased mission statement. In fact, it is a good understanding of the purpose that gives the employees direction when they are given autonomy (see below). Managers need to keep the purpose alive and formulate the desired results within that purpose; how these results are achieved is up to the employees to decide.

Employee Self-Organization

Once it is clear what the purpose of the organization is, employees need to have maximum room to fulfill that purpose. This means that employees are responsible for results and are capable of influencing factors that are relevant to achieving these results. They get enough space to perform their work, make decisions, and coordinate with others. This is the principle of self-organization, where conditions are created to fulfill the purpose and achieve results, and any structure arises organically out of the interactions among stakeholders. The resulting organization is wholly decentralized, and as such, the organization is typically robust, able to survive, and capable of self-healing and self-repairing perturbations.

In most undercurrent organizations, autonomy does not mean individual autonomy, but team autonomy to perform a complete and whole set of tasks for a specific client or group. In education this may mean all teachers working with a grade level, in a car producer this may mean teams of mechanics producing a specific car type, while home care teams may be grouped in a location or community.

The principle of self-organization in organizations is not new. In the 1950s and 1960s, the Tavistock Institute worked on industrial democracy, and two of its researchers studied on the use of "autonomous work groups" in British coal mines (Trist and Bamforth 1951). They coined the concept of sociotechnical systems, a theory that was further developed in the 1980s and 1990s in the Netherlands, where several experiments took place with self-directed work teams (De Sitter 1981). The central idea in all these theories is that the separation between thinking and doing is dissolved.

The climate of the 1950s and 1980s, however, was not very favorable. In a difficult economic time, management's attention was geared toward short-term economic success and an emphasis on efficiency and mass production. Although they were exceptions, there have always been organizations that have embraced some form of employee autonomy, such as Gore & Associates (cited in Hamel 2007), which has a flat team structure, where every employee is an associate who can decide which project to work on, as long as they achieve the agreed results. In the Netherlands, the JP van den Bent stichting is a mental health institution where professionals have great freedom to do independently what is necessary for clients.

In spite of the success of organizations with a high degree of autonomy, this hasn't become mainstream. Even recently, with the market demanding more flexibility and lower response times, some form of employee autonomy has become more popular in theory, while in practice the lines of command and control still stay in place. (See also section "The Role of Leaders.")

Enabling Real Autonomy

The managers of a large educational institution had decided to work with self-directed work teams. A year later, both managers and teams were frustrated and the quality of teaching was decreasing. When I analyzed the situation with the team leaders, it quickly became obvious why it didn't work: some basic conditions for working with self-directed teams weren't fulfilled. There was no team budget, nor did the teams have an overview of revenues and costs. The teams had no access to information about student registration, student progress, and dropout rate. Staff departments kept coming up with new projects that the teams were supposed to implement.

It was clear that the teams weren't equipped to actually take responsibility. If teams are held responsible for their results, they must be able to know and influence the factors that have impact on the results. They must have the necessary mandates, management information, and support systems that managers in a classic organization have. Teams need to know their productivity, client satisfaction, profit, sick leave, return on investment, employee satisfaction, and quality control statistics. Undercurrent organizations that work with self-directed teams successfully have redesigned all the organization structures, systems, and procedures in such a way that all employees have access to relevant information on the quality and results of their work and have instruments at their disposal to adjust and correct. First of all, these systems are no longer geared for exercising control, but for supporting employees in their work. For instance, employees in an electric installation company each have a tablet that provides all the information so they can make a financial proposal for the client or negotiate prices with them on the spot. Workers in a cleaning company can set up their own schedules, signal a problem such as a defect toilet, and order new cleaning products when necessary.

Second, procedures and mandates need to be adjusted. The nurses in a small-scale unit of an institution for the elderly, who are a self-directed team, now have a team credit card. This allows them to purchase anything needed within the group of elderly, whether it is a new light bulb, flowers for the residents, and an apple pie to celebrate an anniversary, or to repair a broken wheelchair.

Simplicity and Flexibility

The fifth characteristic is a simple and flexible structure that supports the purpose and allows employees to fulfill that independently. Gore & Associates, mentioned above, provides an example. This company has no organization chart and no formal functions or decision-making channels. Teams are formed around projects and dissolve when the project is accomplished. Those involved most with the project take the necessary decisions. Everyone can lead a project; there are no formal leaders.

A simple and flexible structure means less, or even zero, management levels; a reduction of most staff departments; short decision-making channels; a free flow of information to everyone involved; a reduced number of meetings; and the use of smart technology to prevent bureaucratic hassle.

Horizontal Connections

The sixth characteristic is that in undercurrent organizations information flows horizontally. As these companies refuse to fall back on hierarchy to coordinate the work or to resolve issues, they create horizontal connections throughout the organization. Within the teams, employees discuss, resolve, and decide anything directly related to the team task or the functioning of the team. They decide on service rates, investments, what training they need, which new team member to hire, and what conflicts to resolve.

Coordination among the teams, which in a bureaucracy is taken care of by the manager, requires different forms. Morning Star, for instance, a Californian producer of canned tomatoes, designed a horizontal form of coordination, in which employees formulate every year what they each intend to contribute to the company mission and how they are going to achieve that. They align their statements with their colleagues and make agreements among each other (Hamel 2011).

Horizontal connections among the teams may exist around a specific expertise. A nursing home has expert groups around bedsores and diabetes; a bank has formed a community of practice around new mobile technology. Often, new forms of exchanging and sharing information are put in place by means of a digital platform. The professionals of the Danish Arup Architects can access all technical and design information, which allows them to work with colleagues all over the world (cited in Birkinshaw 2010).

Furthermore, leaders in undercurrent organizations facilitate meaningful connections by bringing together a group of people who will resolve a tough issue. One undercurrent leader brought together consumers of gas and telecom companies to join forces and form a counterweight to large utilities companies. His organization Krachtenbundel Jip can achieve more transparency and fairer rates.

Mutual Accountability

The seventh characteristic of undercurrent organizations is horizontal accountability. Even though the term self-organization suggests casual and nonbinding relations, there is no such thing in undercurrent organizations. Even in self-directed teams, the results and the quality of the work are monitored and measured. Yet, the way this is done is radically different from that in classic organizations. The most important difference is that employees are not held to account by their superiors, but they hold each other to account. For instance, within Sensire, a Dutch homecare organization, teams do audits for other teams. Each team may invite another team to evaluate their performance in order to learn and improve their work. Rather than judging the audited team, the audit team takes co-responsibility for the ongoing development of their colleagues.

A second difference is that instead of "key performance indicators" from the system world, the organization chooses relevant indicators from the company purpose. To honor the professionalism of their employees and their company purpose of hospitality, Dutch cleaning company Hago Next uses only two criteria, the client's experience of cleanliness and the cleaner's satisfaction. Thirdly, these organizations review each employee's and each team's contribution to the overall results. This review replaces the classic performance review so often used in bureaucratic organizations. Effectory, a Dutch staffing agency, designed an online 360-degree feedback system for team members to review each other's performance on three criteria, among which contribution to overall purpose and results is one.

Co-creation and Permanent Innovation

Instead of internal research and development departments, undercurrent organizations tend to develop their products and services together with their clients. That is the eighth characteristic of undercurrent organizations: co-creation and permanent innovation.

The Danish toy producer Lego invites its users to develop new creations, to improve online instructions, and to expand the products to new client groups. Innovation happens in interaction with the customers. Because of their close contact with and responsibility for a specific client group, employees are naturally involved in innovation. Not only does innovation become a horizontal process, involving everyone in and outside the company; innovative solutions are shared with the larger public, contrary to classic organizations, which tend to keep their innovations a secret until the release of the product. The Dutch 3D printer company Ultimaker makes all their software codes and blueprints available on the Internet and invites their customers to suggest improvements. This way, the company improves its product constantly at low cost, and it makes products that totally fulfill their customers' needs.

Also, innovation in undercurrent organizations is not a task performed in a specific department; it is the responsibility of every employee. Because a team of employees are responsible for the whole of services to one client group, employees get direct feedback from their clients, they know what works well and what could be improved. Together, in their teams, they come up with new solutions. For instance, one team in a company producing pipes to transport hot and cold water came to the conclusion that there were issues constantly in old houses with its low cellars and basements. They invented a bendable pipe and constructed a prototype. As this turned out to be a success, they used horizontal communication to spread the news to other teams.

Organic Sharing of Information and Knowledge

This leads to the ninth and final characteristic of undercurrent organizations. Whereas in traditional organizations information and knowledge are valuable assets to protect, in undercurrent organizations information and knowledge flow freely. Often, these organizations have abolished regular meetings and invented more inspiring ways to exchange knowledge and information, such as a 10-min morning briefing, digital discussion platforms, standing-up encounters around high tables, informal Friday afternoon meetings, webinars, visits to client locations, learning lunches, open days with suppliers, CEO blogs, videoconferencing, internal workshops by coworkers, and so on. British Telecom has initiated Dare2Share, an online platform where professionals can share their information, expertise, and experience in the form of 10-min podcasts. Colleagues do not have to attend a session, but view and rate these podcasts at their own convenience.

In this section, I have described nine characteristics of alternative ways of organizing, which set them apart from hierarchical, bureaucratic organizations. They are put specifically in this order, from most important to less important. Or rather, they are in the order of what comes first. Without a genuine belief in the maturity of coworkers, a manager would not be ready to give them full autonomy. And without a focus on the organization's purpose, it is of no use to redesign the company's administrative systems; they would still be undermining the coworkers' ability to take professional decisions. In alternative ways of organizing, the nine characteristics usually come all at once and strengthen each other. I will illustrate that with a case study in the next section.

Case Study: Buurtzorg

In the following section, I will describe the interplay of the nine characteristics described above, in a case study of a very successful undercurrent organization Buurtzorg, a Dutch home care organization, which has attracted international attention for delivering high-quality and relatively low-cost care in an organization without any manager. I will first give a general overview of the organization, followed by an analysis based on my research, where each of the nine characteristics of undercurrent organizations will be discussed.

History

Jos de Blok and his wife Gonnie, dissatisfied with the delivery of health care by traditional home care organizations in the Netherlands, founded Buurtzorg in 2006. They started with a team of four highly trained and all-round nurses, who took responsibility for the home care of 50–60 patients in Hengelo, a middle-sized town in the eastern part of the Netherlands. Soon more teams followed, and within a year, Buurtzorg was known as an organization where care professionals signed up spontaneously and in large numbers. Five years later, there were 500 teams, over 5,000 employees and a yearly turnover of 180 million euros. In 2016, the organization has more than 10,000 nurses, with teams in the Netherlands, Sweden, Japan, and the USA. In spite of this size, Buurtzorg still works without managers or team leaders and has a small support staff of only 20 persons. There are no call center and no headquarter; there are no targets and no bonuses. There is no communications department, not even an HR department.

Last year, Jos de Blok took the initiative – with two partners – to start a new medical insurance company, Zorgeloos. And recently, Buurtzorg took over an almost bankrupt home care organization of 12,000 coworkers. The first thing he did after the takeover was to raise the nurses' salary.

Mind-Set: Unconditional Trust in People

Jos de Blok, founder and CEO of Buurtzorg and a nurse himself, observes the mind-set in classic organizations:

> Often, managers think that their professionals cannot think strategically, that they don't have a vision. But professionals have plenty of ideas! They come up with thousands of solutions, but they are not heard, because managers think that they are the ones who need to come up with ideas and then "sell" these to the professionals. It is my experience that managers often have very few good ideas. They got their job because they are compliant and adjust well to a system, not because they are in any way visionary. (Bregman 2016)

De Blok has a different mind-set. He sees his coworkers as intrinsically motivated professionals who are the best placed to know how to do their work. I want an organization where people have a lot more ownership of what happens with the client. It is really quite simple: you need to let people with expertise do what they think is the right thing. In his case: community-based nurses should have a central role – after all they know best how they can support specific circumstances for the client. The autonomy of nurses in self-directed teams allows for the best solutions to promote independence and the quality of life for the clients. It also allows nurses to practice to their highest level of training.

Purpose Is Leading

Buurtzorg was set up from the conviction that it is possible to provide high-quality care if highly trained nurses have the freedom to adapt their services to the different client needs. The Buurtzorg professionals advocate "presencing care," respecting the lifestyles, the life courses, and the context of their different clients. They even hesitate to use the word "client" as this suggests that they deliver a standard product and have a standard process that they are trying to optimize (Fig. 3).

How does this purpose work in daily practice? An example is if a client has had a stroke, regular home care organizations would translate this event into a care need of x number of hours and find a way of efficiently delivering that extra care. This usually makes the client more dependent on the care providers. From Buurtzorg's mission, the professional nurses have the freedom to find out how the client will best recover, given their lifestyle, preferences, and family conditions. They will not automatically administer extra care, but, for instance, support the family to help the client. This way, the client stays in control and can enjoy the same quality of life, in spite of the stroke. The focus of Buurtzorg is not on production, as in many regular home care organizations; it is on a quick recovery of the clients' independence.

Employee Self-Organization

Whenever there is a minimum of four nurses who want to set up their own unit in a new city or geographical area, Buurtzorg supports them in setting up their own self-directed team. The organization itself does not set up new teams. A new team finds its own office and finds furniture to decorate it. They establish contacts with those who refer clients to home care (general practitioners) and familiarize themselves with the stakeholders and existing networks in their area.

The teams are made up of two levels of training: half of the team consists of highly trained and all-round nurses and the other half of assistant nurses, who perform some but not all of the tasks. Together they form a self-directed team, responsible for every aspect of the home care in a specific area. They do the intakes; they provide medical care but also many support services, such as dressing

Buurtzorg's mission:

To change and improve the delivery and quality of home health care through the leadership and collaboration of the community nurse, allowing individual clients to receive the kind of care they most need, where they most want it, and thus avoid more costly institutional care for as long as possible.

Fig. 3 Buurtzorg's mission

and bathing, that are usually delegated to lesser-trained and cheaper personnel; they send invoices and manage the financial part of their work; and they hire new nurses and coordinate with other stakeholders, such as hospital and doctors. The teams decide about hiring a new team member and about further education. Teams are available day and night, with different shifts, and clients see mostly the same faces, as a team is never larger than 12 persons.

Enabling Real Autonomy

A simple and streamlined organization supports the teams with modern IT technology. They provide them with real-time information directly connected to the care process, in a form that empowers the teams to take decisions: an overview of income and costs on one A4. The team results are online visible for everyone. The technology also reduces administrative overhead.

If a team has issues that it cannot resolve, it can invite a regional team coach. There is one coach for every 25 teams. Instead of intervening, the coach helps the team to solve the issue by itself, allowing the team to become stronger and better problem solvers. To further enable the teams to take responsibility, all the teams have been trained in conflict management and in solution-driven interaction. This method focuses on using everyone's input toward a practical solution. Given the professionals' tendency to discuss principles, this practical method highly facilitates the weekly team meetings.

Simplicity and Flexibility

Jos de Blok often argues that it is very easy to make something more complicated, but it is hard to make something easier. "Managers love complexity. That makes their job more interesting and allows them to say that they are needed to manage the complexity" (Bregman 2016). Buurtzorg tries to keep things simple (Nandram 2014). The organization has a very small staff (8% overhead, compared to an average of 30–35% in other home care organizations). This staff is focused mainly on providing the necessary information technology and on negotiating with large medical insurance companies. The fact that the nurses are all-round, and that the team is responsible for all aspects of the home care, provides flexibility in work arrangements. For instance, after a fall and a broken hip, a client may need more care in the beginning than budgeted, but far less later on, when the client is more used to the new situation. Other clients may need little care, but over a long period of time. This flexibility meets both nurses' and patients' needs.

The personalized attention and team approach also allows individual clients to stay in their homes and communities for as long as possible, avoiding more costly institutional care.

Horizontal Connections

Coordination within the teams is a natural process. For example, where hierarchical and bureaucratic organizations always have staffing problems during the summer, the Buurtzorg teams have usually agreed on their planning by February. The nurses also organize three conferences a year, where they share their knowledge with people from other teams and they help start new teams. Study groups are formed bottom-up and professionals sometimes travel to other teams to discuss a difficult case.

Also, Buurtzorg has formed partnership with primary care (general practitioners) and insurance companies to ensure a smooth interface between the initial call for help and the final reimbursement of health expenses.

Mutual Accountability

As Buurtzorg has decided to deliver tailor-made care for all clients, there are no categories of "care products" and no need to register each of them, like in regular home care organizations. The team members only register the time they spent with each client. The number of hours is weighed against the overall amount of indications (quantity and quality of financed care). The teams know how much money comes in per hour, and they have a clear overview of their own costs, such as accommodation. They manage their own finances. New teams are trained in the financial system and are allowed some time to get to the point of breakeven. The overview of all team results on the Buurtzorgweb allows comparison and triggers teams who are doing less well to get some advice from financially more successful teams (De Blok and Pool 2010).

Co-creation and Permanent Innovation

The nurses are responsible not only for current client needs but also for preventing future problems. They continually improve and innovate their work, in interaction with their clients. They designed an experiment of simplifying the needs assessment, registration, and accountability process. The experiment showed that this reduces the intake by 15 min and offers more flexibility after the intake.

Organic Sharing of Information and Knowledge

Buurtzorg nurses communicate via Buurtzorgweb, an internal digital platform, where the teams can exchange experiences, ask questions, and share ideas. They can find information about treatments and medication; they share information about clients and keep in touch with the small support staff. They also register their hours and they make their planning via the platform. It is a simple tool, not to gather information for headquarters, but to support the teams with relevant information and knowledge.

Results

While it is customary in Dutch home care to divide the many tasks among different employees, some of which are less trained and therefore cheaper, the Buurtzorg approach empowers nurses to deliver all the care that patients need. And while this has meant higher costs per hour, the result has been fewer hours in total. By changing the business model of home care, Buurtzorg has accomplished a 50% reduction in hours of care, improved quality of care, and raised work satisfaction for their employees. KPMG concluded in a quantitative analysis in 2013 (KPMG 2015), in which Buurtzorg was compared to other home care providers, that Buurtzorg achieves high quality at a lower than average cost. The study found that Buurtzorg ranked among the best home care agencies in the country on measures of patient-reported experiences while providing substantially fewer hours of care than the average home care organization (108 h vs. 168 h per patient year).

The Buurtzorg organization has won many prizes, among others the prize for the most satisfied workforce of any Dutch company with more than 1,000 employees (8, 7 where the average score is 7). For 5 years in a row, they were the preferred employer in the category of companies with more than 1,000 employees (Huijbers 2010). Buurtzorg is the most successful example of an "undercurrent organization." Perhaps, given its size and impact, we shouldn't speak of an undercurrent organization anymore, but it certainly started out as such. People from other organizations declared Jos de Blok was crazy and that his idea would never work. Yet the organization has proven that, with new ways of organizing, it is possible to provide a better service to more satisfied customers at a lower cost. This success has not gone unnoticed. Many other home care organizations in the Netherlands, and even other health-care organizations, want these kinds of results and try to imitate the organizational model. They start implementing self-organized teams, only to find out that there is a lot of resistance among nurses. In section "Transforming Bureaucracies," we will look into that issue. Why is it that classic bureaucracies find it hard to transform themselves into flat, horizontal ways of organizing? But first we will take a closer look at leaders in undercurrent organizations.

The Role of Leaders

As we have seen, the organizational principles in undercurrent organizations are radically different from those in hierarchical, bureaucratic organizations, principles that are still exceptions to the rule. And although there are thousands of alternative organizations, cooperatives, networks, communities, and start-ups, most of them are still small in size and impact. The mainstream paradigm in organizations continues to advocate hierarchy, a separation between thinking and doing, control and top-down management, and system-driven key performance indicators, while the organization's purpose seems to have disappeared to the background.

We are in the middle of a paradigm shift, and in daily practice we see numerous exceptions to the existing organizational theories. In this transition time, two radically different worlds are coexisting, while the old world seems to maintain its power position, and the new world is focused on showing that a different approach actually works. For the new world to gain territory, it is important to disseminate information on all these new perspectives and to encourage all those who are frustrated with the old models to be leaders for a new world as well.

What is the role of leaders in this paradigm shifting process? Are we heading toward new perspectives on leadership as well? Do we still need leaders in an era of self-directed teams and horizontal processes like co-creation? That's what we'll cover in the next section. In section "Leadership in Undercurrent Organizations," I will present some findings on leadership in undercurrent organizations.

New Dynamic Between Leaders and Followers

Traditional leadership theories all assume that leadership occurs in a person, someone with specific traits or qualities. Accordingly, people in leadership positions are usually selected because of their supposed superiority over others. Until now this was the strongest incentive to follow a leader; we tend to grant people in a hierarchical position the authority to lead us.

In this transition time however, our leaders are no wiser than we are. They have no better answers to the challenges we meet everyday. Often even their well-intentioned promises merely illustrate how much they have lost touch with reality and to what extent they are stuck in the illusion of malleability. They believe everything in the organization is happening because of them.

The dynamic between leaders and followers is changing rapidly (Drath 2001). The Internet has democratized information, and the resulting greater transparency has made us more critical of leaders. Leaders need to take into account all kinds of stakeholders; the issues on their plate are more complex and the basis for their leadership is constantly being contested. Does this mean we are going toward the end of leadership, as Kellerman (2012) suggests?

Based on my research in undercurrent organizations, I don't think so. But it is the end of hierarchical leadership, synonymous with exercising control over others. With the exception perhaps of some situations where authoritarian leadership styles are still effective, urgent or dangerous situations such as crisis or war, or contexts where the leader has a lot more information than the employees, we will see a growth of shared or nonhierarchical leadership.

Undercurrent organizations are not leaderless organizations; they are full of leaders. But it is a different, more relational kind of leadership. In these new organizations, leadership is the result of interactions between dedicated stakeholders, trying to influence each other in order to solve challenges posed by their dynamic environment. More than before, leadership is a creative interplay between people driven by passion. Who leads and who follows may change each moment. As Buurtzorg manages itself, Jos de Blok spends most of his time connecting people around his passion and communicating with them, influencing their ideas and choices.

Leadership in Undercurrent Organizations

The founders of undercurrent organizations are not lonely wolves, ahead of the pack. Typically, they connect people and ideas, mobilize knowledge, co-create, facilitate, find creative solutions, and inspire. Most undercurrent leaders I have spoken to do not see themselves as leaders at all. None of them had the ambition to be a forerunner and they are not visionaries. They just believe in something enough to be willing to give it a chance. They just begin. It's not that they have no ambition or ego. They do, except they are driven more by their passion than by their ego, and they use the ego to make their dreams come true. They have no fancy office on the tenth floor; they rather seek personal connections with others.

Undercurrent leaders lead in a horizontal way and encourage people around them to take the lead. Jos de Blok actively refuses the role of a managing director. Rather, he encourages his professionals to organize their work independently, while he focuses on the context in which his professionals need to work. A leader in an undercurrent organization can be anyone. Employees in various places all give direction to the organization. From their commitment to the company purpose and their clients, they take initiatives, help colleagues, come up with innovative solutions, etc. Undercurrent organizations, with their focus on autonomy and self-organization, allow teams to become "mini companies" inside the organization.

In the following section, I describe some typical traits of leaders in undercurrent organizations. They are based on my conversations with them, as well as on interviews that were published in journals or magazines.

Driven by Passion

Why would anyone want to change the relationship between doctors and patients? Why do two successful IT specialists start a new business that hires only people with autism or Asperger? The leaders I have come across in the undercurrent are all driven by passion and conviction. They know what is important to them and go for it. Integrity in living their values is more important to them than winning over others to believe the same. Often, this passion comes from personal circumstances. The IT specialists both have autistic sons and wanted to create a workplace suited to their needs. The founders of Hago Next cleaning company were fed up with the public tenders where lowest price was the main criterion. They stopped bidding and instead developed an innovative concept to break through the negative price spiral in the cleaning industry, to normalize the work pressure and show more respect to the cleaners.

Undercurrent leaders transform their discontent, even if it takes a deep personal crisis before they get there. It leads them to find out what is really important and to go and create that. Theo Hoppenbrouwers, the CEO of a Dutch electric installation company founded by his father, had a burnout from taking too much work on his own shoulders. While he was away, his employees made sure the company stayed on track. This was very confronting, as Theo believed the company relied on him. After some inner work, he came back with a new mission: joy and health for all employees. He transformed his company into self-directed teams based on market segments and gave his employees the autonomy they had taken during his absence.

Connectors

Leaders in undercurrent organizations are real connectors. From the very start, they look for people to help build the new organization. They do not try to do everything alone; they like to work and create together. Because their passion comes from an authentic passion, they are capable of inspiring others.

Leaders in undercurrent organizations, as they work from different business models and organizing principles, realize that they alone cannot make a difference in changing the context. Therefore, they actively seek other companies, institutions, and stakeholders and invest in sustainable relationships with them. Their connections often break through classic dividing lines in sectors: they work with competitors or people from very different domains. They are Edgewalkers (Neal 2006), people who walk between worlds and have the ability to build bridges between different worldviews. They have a strong inner life and are also very grounded and effective in the everyday material world.

Together with stakeholders around them, these undercurrent leaders work to change the thinking in their line of industry. Jos de Blok is not just the founder of Buurtzorg; he communicates in all kinds of media and speaks throughout the country about transforming health care. He even travels to Sweden, Belgium, the USA, and Japan to help people setting up local teams. He created a network of people who share his concepts of local home care and connects people around his passion.

Another example is Rene Kesselaar, CEO of a Dutch construction company. He wants to change the construction industry with its nontransparent procedures into transparency, fair business, trust, and cooperation. He invited all stakeholders involved in a new construction project to come together and discuss the whole construction process, including deadlines, pricing, and margins. By showing that a different approach is possible, he transformed the dominant thinking in his industry.

Unconventional

Undercurrent leaders are all mavericks: they show an amazing independence of thought and action, and they refuse to adhere to the policies of a group to which they belong. By refusing hierarchical and bureaucratic principles, they force themselves to constantly invent new paths to design their new business. They want as few regulations as possible, as rules stop professionals from thinking for themselves. They want everyone to be a leader and to come up with their own decisions. As they are entering new territory, they often violate existing rules, thereby provoking the old world of hierarchy and bureaucracy, whether intentional or not. They have the courage to break through old models and display radically different ways of thinking. When Jos de Blok said he wanted no managers at all, nobody believed this was possible. Showing that it is very feasible, even with 10,000 professionals, undermines existing logic. It is not surprising that undercurrent leaders spend a major part of their time battling with the outside world to create the circumstances in which their company can at least experiment with a new approach. Says Henk Oosterling, who created Rotterdam Vakmanstad, a project to give youth a better start on the labor market by enhancing their craftsmanship: "The pace and rhythm in which I work, is not that of the bureaucratic mills. So if you want something: don't discuss too much with them. They think of me as a loose cannon. But I do have a direction: as long as I can make a difference for these kids, I just go my own way!"

This characterizes the new perspective on leadership in the undercurrent: don't make elaborate plans or try to convince officials; just start, see how far you get, and then see who you need to get on board for your plans. While this may sound risky for old world leaders, undercurrent leaders accept that there are no certainties and that they will fail. Stumbling blocks are part of the game and just inspire them to be more creative in finding a way around them.

Pioneers for a New World

Undercurrent leaders do not have the answers, yet they move forward. They are insecure and confused, yet to choose to act. Leadership in the undercurrent world looks like pioneering: not knowing any better than anyone else and choosing to take steps nevertheless. Undercurrent leaders are true pioneers, daring to tread unbeaten paths, without being able to use other people's directions or experiences. They build a bridge while walking over it. Pioneers cannot fall back on proven methods or approaches. They know more or less where they want to go, but not exactly and certainly not how. They find their way, by just beginning, experimenting, and learning while doing.

No More Waiting for Others

The essence of pioneering is not waiting any longer for other people to provide answers or directions, but taking control of the situation with a group of other people. Van den Brink et al. (2012) uses the concept of "best persons": professionals who are committed to make a difference, who show courage and an entrepreneurial attitude, and who take leadership. They do not expect others to have the wisdom or to take decisions; they simply begin. And that is what many people desire in this transition time, even if it is frightening: to do things differently, do things better, use their intuition and common sense, and do what they truly believe in, with other people who want the same.

Pioneering is adventurous: in a VUCA world nothing is fixed. Because nobody knows what to do and how, there is a pervasive appeal on the spirit, imagination, and creativity of pioneers. This gives a tremendous joy: when you pioneer, there are no mistakes, only a shorter or longer way.

Pioneering is exciting because all eyes are on the innovative forerunners. Will they succeed? What will come out of this? Pioneering can be confronting also, as there are always people to criticize pioneers. That they want too much, that what they want is simply not possible, and has been tried before. Some people reject pioneers because they don't stick to rules and procedures. Pioneers let go off beaten tracks and that can be threatening for others. It is like walking on a tight rope: if you make it to the other side, you are a visionary and a genius, if you tumble off, you're the village idiot and others are right, they told you so (Fig. 4).

Champions of Transition Times

Pioneers are very important in transition times. They are the strategic agents that show, by their deeds, that radically different approaches are possible. Front-runners or pioneers make alternative approaches visible; their initiatives proliferate, even though they remain exceptions that challenge the existing models, for example, someone like the Dutch student Boyan Slat, who was mentioned in section "New Perspectives."

In the tipping phase, new solutions and ways of organizing scale up, initiatives become networks and movements, and institutionalization starts happening. The smart strategies and good timing of pioneers begin to have an impact on the systems level: technologies, infrastructures, social practices, and organizational arrangements that slowly get institutionalized. The often-weird ideas that the pioneers came up with are being adapted by other people and by organizations.

Today, many home care organizations want to implement the same concepts that Jos de Blok and his organization Buurtzorg have developed. They are trying to institutionalize self-directed teams. Of course this only works if the administrators and directors genuinely transform their old mind-set and not implement a cosmetic new structure. Yet, the Internet has proven that the use of a new technology can indeed shift people's mind-sets.

Transforming Bureaucracies

In the past few decades, numerous attempts have been made to introduce new ways of organizing in classic bureaucratic organizations. Companies like DuPont, Cisco, Scott Bader, Rolls-Royce, Herman Miller, ABB, and BSO have consciously

> Here's to the crazy ones. The misfits. The rebels. The trouble -makers. The round heads in the square holes. The ones who see things differently. They're not fond of rules, and they have no respect for the statusquo. You can quote them, disagree with them, glorify, or vilify them. But the only thing you can't do is ignore them. Because they change things. They push the human race forward. And while some may see them as the crazy ones, we see genius. Because the people who are crazy enough to think they can change the world, are the ones who do.
>
> (Apple advertisement)

Fig. 4 Ode to pioneers

experimented with other forms of organizing. Although some of these organizations have been transformed successfully, and are still being managed in a non-bureaucratic way, like Semco, Gore & Associates, and FAVI, most companies have gradually fallen back on old principles and habits. Why is it that so many attempts at transforming classic bureaucracies have failed? And how can innovative ways of organizing, such as we see in undercurrent organizations, be implemented successfully in these organizations? Can the lessons from undercurrent organizations be translated to large hierarchical companies, and if so, how? In this section I will first offer some explanations for the failure to genuinely transform bureaucracies. Then I will offer an approach that according to Milgrom and Roberts (1995) makes it possible to transform even large hierarchical institutions. I will discuss this approach from my experience as a consultant working with these large bureaucracies.

Failing Attempts to Transform Bureaucracies

An explanation by Parker (2002) is that large bureaucratic organizations are very good at incorporating criticism and change activities, for instance, by developing a coaching leadership style, but at the same time holding on to essential bureaucratic principles such as top-down control and uniform rules. Such organizations absorb change activities to better control them. Instead of loosening the hierarchy, attempts at participative leadership often lead to a strengthened bureaucracy, because there is a larger gap between employees still managed authoritatively and those higher educated employees who have more to say. Some organizations, such as General Motors, decided to decentralize, but did that not to humanize the company, but because the environment had become so unpredictable that employees closer to the client needed to get more autonomy to take the right decisions.

Another explanation for the failure of many transformations is that they were focused on a few aspects only, such as more democratic decision-making process or a flat structure. Other factors, such as management habits, appeared a lot more difficult to change. Rolls-Royce in the UK was a pioneer in self-directed teams, but after a while the teams fell back on the old "command and control."

According to Kuipers et al. (2010), an integral perspective is missing with most change or transformation processes. A change in structures without a change in HRM procedures of accountability lines will sooner or later fail. Another explanation is the mind-set of the decision-makers, who may view the organization too much as a machine, in which one can simply replace one part by another, more advanced part. Yet if you consider the organization as a living organism, it is evident that a change of one aspect always involves change in others. From a systemic perspective, an organization is an integrated and self-renewing community.

Milgrom and Roberts (1995) have looked into innovative forms of organizing and came to the conclusion that new ways of organizing are only successful if the whole system is transformed, consistently and coherently. Their so-called complementarity theory is based on mutual exchange and dependencies between technical, organizational, and other factors. Complementarities are potentially strengthening effects among factors, when they are dealt with at the same time and coherently. The effect of more employee autonomy, for instance, is enhanced when management steers toward strategic goal.

Integral Approach

According to this theory, there is complementarity between activities in a company if strengthening one activity leads to the strengthening of other activities. Reducing the number of management layers, following this theory, leads only to better results if another transformation is happening at the same time. Implementing such a change in isolation can, according to the researchers, even lead to a decrease in results, although Pettigrew and Whittington (2003) point to the fact that when implementing a new structure, new processes, and organizational forms, the results will at first decline and only in the long term show improvement. This is what they call the J curve.

Milgrom and Roberts (1995) found that IKEA company, for example, has a high level of complementarity, which means that purchasing and distribution, products, client service, sales, and logistics are all aligned. Because all the aspects are integrated and well aligned, this way of working is hard to imitate as a success formula by other companies.

From my own research comes the example of Sensire, a Dutch care organization, which was part of an almost bankrupt bureaucracy when it split off and management decided to follow a different course. The organization took an integral approach to put the relationship between those who need care and those who offer it, central in their organization. The philosophy was that good care exists when clients can formulate what they need and health professionals can use their expertise to provide that. In order to make that relationship successful, only highly trained all-round nurses performed intakes. Teams were formed around those nurses and were given autonomy to provide whatever care was needed. A similar process in the staff and management sections strengthened this process. A new relationship was established, between the teams asking for help and management and staff providing what was needed. This led to a decrease of staff and management functions. Also, administrative procedures were adapted and team members wrote new handbooks. The chief executive, although intent from the beginning with his vision and values, had to change habits, as did the staff. The organization started this transformation in one area of their health services, home care, but when they saw it was getting successful, they extended the experiment to the whole organization.

Discussion

That organizational transformation is only successful when all aspects are integrally changed may sound like a cliché. Yet many organizations, in their urge to imitate the success of others, tend to change only outer characteristics, only to find out that it doesn't work. One educational institution implemented cooperative structures and procedures, but their reward system was still based on individual performance. A technical company decentralized decision-making, yet the managers forgot to formulate clear goals and criteria for performance.

A new way of organizing is not just a matter of giving more autonomy and responsibility to employees. It is about transforming several aspects at the same time, in their mutual dependencies. This requires an enormous investment in time, patience, energy, discipline, and perseverance. Says Maarten van Rixtel, CEO of the abovementioned Sensire:

> For me this implies propagating what I stand for and believes in. But also, show in a logical and inspiring way that the ‘old way’ doesn’t work and that need is necessary. Otherwise this company will expire. In practice, this means talking a lot. I have all kinds of dialogue with the coworkers, such as walk-in hours, email and phone, lunch meetings and town hall meetings, in which I listen to what they come across and which ideas and solutions they have. (Zomerdijk and van der Zwan 2009)

Transforming a large hierarchical organization paradoxically requires strong leadership from a systemic perspective. Such leaders are capable of holding on to long-term vision while supervising and aligning numerous, mutually influencing change activities. It can be done, as is shown in the example of Theo Hoppenbrouwers (section “Driven by Passion”). Yet it requires a fundamental belief in the necessity of changing old habits and ways of thinking, a strength that is often reached only after a deep personal transformation.

Although transformation of a large bureaucracy is possible, I have become quite skeptical about transformation in large organizations. Not only is the process very demanding on all of those involved, usually it does not serve the interests of the executives and owners, who often want the organization to be profitable in the short term. In addition, a real transformation is also regularly blocked by middle managers, whose identities are often based on controlling others. They have to face not only being dismissed but also being drawn into an existential crisis.

I have come to believe that transformation can only come from outside the established bureaucracies. It arises in places where people truly believe in the talents and capabilities of people to take initiative and responsibility. It arises in places with no restraints to try out new forms. Only in these places can people experiment with different principles from an integrated perspective. Of course this may happen in parts of bureaucratic organizations, such as pilots or skunk works, where the rules of the old world don’t count. For instance, cleaning company Hago created a separate company, Hago Next, to experiment with a new way of organizing. To be successful, new forms need time to develop in their essence, with no compromise and no other interests.

Experiments, Systems, and Landscape

This conviction that transformation can only come from outside bureaucracies, based on my experience with large bureaucracies, is supported by the transition concepts by Rotmans (2012). He points out that as pioneers and their experimental organizations gain success, this gradually transforms the landscape and ultimately the systems (Fig. 5).

In contrast to what is often thought, transitions do not happen because experiments (by pioneers) change the systems (technology, structures, practices, policies), and this ultimately changes the landscape (ways of thinking, mind-sets, global trends). This is the scenario that I sketched earlier, where organizations try to imitate the success of experiments, yet from an old mind-set, which leads to failure.

In transitions, it is the other way around: experiments gradually change the landscape, the larger context of societal value sets and mental models in our society. New theories are embraced and taught in universities and business schools. The paradigm shift is taking place. As this happens, the systems gradually start to change accordingly. It is the success of the experiments that transforms the thinking of what is.

In the preceding sections, I have discussed why it is so difficult to transform classic bureaucracies. Several explanations were offered and an integral approach was suggested and discussed. In the following section, I will describe how the ways of organizing described in section "Characteristics of Undercurrent Organizations" can be realized outside of, or at the edges of, large bureaucracies.

Starting an Undercurrent Organization

Anyone living in this transition time may feel insecure and confused at times. We may be discontent with the world around us, yet not knowing how to make it better. We may feel frightened, angry, desperate, and powerless. Most of us tend to look at others for answers, but even our leaders stubbornly hold on to old principles that once worked.

Many of us wake up in the morning, overwhelmed by the complexity of this world in transition, and ask ourselves what we can do or who we can be in the circumstances. We are all needed in this transition time to develop the new that is arising. What is it to be a leader, if it's not a hierarchal position in a large company?

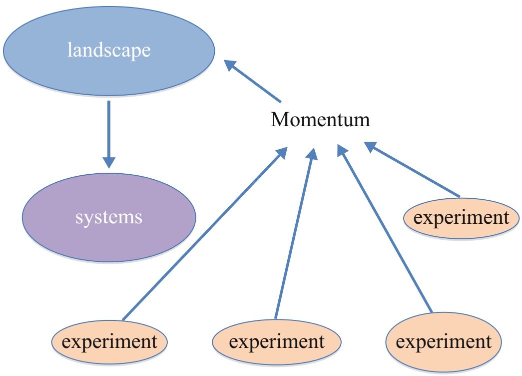


Fig. 5 Experiments, systems, landscape

How can we help to move our organizations in new directions? How do we get from being a frightened person to someone building toward a new world? In this section I describe some suggestions, both from personal experience and from interviews with undercurrent leaders.

Transform Your Discontent

The feelings of discontent are the source of transformation. Transformation always begins with something that "doesn't sit right." As we take these feelings of discontent seriously, we may discover that underneath is a desire for something different. Quirijn Bolle used to work in a large Dutch supermarket where he discovered how the food industry works. He felt he was selling garbage and that he was being manipulated with bonuses to keep his mouth shut. After being angry for a while, he decided he wanted to do things differently, even if he would lose his attractive salary. He quit his job and went to set up an alternative supermarket, selling biological products at fair prices. Once his first shop became a success, he set up more supermarkets. His ambition is to change the business model in the food industry, allowing all parts in the food chain to profit equally.

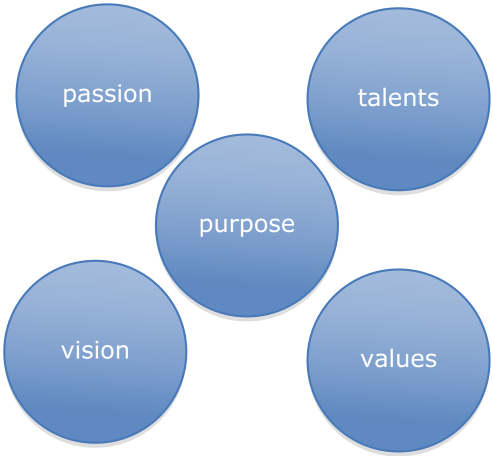
So if you wake up in the morning with a heavy heart, or you drive home from work, worried and angry about the things you've experienced, take your worries and anger seriously. Delve into your feelings to find what it is that you miss and that you long for. Then try to give words or images to what your soul whispers to you in a soft voice, so as to give it substance. Then start to communicate about your desires.

Find Your Internal Compass

From what you discovered in trying to uncover the desires underneath your frustration and discontent, you now need to take things a step further. You need an internal compass, consisting of your passion, your talents, your vision, and your values (Fig. 6). These elements help you discover your purpose in life. In these transition times, there are no outer road signs that indicate the way to go, so you will have to develop your own, from the inside out, not by asking yourself what the world needs, but by asking what makes you come alive or, rather, what makes it worthwhile for you to live in these dynamic times. What does truly matter to you? What do you value? What images do you have of a better world around you? What does it look like?

The more you are able to formulate these elements in words, or even in a written statement, the more it will help you find direction in a world in transition. It will also help you when you meet opposition from other people. Edward Doorten was frustrated with the regular gas stations where he'd fill his car with petrol. His vision was to open the first sustainable gas station in the Netherlands. One of his talents is perseverance. After 10 years of difficulties, he finally opened Green Planet, his climate-neutral gas station, providing only green gas, in November 2013. The gas

Fig. 6 Internal compass



station is also built sustainably, and it generates its own energy by means of wind turbines from regional garbage.

From Flame to Form

Undercurrent leaders look for ways to make their ideas concrete. Other than classical leaders, they do not assume that they can create from their desks. Rather, they find their way step by step in a chaotic world. They are entrepreneurial in the sense that they start, even if they have no clear strategy. It is not coincidental that entrepreneurs usually operate outside the confines of traditional hierarchy and need some free space to develop their ideas. It is not optional either; entrepreneurs are practical people who wish to translate their ideas into reality. They are neither leader nor follower; rather, they are focused on realizing their ideas. They get more excited by the gap between dream and concrete products than by policy plans.

To transform an idea into a concrete form, pioneers need to develop their imagination and inner compass and at the same time be grounded in the material world. Pioneers in the undercurrent world are not lonely inventors in an attic; however, they go out and meet people with whom they can realize their ideas.

Co-create with Others

Transforming an unconventional idea into a concrete form within a skeptical environment is something that cannot be done alone.

Pioneers need people around them to help build the ideas and dreams from scratch. They look for people who share their passion but have different, complementary perspectives and skills. They like to connect and network and collect people around them to co-create something new.

Co-creation starts with a conscious not knowing and a collective orientation. How do you build an organization without managers? What does an organic supermarket look like? What kinds of IT activities are young adults with autism really good at? How do we build a green gas station, what would it sell, and what not? This open way of searching and finding together can unlock a surprising collective wisdom, which can lead to fundamentally new ideas and new people to cooperate with. To be an organic supermarket that aims to change the whole food chain, which suppliers will we work with and what does that cooperation look like?

Undercurrent pioneers are usually not the ones who know, but the ones who have a dream. Therefore, you don't have to draw back if you have no idea how to make your dream come true. Once you know what your dream is, you need the right people around you. Undercurrent pioneers know that structures and business plans don't create anything new; meeting new people does have that potential.

I know an entrepreneur who searched for 5 years to find a way to recycle certain forms of plastic. All he did was talk to people and present his ideas. Ultimately, he had found the right technology and the partners to provide that; he found ways of collecting and recycling and people who could help him with legal matters.

So go out, find people who share your dream or who get excited by your vision, yet have a different perspective, a different network of people around them, or different skills. Meet them with an open mind, be authentic, and don't hide behind a formal role, to create a connection in which creativity can flow.

Intelligent Disobedience

The director of an old people's home was worried, because her professionals were complaining that the rules in their work made no sense and were often counterproductive. She decided to abolish all rules, except for two. The first was to follow the purpose of the organization, which is to provide the environment for people to live a happy old age. The second was to use your common sense and your experience as a professional. The professionals were happy, but she had a new problem: how to explain this to the Inspection, to the Department of Health, and other stakeholders? Her organization might be reprimanded or even sued. She then decided that this would have to be her full-time work. As the organization could perfectly manage itself, she would spend all her time talking to all stakeholders, trying to convince them of this new approach and to find new solutions.

If you are a pioneer, you will curve out new paths and enter new territory. You may find yourself puzzled with things no one has ever worried about before. You cannot get to a new world by using the well-known methods and procedures, and you will not get there if you let yourself be restrained by rules of the old world. Some professionals in bureaucracies become pioneers exactly because they stop adhering to the methods and rules of the old world. They have the courage to let go of old habits, and by taking their distances from these self-evident patterns, they are forced to reinvent themselves and their ways of working.

It is not that they defy the rules because they are rebels. They stop adhering to rules when there is something larger at stake, when abiding by the rules would cause a dangerous situation. They do not follow the rules blindly, but use their intelligence to distinguish when – in the interest of the organizations' purpose or the safety of the client, following the rule would not be a good idea. They disobey the rules when following them would mean going against their common sense, their conscience, or the purpose of the organization. Professional disobedience is not following the rules because the professional standards you were trained in are threatened by the rules.

They do not do so lightheartedly; they are willing to take responsibility for the consequences. They may see their disobedience as a conscious intervention to change a fixed mind-set and together with others look for new ways of organizing things.

In this section I have given some suggestions for those who would like to help roll the ball toward a new future. If you are frustrated with the system you work in, you always have a choice, to stay and comply or to leave and create something different. That doesn't require charisma, a high education, or lots of experience. Anyone can make the step, even at the edges of large bureaucracies. Those who have the courage to do will be the ones that change our ways of doing and ultimately our ways of thinking.

Conclusions

This chapter demonstrates the transition time we are in. Most of us are insecure and confused, discontent with the world we know and not knowing in what direction we are headed.

It is a sign of the times that in the past 15–20 years we have seen hundreds of experimental organizations arising, from start-ups to collectives and cooperatives to networks and communities. These alternative ways of organizing can be seen as the front-runners of a new era. The thinking behind these ways of organizing points to a paradigm shift in organizational theories.

Together, these new and alternative ways of organizing, however small in size and scope, can be viewed as an "undercurrent" of a new organizational reality.

They are based on radically different premises, and depart from a totally different thinking about organizing, which gives way to creativity and innovation.

In this chapter I have described this undercurrent with many examples, among which are the case study of Buurtzorg, one of the most successful undercurrent organizations in the Netherlands, and nine typical characteristics. Of those nine, the two first are essential: without a different mind-set and a focus on the organization's purpose, we will fall back on hierarchy and bureaucracy all the time. This is what I point out in the section on transforming bureaucracies. Although it would be wonderful if large corporations could learn from the lessons of the undercurrent, the reality shows that most bureaucracies are rather resilient to the kind of fundamental transformation happening in the undercurrent.

Transformation in the organizational paradigm can, in my view, only come from alternative organizations outside the established world, where they are not hindered by old principles and habits. These new ways of organizing influence the way of doing in organizations, ultimately the way of thinking about organizations, which ultimately changes the entire society, including its classic bureaucracies. We must therefore support undercurrent organizations, either by communicating about them in the old world or by actively working in them and by upscaling the often-small initiatives.

The implication is that we can all play a major part in transforming our society: by transforming our discontent with the old world into a desire for new things and then build that new world together with like-minded people with different skills and perspectives. In this chapter I have given some suggestions how to be such a pioneer in the undercurrent world. I have demonstrated that although it can be confronting to step out of the comfort zone of complaints and anger, it is very exciting to actually build a new world step by step. We live in a confusing but also very exciting time.

References

Birkinshaw J (2010) Reinventing management. Smarter choices for getting work done. Wiley, San Francisco

Bregman R (2016) Waarom de baas van Buurtzorg de baas van Nederland zou moeten zijn. De Correspondent, 29 Aug 2016. https://decorrespondent.nl/5147/waarom-de-baas-van-buurtzorg-de-baas-van-nederland-zou-moeten-zijn/451501211986-001870d9

Carney B, Getz I (2009) Freedom, Inc. free your employees and let them lead your business to higher productivity, profits and growth. Crown Business/Random House, New York

de Blok J, Pool A (2010) Buurtzorg: menselijkheid boven bureaucratie. Boom Lemma, Den Haag

de Sitter U (1981) Op weg naar nieuwe fabrieken en kantoren. Kluwer, Deventer

Drath WH (2001) The deep blue sea: rethinking the source of leadership. Jossey-Bass, San Francisco

Dweck C (2006) Mindset: the new psychology of success. Ballantine/Random House, New York

Hamel G (2007) The future of management. Harvard Business School Press, Boston

Hamel G (2011) First let's fire all the managers. Harvard Business Review, Dec 2011

Home Care by Self-Governing Nursing Teams: The Netherlands' Buurtzorg Model. Commonwealth Fund. 29 May 2015. Retrieved 8 June 2015

Huijbers P (2010) Care in the neighbourhood: better home care at reduced cost. Interlinks. Retrieved 17 May 2016. http://interlinks.euro.centre.org/model/example/NeighbourhoodCareBetterHomeCareAtReducedCost

Jackson T (2009) Prosperity without growth. Economics for a finite planet. Earthscan/Routledge, Oxon

Johansen B (2007) Get there early: sensing the future to compete in the present. Berrett-Koehler Publishers, San Francisco

Kellerman B (2012) The end of leadership. Harper Collins, New York

Kotter J, Heskett J (2011) Corporate culture and performance. Free Press/Simon & Schuster, New York

KPMG/Plexus (2015) De toegevoegde waarde van Buurtzorg t.o.v. andere aanbieders van thuiszorg. Een kwantitatieve analyse van thuiszorg in Nederland anno 2013

Kuhn T (1962, 1996) The structure of scientific revolutions, 3rd edn. University of Chicago Press, Chicago

Kuipers H, van Amelsvoort P, Kramer EH (2010) Het Nieuwe Organiseren. Alternatieven voor de bureaucratie. uitgeverij Acco, Leuven/Den Haag
Marichal K, Maenen S (2015) Naar een new deal voor leidinggevenden in innovatieve arbeidsorganisatie. Research description: http://tfli.be/solutions-leadershipresearch-2/
McGregor D (1960) The human side of enterprise. McGrawHill, New York
Milgrom P, Roberts J (1995) Complementarities and fit: strategy, structure and organizational change in manufacturing'. J Account Econ 19(2/3):179–208
Myers K, Sadaghiani K (2010) Millennials in the workplace: a communication perspective on millennials' organizational relationships and performance. J Bus Psychol 25(2):225–238
Nandram S (2014) Organizational innovation by integrating simplification: learning from Buurtzorg Nederland. Springer, Switzerland
Neal J (2006) Edgewalkers. Praeger Publications, Westport
Neal J (2011) Edgewalker organizations. In: Bouckaert L, Zsolnai L (eds) Handbook of spirituality and business. Palgrave MacMillan, New York
Parker M (2002) Against management. Polity Press/Blackwell, Cambridge
Pettigrew A, Whittington R (2003) Complementarities in action: organizational change and performance in BP and Unilever 1985–2002. In: Pettigrew A et al (eds) Innovative forms of organizing. Sage, London
Report for the Dutch Ministery of Public Health (VWS). Available at http://www.invoorzorg.nl/docs/ivz/informatiecentrum/de-toegevoegde-waarde-van-buurtzorg-t-o-v-andere-aanbieders-van-thuiszorg.pdf
Rotmans J (2012) In het oog van de orkaan. Aeneas, Boxtel
Rotmans J, Loorbach DA (2008) Transition management: reflexive governance of societal complexity through searching, learning and experimenting. In: Bergh JC v d, Bruisma FR (eds) Managing the transition to renewable energy. Edward Elgar, Cheltenham, pp 15–46. http://hdl.handle.net/1765/37236
Rotmans J, Kemp R, van Asselt M (2001) More evolution than revolution: transition management in public policy. Foresight 3(1):15
Schuijt L (2014) Wat bezielt ons? Van verstarring naar vitaliteit. Vakmedianet, Deventer
Trist E, Bamforth K (1951) Some social and psychological consequences of the longwall method of coal getting. Human Relations 4:3–38, p.14
Van den Brink G, van Hulst M, De Graaf L, van der Pennen T (2012) Best persons. Boom Lemma, Den Haag
Winter C (2014) This Dutch wunderkind now has the funds to build his ocean cleanup machine. Bloomberg Businessweek, 16 Sept 2014
Zomerdijk C, van der Zwan C (2009) Weg met de bureaucratie in de thuiszorg. Managementsite, 29 Sept 2009. https://www.managementsite.nl/weg-bureaucratie-thuiszorg-alles-telt-relatie-tussen-medewerker-klant-deel-2

The Transformation to Open-Heart Skills and Mindfulness in Healthcare Using the INTOUCH Model

Rhonda S. Ellis

Contents

Abstract

The purpose of this case study was to evaluate areas of weakness in customer care, communication, leadership, and organizational culture of an eye clinic (40 employees) in the central part of the United States and propose specific strategies to address any deficiencies. Following initial interviews with the administrator and a senior physician partner, and observations of the organizational environment, variations of the organizational culture were measured using

R. S. Ellis (✉)
INTOUCH Coaching, LLC, Fayetteville, AR, USA
e-mail: rhonda@wiseandintouch.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_19

a company-wide survey to obtain a baseline measurement for the perception of communication, job satisfaction, and supervisor interaction with employees. Additionally, a quantitative and qualitative assessment was used to evaluate personal and organizational transformation. Specific actions taken to address deficiencies included: customer care training and personality profiling with all employees, leadership training, and coaching with physicians and administration, team building, quarterly reinforcement during staff meetings, and monthly newsletter articles published in the company newsletter. A 2-year model was developed to integrate the actions mentioned above. After 22 months, survey data suggests improved communication and job satisfaction, a decrease in absenteeism, an increase in the new patient ratio and average monthly collections, and the reported experience of personal and organizational transformation.

Keywords

Organizational culture · Mindfulness · Customer care · Job satisfaction · Physician · Healthcare · Emotional intelligence · Coaching

Introduction

Healthcare is an industry that experiences rapid and constant change. Changes include government regulations, advancing technologies, third-party payer negotiations, and the demand of consumerism for quality and efficient customer care. For organizations to respond to all of these changes effectively, organizations need intentional leadership. Leadership is a behavior rather than a position or title. Behaviors such as emotional intelligence, mindfulness, and altruistic love have been deemed necessary in leadership competency but have received marginal attention in small to medium-size physician practices. Cleveland Clinic has been a role model for leadership development with the establishment of the Cleveland Clinic Academy (CCA) in 2006 to address the leadership gap in healthcare (Hess 2013). Cleveland Clinic also offers a 10-day leadership development course for physicians: Leading in Healthcare (LHC) that includes a full-day session dedicated to emotional intelligence. The Emotional Competency Inventory (ECI) is administered with subsequent executive coaching (Nowacki et al. 2016). Larger clinics may appear to be at an advantage at equipping leaders. However, there are personal and professional improvements that smaller clinics can integrate for strengthening leadership and competency.

In this case study, the administrator of the eye clinic had concern for leadership development of all staff and the customer care provided to the patients. At least one senior physician partner at the eye clinic expressed a desire for increased “open-heart skills” for one another and the patients. The “open-heart skills” were conveyed as self-awareness, empathy, compassion, and altruism. These qualities can enhance the connection among people, improve lives, and make leaders heroes in the workplace. Goleman (2004) suggests the most effective leaders are not necessarily the ones that have the highest IQ or technical skills but the ones who have a high degree of emotional intelligence. Emotional intelligence is the ability to recognize ones feelings and those of others, to motivate ourselves and others, and manage one's emotions and the emotions of others effectively (Goleman 1995). Development of the "open-heart skills" within a healthcare setting may not be a priority because of the emphasis on the intellectual quotient (IQ) and technical abilities, and these are perceived to be the most valued and having the most influence on profits and ROI (Return on Investment). One of the questions that existed in the mind of the author was what about the ROR (Return on Relationship)? Phillips (2016) suggests nurturing relationships is the basis for ROR that could lead to the loyalty of employees and customers that then yield favorable referrals. The allegiance of customers depends on the ability of employees to communicate with the intent to connect.

The patients', and to some extent healthcare employees', *perceived* competence of physicians and other healthcare providers can be based on their compassion and connection. The Hospital Consumer Assessment of Healthcare Providers and Systems (HCAHPS) was created to provide a standard for measuring patients' perception of hospital care. The 21 question survey encompasses nine key topics: communication with doctors, communication with nurses, the responsiveness of hospital staff, pain management, communication about medicines, discharge information, cleanliness of the hospital environment, the quietness of the hospital environment, and transition of care (CAHPS 2005). All of these measures include an aspect of communication, compassion, or competence and can be equally transferred to any healthcare clinic.

The objective of this case study is to discuss the practices established with a 2-year model and the outcomes observed up to this point. The relevance of this case study is to consider communication and conflict management challenges, and the importance of knowing how people connect in the workplace. Moreover, awareness is given to any barriers that may present for practice administrators and managers feeling lonely at the top of the leadership ladder. Coworkers may fear or keep administrators, managers, and physicians at an arm's length. The self-control that is needed to keep information confidential and not vent to employees can create a feeling of isolation (Hills 2016). There is a balance in developing workplace relationships. The integration of emotional intelligence and other "open-heart skills" could lead to healthy ways to manage leadership loneliness, increase communication and collaboration, improve conflict resolution, and enhance compassion and competence in a medical clinic setting.

Model Description

The INTOUCH (Intentional Navigation TO Ultimate Connection and Health) model was used for the eye clinic in this case study. The acronym, INTOUCH, was created by the author due to the observation of leadership, communication, collaboration, and other organizational behaviors needing mindful attention. Furthermore, sometimes in healthcare with a focus on the clinical, technological interventions, the emphasis on improvement can appear to be "hi-tech" versus "hi-touch" (Naisbitt et al. 2001). The development of organizational behaviors demands intentional focus and practices to support a vigorous connection among all stakeholders. The health of individuals and the health of the organization influence the ability of the organization to successfully advance in reaching the highest potential. Organizational health has been defined by Lencioni (2012) as an organization having integrity (whole, consistent, and complete) and when its management, operations, strategy, and culture fit together and make sense (p. 5).

The goal of the INTOUCH Model is to provide an all-inclusive approach to developing an organizational culture that enables an organization to thrive versus just survive. The INTOUCH Model in this case study included the following components: administration of the Path Elements Profile a value-based personality assessment, leadership mastermind groups, leadership coaching, customer care training, and reinforcement meetings and articles in the company newsletter. As the integrative practices were implemented and the "open-heart skills" developed, employees reported personal and organizational transformation (Fig. 1). The components of the INTOUCH Model will be discussed as follows.

Fig. 1 Integration and developments of the INTOUCH Model

Path Elements Profile

All employees participated in the administration of the Path Elements online personality profile. There was a 4-hour team building session to explain the elements and engage in team building activities. The Path Elements Profile (Jones 2005) is based on the elements of nature: Water, Wind, Earth, and Fire. This personality assessment was chosen for several reasons (1) the simplicity and familiarity of the elements of nature, (2) the tool is fun and intuitive offering rich metaphors and nonjudgmental team building, and (3) once you know your element(s), you will never forget them (Jones 2005 p. XVII).

The Path Elements Profile is better known as a communication, collaboration, and conflict management tool. Each element (Water, Wind, Earth, and Fire) has strengths and challenges. Fire and Water tend to be opposites in behavior, while Earth and Wind tend to be opposites. During the team building session, the participants were placed in groups by their highest element score. The opposite elements were presented across from each other with an exercise to communicate not only the differences but also how each element compliments the other elements and cannot survive without the other element.

For example, the following are characteristics of the elements (Tables 1, 2) to keep in mind when working with the elements on a team.

Table 1 Characteristics of elements Earth and Wind (Jones 2005, pp. 74–75)

Earth (opposites)	Wind (opposites)
Give them time to do their work	Give them motion and flexibility
Leave them alone to do their work; include them in any major or long-term project	Do not box them in with single projects, rules, procedures, or details
Give them lots of documentation and factual support	Keep them stimulated
Allow them to create and/or provide them with design, structure, and order	Listen to their new ideas, no matter how crazy they seem
Do probe carefully for hidden anger or resentment spots	They are the messenger element and can see the whole picture like no other element can

Table 2 Characteristics of elements Water and Fire

Water (opposites)	Fire (opposites)
Remember that relationships and the feelings of others are their core values	Give them authority as soon as possible
Allow them time for reflection and "detoxification"	Challenge them with big, "impossible" tasks
Allow them to find their way to get there, once you have seen the general guidelines for tasks	Praise them constantly
Listen to their subtle voice and suggestions	Remind them of their need for the other elements
Do encourage them, see them, and treat them as vital team leaders (remember nothing grows without water)	Remember their highest need is achievement

Case studies were presented using various scenarios of the Elemental (Water, Wind, Earth, and Fire) distribution among hypothetical teams. The groups were asked to identify the strengths and challenges that may present with the elemental makeup in each case study. For additional critical thinking and analysis, each group needed to propose solutions for balancing out the team other than hiring a more elemental diverse team. The case studies provided an exercise in communication, collaboration, and conflict management solutions. The Path Elements Profile offers more than personality profiling.

A large majority of Fortune 500 organizations use personality tests, such as Myers-Briggs Type Indicator, DiSC personality, Birkman personality test, etc., to assess their employees for development, coaching, or team building (Dattner 2008). The wisdom from Jung (1957) suggests a person become conscious of oneself. The discovery of one's personality can have an influence on one's life purpose, and interpersonal and team building skills. This type of learning is congruent with the well-received concept of "learning organizations" and the importance of self-mastery, and development of the whole organization (Senge et al. 1994).

Communication and Job Satisfaction Assessment

The phrase, "happy employees," suggests a measure of satisfaction with the job and the organizational culture (Lok and Crawford 1999). Good leaders understand the need for "happy employees." The leadership competencies of vision, purpose, trust, and self-awareness are all central to effective communication (Clutterbuck and Hirst 2002). If communication is the life blood of an organization and the flow of that lifeblood is blocked, there is a potential for collapses within the organization. Growth and harmony rises and falls on communication.

Business communication skills usually consist of three subsets: (1) organizational communication skills: the use of information technology, oral and written presentations, negotiation, and conflict management; (2) leadership communication skills: inspiring momentum, change agent, team building, persuasion, and optimism; and (3) interpersonal communication skills: listening, building relationships, emotional intelligence, and trust, relating to diverse backgrounds (Roebuck 2001). According to Keyton et al. (2013), competent communicators should be able to use communication behaviors to organize work processes and express frustration and displeasure in an operational manner.

Communication in the healthcare industry has an intensified importance because of patient safety and the provision of quality of care. Poor relationships between staff, and poor communication, in general, can affect patient care and should be the concern of physicians, administrators, and supervisors (Timmins 2011). Including staff in the decision-making process improves communication, empowers others, and increases job satisfaction (Thyer 2002). Staff can feel intimidated by managers and physicians if they appear to be unapproachable. Cultivating a culture of open communication and transparency can set staff at ease and encourage feedback that could result in improved processes. An open-door policy created an avenue for open communication.

The open-door policy at the eye clinic was established to communicate the best time to visit with a supervisor. The following criterions were established: (1) if the door is wide open that communicates come in and talk; (2) if the door is half-closed that communicates if a situation cannot wait, come in and talk; (3) if the door is closed that communicates work on a project or private conversation, and come back another time. The open-door policy removed the tension and provided an open communication environment for employees to feel comfortable connecting to the manager, administrator, or physician.

To evaluate perceptions of communication, job satisfaction, and supervisor connection and interaction, a 5-Likert scale survey was developed for the eye clinic in this case study. After the analysis of the baseline communication and job satisfaction assessment, a disconnection of communication between administration and the rest of the employees was revealed. To help fill this void, the administrator integrated Leadership by Wandering Around (LBWA) with a goal of visiting each department in the clinic at least once a day. Also, a monthly newsletter was implemented. With daily tasks and demands, communication can be a challenge. The newsletter provided an avenue to communicate upcoming technology, build camaraderie, and reinforce leadership, customer care, and the Path Elements Profile concepts. The assessment was provided biannually and results will be discussed in a later section of this chapter.

Customer Care Training

Connection The 3 C's (connection, compassion, and competence) of customer care training was inspired and developed by the author after working in the healthcare industry and seeing disparities in customer care. The precursor to customer care is employee care. Employees are the internal customers, and their productivity, job satisfaction, and loyalty must precede any satisfaction of the external customer (Berry et al. 1976). Furthermore, research by O'Neill (2005) suggests workplace communication, inclusion in decision-making, employee benefits and equity on remuneration are desired features in organizational cultures. Communication and organizational culture were two emphases for connection.

Positive communication, a value-based culture, and organizational purpose (or the "WHY") are primary organizational behaviors for sustaining the satisfaction of the internal customer (employee). Sinek (2009) is adamant about leaders providing clarity of WHY the organization exists beyond its products for employees to know WHY they come to work. Organizational values, the WHY, positive communication statements, and best practices are all determined during the customer care training. The perceived values that surfaced during the customer care at the eye clinic training sessions were: intentionality, accurate knowledge, accountability, encouragement, friendly, good atmosphere, personable, caring, compassionate, and a "get it done" attitude.

The WHY statement that was created during the customer care training was: “We will make an impact on the quality of your day, you will remember us with a smile, and to top it off, we will work to explore all possibilities in restoring the most powerful human sense. . .SIGHT!” This was later shortened to a vision statement of “Vision for life.” The eye clinic in this case study focused on developing a culture of shared values, beliefs, and vision. Often, the founder’s vision influences the way employees to act and understand their actions and the action of others (Dunnet 2007).

Each customer care training session began with a mindfulness meditation. Two iOS apps were suggested for downloads to begin practicing mindfulness meditation. Mindfulness was given more attention during the session on compassion and will be discussed in greater detail later in this chapter. All employees were challenged to look at themselves as leaders. Leadership is the influence that we have on others (Maxwell 2007) and that influence can be either positive or negative. Also, employees were to assume the role of first impression specialists. Only one chance is provided to make a first impression every day. Participants were encouraged to integrate the following practices to strengthen connection:

Wear a name badge every day.
Acknowledge the person within three seconds of presenting to the reception area.
Smile while talking on the phone.
Greet people by telling them your name – establish a connection.
“May I have your name please?”
Listen for the patient’s name and address the patient by name in the next sentence.
Use a tone that is pleasant, friendly, and energizing.

Compassion Compassion begins with becoming mindful of knowing yourself. Being aware of other’s needs, showing empathy, and actively responding to improve one’s well-being, all are a part of being compassionate. The customer care compassion session included the integration of emotional intelligence and mindfulness as part of caring for each other and patients. According to Kabat-Zinn (1994), the creator of Mindfulness-Based Stress Reduction, mindfulness is paying attention to the present moment on purpose and without judgment.

In the beginning, there was some discomfort and hesitancy regarding the learning and practice of mindfulness. The reason for the uneasiness could be because of the myths about mindfulness being about a religion, a new age ritual involving chanting, or positive thinking. Mindfulness can also be confused with mindfulness meditation: a deep breathing and/or guided imagery technique used to relax and reduce stress. By discussing the opposite of mindfulness and mindlessness, participants were set at ease. Mindlessness is operating like a robot with emotions and behaviors being programmed to distinctions and associations of the past (Wang and Adams 2016). The participants were asked, “Have you ever been on the other side of a traffic light and said, ‘I hope that traffic light was green?’” The hustle and bustle of daily demands and the need to be available 24/7 with modern technologies can find individuals feeling like “programmed” robots versus human beings. The examples of mindless driving and "programmed" robots to go, go, and go provided a vivid picture of the practice of mindlessness for the participants.

Wang and Adams (2016) suggests the following examples of mindlessness versus mindfulness in the workplace:

Conversations – Mindlessness: When someone else is talking and you are thinking of how you are going to respond. Mindfulness: Engaging in deep listening, giving 100% of your attention to the other person and observing any nonverbal communication.

During meetings – Mindlessness: Running into a meeting late, checking your phone, and multitasking and disengaging in conversation. You pick up your things and run to the next meeting appearing to be on autopilot. Mindfulness: You arrive early to the meeting, with the agenda and other pertinent information. You are fully present taking notes and developing action plans to move forward.

Facing disappointments – Mindlessness: You beat yourself up and think negative thoughts for several days. Self-judging and assigning untrue labels so much that it effects your productivity at work. Mindfulness: You acknowledge the feelings of disappointment, take a deep breath, and reflect on what you could do differently in the future, casting no judgment and having compassion for yourself (Wang and Adams 2016, p. 2).

There is a considerable amount of evidence to suggest mindfulness contributes to reducing burnout among healthcare professionals (Luken and Sammons 2016). Mindfulness can also aid in creativity by helping us become mindful of our assumptions (Bell 2013). Mindfulness is being used in Google and the US Military, and schools are using mindfulness to reduce test anxiety (McCartney 2016). Aetna has estimated a savings of $2000 per employee in healthcare costs and gained about $3000 per employee in productivity since integrating its mindfulness programs (Pinsker 2015). Target, Ford, and Adobe, and General Mills are other companies integrating mindfulness programs. Mindfulness and several of the constructs of emotional intelligence (i.e., self-awareness, empathy, and social skill) are compatible in developing compassion as a customer care component.

According to Goleman (2004), self-aware people are comfortable with knowing and discussing their limitations and strengths, as opposed to those with low self-awareness viewing challenges as failure and needing to improve as a threat. Furthermore, empathy is considering other people's emotions and other factors during decision-making. Identifying the socially skilled or persuasive networkers in an organization and allowing them to have influence can increase collaborative efforts in an organization. The research of Taylor et al. (2015) suggests the development of emotional intelligence and daily reflective practices helped nurses to feel less drained by their work. The healthcare industry will remain as a fast-paced, complex, and unpredictable work environment. The practices of mindfulness and emotional intelligence suggest favorable solutions for relieving stress and the feeling of being overwhelmed. Integration of mindfulness, emotional intelligence, and compassion could be integrated by the following:

Stay present – practice mindfulness meditation by breathing and relaxing your mind.
Cultivate inner silence – consciously think about not thinking.
Access a pleasant memory – enter a conversation with an expression of kindness, compassion, and/or interest.
Observe nonverbal cues – "keep your eye on the present."
Speak briefly – limit your speaking to 30 s or less, speak in smaller segments pausing for the other person to respond.
Listen deeply – train your mind to focus on the person's words, gestures, facial expressions, etc. (Newberg 2012).

Aviles and Dent (2015) and the review of mindfulness and organizational transformation provide insights on mindfulness and well-being, change, innovation, and creativity. Moreover, mindfulness has been suggested as a practice in helping employees become more competent in performing their jobs.

Competence Competence takes commitment and courage. Commitment is being a lifelong learner and viewing oneself as a leader even if there is no formal title or position attached. Those who have a misinformed view of competency may believe there is nothing left to learn. The gap between your vision and your present reality is fulfilled with a commitment to reach your highest potential.

Courage can be the driver of competency. The definition of courage is a mental or moral strength to venture, persevere, and withstand danger, fear, or difficulty (Merriam-Webster 2016). Moreover, going back to the French origin of the word courage, "courage," the definition is the heart, innermost feelings, and temper (Harper 2016). During the competence session of the 3 C's of customer care training participants were encouraged to consult their heart and their work at the eye clinic. They could view their work as a job, a career, or a calling or vocation. A job is simply a means to the end: the paycheck. A career is focusing on the work needed to through the steps to the next promotion. A vocation or calling is work you do for its own sake, work that has an effect on the greater common good and making a difference. Employees can find themselves fulfilling their job responsibilities in one or all three of these stages during the lifespan of employment.

Viewing work as a calling indicates a crossing over to the spiritual aspect of life. Humans are made up of a body, mind, and spirit. Releasing all three in the workplace can enable people to realize and engage their full potential (Smith and Rayment 2006). Intrinsic motivation, transformational leadership, and organizational culture theory all operate on the premise that people want to be engaged in meaningful work (Marques et al. 2011). Formulating that meaning and purpose in work can also provide a sense of authenticity. Being authentic requires vulnerability and courage. As employees view their work as a calling, they can become vulnerable contributors challenging their leadership and the processes in their departments. This practice is the beginning of making their workplaces better. A leader is anyone who holds her or himself accountable for finding potential in people and processes (Brown 2012). The integration of competence through courage and vulnerability could be integrated with the following practices:

Search your heart for your calling.
Be vulnerable – ask questions.
Engage your team in a brainstorming session to create the zip, the zing, the ginger that can move your work and results to the next level.
What new detail will you have the courage to try as a First Impression Specialist?
Ask yourself how do I want to make a difference?
Have the courage to fail.

As competence increases, a craving and desire for additional knowledge and leadership training can be provided through mastermind groups.

Mastermind Groups

After 6 months of completing assessments and customer care training, the organization experienced a sense of discovery and desire to learn more about leadership, each other, and to become a learning organization. According to Senge (2006), the definition of learning is: “learning is a process whereby we enhance our capacity, individually and collectively, to create the results we truly want to create” (p. v). The leaders of the eye clinic in this study were communally seeing the organization they could create. Capturing a vision of a better organization is the first step towards intentional greatness.

During the 2 years of the integration of the INTOUCH Model, two mastermind groups were used to learn more about leadership and create time for the ophthalmologists, optometrists, and administration to “sit around a table” and collaborate and learn together. Each mastermind lasted 10 consecutive weeks meeting on the same day of the week. The mastermind is defined as: “Coordination of knowledge and effort, in a spirit of harmony, between two or more people, for the attainment of a definite purpose” (Hill 1937, p. 195). The energy that is created in mastermind groups can influence the power of thought to new habits. The presence of growth and harmony is a driving force towards collaboration and camaraderie.

The first year, the book, the *21 Irrefutable Laws of Leadership*, by John C. Maxwell (2007) was integrated to establish a foundation of leadership principles. The content of this book provided leadership principles such as trust, respect, influence, process, empowerment, connection, priorities, buy-in, legacy, and so on. Maxwell (2007) states, “The lower an individual’s ability to lead, the lower the lid on his or her potential; the higher the individual’s ability to lead, the higher the lid on his or her potential” (p. 1). This statement set the tone for any reluctance for acquiring new knowledge. Some participants had a difficult time with viewing themselves as a leader. Though, when discussing leadership as influencing people to follow, there was a greater understanding and acceptance. This was a valuable mastermind since formal leadership training had not been acquired by most of the participants.

The second year, the book, *Discover Your True North*, by Bill George was used with the goal of defining the true north of the practice. The book provided insights on purpose, vulnerability, relationships, self-awareness, serving others, transformation, and authentic leadership. During this process, the leadership team (doctors and administration) began to move from the mental model of "me versus you" to "we are in this together." The transformation from the "me" leadership focusing on self to the "we" leadership was a transformation to serving others. George (2015) suggests "Only when you make this transformation will you be ready to discover the purpose of your leadership and empower people around a shared purpose" (p. 11). There were times that we laughed and times that we cried during these sessions. This learning experience was about vulnerability, building mutual respect and trust, cultivating people, and pulling people toward the purpose or the WHY of the existence of the organization. The time spent with these leaders was simply a beautiful experience.

Leadership Coaching

In conjunction with the first mastermind group, the doctors and the administration each received five, one-hour, leadership coaching sessions that were scheduled biweekly. Leadership development and coaching has been used as a competitive advantage in Fortune 500 companies. However, leadership coaching has lagged behind in the healthcare industry. There is an indication in the literature that leadership coaching with physicians is becoming more prevalent (Hess 2013; Hicks and McCracken 2011; Vance and Larson 2002). Physicians are trained to be independent thinkers, skeptical scientists, and self-reliant professionals (Henochowicz and Hetherington 2006, p. 183). The self-reliance and skepticism can create reluctance to the practice of leadership coaching with physicians. Moreover, physicians have not typically been trained in management and leadership. Without the leadership training, physicians can operate with the premise of you do not know what you do not know.

Physicians are consistently faced with a changing environment. The restructuring to larger hospitals and physician practice groups, growing infrastructure costs (i.e., EMR), threatening income reduction with payment reform, and the changing workforce that demands greater authenticity and relationships can find physicians struggling to lead orderly change (Hicks and McCracken 2011). The role of the physician as coach will become increasingly needed as new physicians enter the group practice. Coaching would be an excellent tool for physicians to add to their toolkit. Coaching and leadership have become two sides of the same coin (Hicks and McCracken 2011). The command and control era of management has become a less effective managements style and in some organizations and is practically nonexistent in others. However, some may choose to hold on to this type of management. The previous era has been replaced with a leadership style of building trust and relationships, setting clear expectations, identifying common goals, and creating commitment through a collaborative and harmonious work environment.

As medicine continues to make a shift into twenty-first century care with new technologies and treatments for disease, a shift in organizational culture will also be necessary. There is a need to shift from a management culture to a coaching culture. In a management culture, the focus is on controlling people by rewarding and punishing, getting things done, following the rules, and maintaining the status quo (Greenberg 2013). In this type of culture, the manager has the option to be a good manager or a bad manager. In a coaching culture, there is no option. Coaching culture focus on the human dimensions and integrating core competencies of emotional intelligence and coaching others to reach their highest potential. To be a coach means that you are not only challenging others but challenging everything you think and do as a leader every day. Healthcare executives, physicians, administrators, directors, and supervisors need to be trained in coaching to manage others more effectively. The American College of Physician Executives has sponsored courses to teach physician executives to motivate and coach other physicians (Henochowicz and Hetherington 2006).

Leadership coaching is different from counseling or mentoring. Counseling focuses more on the past and helps people understand the past and the influence on the present. Mentoring is designating a role model to follow for best practices. Leadership coaching focuses on the present and helps the coachee develop strategies and action plans to enhance professional effectiveness, create healthy work-life habits, and stress reduction techniques to manage moderate to high-stress jobs (Bleich 2016). Cleveland Clinic Academy appears to offer the best practice of developing a new breed of leaders with competency-based curriculum to improve leadership, management, communication, and quality. Their experiential curriculum and executive coaching have had an influence on leadership development at Cleveland Clinic and throughout the world (Hess 2013).

During the leadership coaching sessions with the leaders of the eye clinic in this case study, the goal was to offer strategies and tools to create an improved work environment for increased communication and collaboration. Assessments were provided to assess team competency, communication, and leadership skills. Also, a Wheel of Life assessment assesses balance of life (career, fun and recreation, health, money, and so on) was provided for a holistic approach to coaching. Some reluctance and skepticism surfaced during the beginning stages of coaching, but as the participants were coached through the sessions, the value of the process became apparent. Others embraced the coaching sessions with a mind of discovery and made lifetime changes (i.e., going back to finish a degree, committing to life-long learning and coaching, and coming to know thyself). After the first mastermind sessions and leadership coaching, there was an increase in trust, vulnerability, and communication. The momentum kept going with reinforcement of learning at staff meetings and the publication of relevant articles in the company newsletter.

Reinforcement Refreshers and Newsletters

During the customer care training, participants were inspired to talk and write about their passion. One participant talked about her passion for art. Within a month or so, the same participant painted three beautiful canvases with the words, “connection,” "compassion," and "competence" one on each canvas. The canvases are still on display in the breakroom as reinforcement and are a testament to the strength of the integration of the 3 C's of customer care training.

The author participated in quarterly staff meetings and began each meeting with a mindfulness meditation to reinforce the importance of being present. The meditations consisted of breathing and guided imagery. Topics such as emotional intelligence, team building, results of assessments, accountability, and other topics that were relative to the 3 C's of customer care and the Path Elements Profile were presented. This was a time for positive celebration for the learning that was taking place. Moreover, it provided an opportunity for the discovery and instruction of additional organizational behaviors such as conflict resolution and stress management.

There is not a workplace that is without conflict and stress. Marginal and controlled conflict and stress can be healthy; however, excessive stress and unresolved conflict can be unhealthy. Nonviolent communication was introduced as a conflict resolution strategy. Nonviolent Communication (NVC) is a process of clarifying what is being observed rather than diagnosing and judging (Rosenberg 2003). According to Rosenberg (2003), the NVC process includes observing the actions of the conflict that affect our well-being, stating how those actions made us feel, the needs within us that created the feeling, and the requests or concrete actions in an attempt to resolve conflict and restore harmony (p. 7).

During conflict resolution sessions, team members integrated the nonviolent communication process with a moderator. Also, during those sessions, team members reviewed the elements of their personality (Water, Wind, Earth, and Fire) and the common reaction to conflict by each element. For example, a person with Water as a dominant element wants to resolve conflict and restore harmony but may be passive aggressive. A person with Wind as a dominant element can explode during conflict but then forgives and desires to restore relationships quickly. Understanding the role of conflict in each personality element brought a sense of reassurance and acceptance for being different. Team members felt heard and saw value in having an organized strategy to address and resolve conflict and reduce stress.

Constantly caring for patients can create a sense of stress for some individuals. In addition, to deep breathing, coloring was introduced as a relaxation technique. Coloring books and crayons were provided in the breakroom. Mindfulness meditation was a technique to reduce anxiety and tension.

The development of the INTOUCH Model originated from a dream that employees would encounter a remarkable and meaningful experience more times than not while being present at their place of employment, and patients would have the same type of experience visiting a health care provider. The Path Elements Profile value-based personality assessment mastermind groups and coaching, conflict resolution strategy provided the leaders at the eye clinic the tools to create an intentional culture of connection, compassion, and competence in hopes that the encounters stated above would come true. An assessment measuring job satisfaction and perceived communication played a vital role in determining the effectiveness of the initiatives that were integrated.

Evaluations and Results

Results of Communication and Job Satisfaction Assessment

A survey was designed to measure the perception of overall job satisfaction, communication, and interaction between staff and supervisors. The survey was developed based on conversation with the leaders at the eye clinic and based on experience of the author. Due to the time constraint of integrating the INTOUCH Model, there was no reliability and validity data collected. Moreover, as additional organizations use the original survey, the goal is to collect reliability and validity data and provide an official name for the instrument. In addition, there was an original survey developed to measure organizational and personal transformation with the same scenario presenting with regards to reliability and validity. The population of the eye clinic was 40 employees with 82% of the participants completing the survey measuring perceived communication, job satisfaction, and interaction between staff and supervisors, and 85% of the participants completing the survey measuring transformation. Quantitative and qualitative data were collected. The quantitative data will be discussed followed by the qualitative data and organizational metrics that were provided by the eye clinic in this case study.

The communication and job satisfaction survey was collected on a biannual basis with flexibility in the collection of data due to busy times of the clinic. Survey results will be shared for the period of March (4 months into the first year of the case study) and October (11 months into the first year). There was an 88% response rate.

Analysis of the data collected for the period mentioned above suggested employees working at the eye clinic in this case study experienced a 20% increase (from 74% to 94%) in the perception of being either satisfied or very satisfied with their jobs (Table 3).

The March 2015 response to the following question was asked only 4 months into the case study. The analysis of the data suggests a decreasing trend for a declining level of satisfaction. However, close attention will be given to the final collection of data at the end of the 2-year initiative for results of the increasing or decrease of this trend (Table 4).

The analysis of the data collected with regards to employees at the eye clinic in this case study suggests a 24% increase (from 47% to 71%) in the perception of being heard and paid attention to by their supervisor (Table 5). Monthly team meetings with the staff, physician, and administration were established to facilitate a collective time of collaboration.

The analysis of the data collected with regards to the perception of people in the organization having great ability to be communicators suggests a 51% being satisfied or very satisfied of this occurrence. This will be a statistic that receives close attention with the final data collection (Table 6).

The analysis of the data collected with regards to communication in the organization being healthy suggests a 30% increase (from 32% to 62%) in the perception of communication being healthy (Table 7). Even though there was an increase during the period, 62% suggests there is improvement needed.

Table 3 Results of job satisfaction

How satisfied are you with your job?	
March 2015	October 2015
Very satisfied – 26%	Very satisfied – 28%
Satisfied – 48%	Satisfied – 66%
Somewhat satisfied – 26%	Somewhat satisfied – 7%

Table 4 Results of a level of satisfaction with regards to increasing for decreasing

In the past 6 months, what has happened to your level of satisfaction?	
March 2015	October 2015
Gone up – 39%	Gone up – 35%
Stayed the same – 44%	Stayed the same – 62%
Gone down – 17%	Gone down – 3%

Table 5 Results of employees perceived as being heard and paid attention to

Extent to which my supervisor listens and pays attention to me	
March 2015	October 2015
Very satisfied – 17%	Very satisfied – 25%
Satisfied – 30%	Satisfied – 46%
Somewhat satisfied – 26%	Somewhat satisfied 21%

Table 6 Results of employees perceived having great ability to be communicators

Extent to which the people in my organization have great ability as communicators	
March 2015	October 2015
Very satisfied – 4.3%	Very satisfied – 3%
Satisfied – 21.7%	Satisfied – 48%
Somewhat satisfied – 47.8%	Somewhat satisfied – 24%
Somewhat dissatisfied – 17%	Somewhat dissatisfied – 20% (See below)

Table 7 Results of employees perceived communication being basically healthy

Extent to which the attitudes toward communication in the organization are basically healthy	
March 2015	October 2015
Very satisfied – 9%	Very satisfied – 10%
Satisfied – 23%	Satisfied – 52%
Somewhat satisfied – 41%	Somewhat satisfied 24%
Indifferent – 14%	Indifferent – 10%
Somewhat dissatisfied – 9%	Somewhat dissatisfied – 3%
Dissatisfied – 5%	Dissatisfied – 0%

The analysis of the data collected with regards to perception of the integration of the monthly newsletter improving communication among staff and administration suggests some degree: 87% of the employees agree that the monthly newsletter has improved communication among staff and administration. The date was not collected in March 2015 due to the newsletter only being integrated 2 months (Table 8).

The analysis of the data collected with regards to perception of communication having improved over the last year suggests 72% of employees have some margin of agreement that communication improved during the first year of the case study. The data was not collected in March 2015 due to the start of the case study in November 2014 (Table 9).

The intentional assessment and integration of communication strategies suggest there are improvements being made at the eye clinic in this case study. Group leadership coaching with the administration, the establishment of an open-door policy, monthly team meetings, and the monthly newsletter are direct communication strategies being integrated.

Results of the Transformation Assessment

A transformation survey was designed to measure personal and organizational transformation. The survey consisted of 14 quantitative questions measured on a 5-Likert scale ranging from strongly disagree to strongly agree. There were also two qualitative questions: (1) What personal transformation (difference) have you experienced in the last year and a half as a result of the INTOUCH Model being implemented at the organization? (2) What organizational transformation (difference) have you experienced in the last year and a half as a result of the INTOUCH Model being implemented at the organization? There was an 80% response rate.

The analysis of the quantitative data suggests transformation in the areas of customer care, the connection to products improving the health of a patient, and

Table 8 Results of employees perceived communication by integration of the monthly newsletter

The monthly newsletter has improved communication among staff and administration	
October 2015	March 2015
Strongly agree – 21%	This data was not collected in March 2015
Agree – 45%	
Somewhat agree – 21%	

Table 9 Results of employees perceived communication during the first year of the case study

Communication has improved over the last year	
October 2015	March 2015
Strongly agree – 10%	This data was not collected in March 2015
Agree – 62%	
Neither agree nor disagree – 24%	

experiences of personal and organizational transformation. The assessment results indicate a concern for employees knowing how well they are doing on performance indicators, the WHY being communicated routinely, and communication as a priority in the workplace (Table 10).

The 3 C's of customer care training and the Path Elements Profile are part of new employee training. The consistent integration of these two initiatives and the reinforcements at monthly staff meetings and in the monthly company newsletter could explain the scores that rate high in the strongly agree and agree category. Intentional integration of initiatives can bring about change. Learning helps us to come into a great harmony with ourselves, each other, and the organization (Senge 2006).

The lack of perseverance for the "long haul great" versus "the short term good" could be an explanation for results reported as "strongly disagree," "disagree," or "neutral" (Table 10). The monthly newsletter was placed on hold for 5 months. Other tasks took priority. Once the monthly newsletter was reinstated, there were positive comments about the returning of the newsletter. Further research needs to be conducted to determine the other values reported as "strongly disagree," "disagree," or "neutral." There is a concern for the clear communication of expectations

Table 10 Quantitative data from the transformation survey

Question	Strongly disagree, disagree, or neutral %	Strongly agree or agree %
The company's "WHY," "Vision for life," is routinely communicated to you	35	65
You know how the company products improve the patient's health		87
Values play an important part in our organizational culture		84
This is a great place to work		87
At any point in time, I know how well I am doing on important indicators of my performance	39	59
We focus on "customer care" at all of our work		87
Genuine care is demonstrated towards employees		72
I am satisfied with my job		83
Communication is a priority in our workplace	44	57
Creating an intentional organizational culture is an important focus in our company		72
Leadership strength is important for successful implementation of change initiatives		88
Having a conflict resolution strategy is vital for a harmonious and collaborative work environment		84
I have seen personal transformation in myself over the last year and a half by working in this organization		81
I have seen organizational transformation over the last year and a half at this organization		72

and performance indicators. Furthermore, the degree of disagreement of the communication being a priority and the communication being healthy (Table 7) could be related; however, additional research would be needed to confirm any relation.

Two qualitative questions were included in the transformation survey: (1) What personal transformation (difference) have you experienced in the last year and a half as a result of the INTOUCH Model being implemented at the organization? (2) What organizational transformation (difference) have you experienced in the last year and a half as a result of the INTOUCH Model being implemented at the organization? The qualitative data was analyzed for frequency of words.

Three words that frequently presented in the personal transformation data were "learning/learned," 14 times; "better," 9 times; and "more" 9 times (Table 11).

The two words that occurred most frequently in the organizational transformation data were "better" 8 times and "communication" 7 times (Table 12).

The transformational qualitative data compliments the quantitative data. The quantitative result of 81% individuals reporting a personal transformation supports the statements of personal transformation and vice versa. Likewise, the quantitative result of 72% of individuals reporting experiencing an organizational transformation supports the statements of organizational transformation and vice versa. "Better,"

Table 11 Results of qualitative question regarding personal transformation

Qualitative statements made by employees
I feel *more* goal oriented to make myself a *better* employee
I have *learned* to include *more* people in my work
More relaxed and organized communication with doctors and leadership. *More* confident in my role as I am *more* fully enabled to do my job
I have *learned* to slow down as a fast talker, listen, take the time to make a personal difference in someone's life
More open, *better* communication
I have been inspired to speak up *more* and let others know my ideas
I am *more* aware of patient's needs and keep eye contact, so they know I am listening to their needs
I am *more* aware of being intentional about my action at work
Becoming *better*, *more* positive person. *More* patient with patients and coworkers
I have been *more* cognizant of others and their wants and needs
More awareness of my impact on coworkers
I have knowledge to "breathe" and evaluate situations *better*
I have *learned* to understand others' way of thinking *better*
Better integration to team
My confidence is not great but it has gotten *better* over the last year
I have *learned* that it is *better* to accept reality that to let negative thoughts overwhelm me
I have *learned* how to *better* handle conflict
I have *learned* and confirmed that we all have different personalities at different times
I have *learned* to understand other ways of thinking *better* and accept
Learned my strengths and weaknesses and how to be intentional with working on my weaknesses
Learning to adapt and being resilient

Table 12 Results of qualitative question regarding organizational transformation

Qualitative statements made by employees
I feel like I am *better* with patients and more confident in what I am doing
It has helped us to know each other *better* in a different situation and how we can relate to them with similar or different personalities
Better communication and cohesiveness
More open, *better communication*
Better organization as a complete team
I feel everyone has learned how to *better* deal with conflict and work *better* together
When we are all happy/positive, we work *better* as a team, relaxed, positive, and inspiring environment to be in
I see more *communication* between employees versus before
The culture here is more open to *communication* and ideas from workers. I believe they can speak their mind and come up with new ideas and work flow efficiency
More *communication* between team. Each team member pulls their weight and helps others when needed
A teamwork approach has formed with breakdown of barriers to *communication* and workflow
Leadership *communication*, willingness to meet and hash out issues, more give and take

"more," "learned," and "communication" such simple words and actions that can transform the life of a person and the culture of an organization. An organizational culture is the result of patterns of human interaction. There appeared to be four factors influencing and shaping the culture and the health of the eye clinic: (1) how a person shows up every day in their personality, (2) the vulnerability and transparency displayed by leadership, (3) whether those not in authority have a part in the decision-making process, and (4) how conflict or differences are managed. The health of the organization also includes the operations and metrics of the financials.

Results of Financial Metrics

The administrator provided financial metrics for the 2014 year of operation and the 2015 year of operation. The absentee percentages were provided for 2014 through the second quarter of 2016. There was a positive improvement in the following areas:

45% increase in new patient ratio (the ratio of new patients to existing patients)
44% decrease in absenteeism
6% increase in average monthly collections

The increase in new patient ratio and monthly collections could be attributed to the results of the qualitative data suggesting open lines of communication and discussions of improving work processes. Creating a team-based approach throughout the organization provoked a sense of ownership for improving results. Having strategies to handle complaints and providing solutions enables employees to feel more confident. Furthermore, the nurturing of relationships, creating an inclusive, team-based environment suggests a Return on Relationship (ROR) and a Return on Investment (ROI).

The decrease in the absenteeism presents in the second year of the case study. During the first year, absenteeism increased. The increase in absenteeism could be attributed to establishing an intentional organizational culture and climate defined by specific values, purpose, increased communication, and emphasis on resolving conflict. Or, this behavior could be explained by the transitional theory of Bridges (2016) and the neutral zone with employees becoming polarized to the change, losing motivation, starting to withdraw from other, and even fleeing to a different organization. Participants feeling uncomfortable with the changes and transformation may have utilized the absent days to cope. Moreover, based on the qualitative data and the comments regarding personalities, communication, and conflict, the reduction of absenteeism could be credited to individuals having the opportunity to discover the Path Elements Profile and the disbursement of their personality with regards to the elements (Water, Fire, Earth, Wind). Bringing self-awareness to one's personality can have considerable returns. The recognition of how each element responds to communication, collaboration, and conflict management took the guessing game away with regards to how participants were showing up every day within their workplace.

Defining strategies for communicating, collaborating, and managing conflict provided a framework for a more harmonious work environment and inspired the improved work attendance. Research from Gaddis and Foster (2015) suggests trustworthiness, positive attitude, dependability, and adaptability to be effective characteristics of leaders when developing a high performing team, as opposed to technical work skills. Intentional management practices support openness, knowledge sharing, discussion, and channels for exchanging information.

A limitation with the collection of organizational metrics included the lack of availability of patient satisfaction surveys. With future case studies, the collection of patient satisfaction surveys is recommended to evaluate the supplementary influences of the INTOUCH Model initiatives, or similar change management initiatives in healthcare settings. The increase in the new patient ratio suggests positive patient satisfaction resulting in patient referrals. A concrete analysis is necessary to determine this relationship.

A second limitation was the absence of the integration of the personal wellness component of the INTOUCH Model. Improving the health of the organization was the focal point during this case study with intentions of integrating the personal wellness component during the second half of the second year. Mindfulness, self-awareness, and stress management techniques provided partial integration of the wellness component. A 30-day challenge focusing on nutrition, sleep, exercise, and relaxation could be implemented in the third year of the case study. Time became an important factor to allow for the process of transformation.

A third limitation is the small size of the eye clinic. Integrating the INTOUCH Model at a larger clinic could provide insights and a fuller perspective on organizational culture challenges in a larger facility. The following section will discuss the relevance of the integrated approach to the organizational culture change at the eye clinic in the current case study and among other healthcare organizations.

Implications

The case study of the eye clinic demonstrates that personal and organizational transformation can take place with intentional strategies and practices. Specifically, it suggests “open heart” skills (i.e., self-discovery, mindfulness, emotional intelligence, compassion, self-awareness, courage, and vulnerability) can be developed and fostered in a relational environment guided by authentic leadership. Transformation is deeper than just the surface structure. There are times an organization may go through a million-dollar renovation or expansion to have a beautiful structure on the outside, but what does that organization look like on the inside? Moreover, what are the measures in place and the monies available to analyze the internal structure, or the organizational culture and behaviors?

The organizational health of an organization could have a greater importance for outcomes, particularly within the healthcare industry, with patient safety and quality of care sometimes at risk. The integration of the 3 C’s of the customer care training addressing connection (communication and organizational culture), compassion (mindfulness and emotional intelligence), and competence (viewing one’s job as a vocation and practicing vulnerability and courage) and the reported data from the current case study indicates a desire for a *better* work environment of improved team collaboration, relationships, and communication.

The study of customer care in healthcare by Clarke and Easles-Reynolds (2015) indicated potential barriers to good customer care to be work environment and organization and management. Also, there is a suggestion of human factors influencing the interdependence of good customer care and patient safety. The human factor issues under work environment included a busy work environment and no time for collaboration to deal with problems, putting off dealing with staff challenges, and inadequate staffing, organizational and management factors included poor support from leadership and excessive meetings without clear direction and decisions (Clarke and Easles-Reynolds 2015, p. 293). The results of the current case study suggest similar desires by employees in healthcare for a collaborative work culture, healthy relationships, and supportive leadership and decision-making. Being able to recognize human factor challenges that could pose a threat to patient safety requires a certain degree of mindfulness.

Prior discussion of literature (Kabat-Zinn 1994; Bell 2013; McCartney 2016) and data from the current case study suggest there is a level of mindfulness and the creation of a learning environment (Table 11) that is required for internal transformation: a transformation that takes one out of ego-self to a higher self. The ego self is the aspect of self that can be selfish, immature, and fearful. The higher self is the better part of self that is unselfish, loving, and wise (Wigglesworth 2012). The administrator and the senior partner physicians at the eye clinic in the current case study had the courage to cross the boundary of discovery to experience the organizational development that could be on the other side of new knowledge and practices. Research by Howard and Hirani (2013) suggests the fear of letting go and the transformation process indicates a possible loss of self-worth and control of the current way of doing a job or leading staff. This behavior could explain the reluctance of some administrators and/or physicians to absorb themselves into a transformational journey. Individual and/or group leadership coaching could provide a solution to the behavioral challenges that may be present during a transformational change within an organization.

The 88% value of "agree" or "strongly agree" to the statement, "Leadership strength is important for successful implementation of change initiatives," (Table 10) supports the integration of leadership training, and coaching as important practices for leading change. Literature is supportive of leadership development among physicians (Hess 2013; Nowacki et al. 2016) with a call for challenging the process and engaging in emotional intelligence courses similar to those offered at Cleveland Clinic Academy. Leadership coaching can assist administrators in becoming transformational leaders that focus on collaborative efforts of greater purpose and mission (Hicks and McCracken (2011), especially if they can view coaching as a gift to themselves (Bleich 2016). Having a coach can provide a confidant in the times of change and encourage more positive and optimistic thinking. As with any relationship, keeping the lines of communication open is a vital part of the coaching process.

Workplace communication skills and behaviors were a significant focus and observation of the current case study of the eye clinic. Prior discussion in this chapter and data from the current case study (Table 11) support the significance of intentional communication strategies in organizations. Keyton et al. (2013) examined communication behaviors at work with two studies. In study one, the following top five communication behaviors factored as most important: (1) listening, (2) asking questions, (3) discussing, (4) sharing information, and (5) agreeing. In study two based on the factors of the communication behaviors at work in study one, the following top five communication behaviors factored as most effective: (1) a tie with thanking and showing respect, (2) cooperating, (3) greeting others, (4) offering help, and (5) answering questions. Formal communication training is even more important today with the generational diversity of the Silent Generation, Baby Boomers, Gen Xers, and Millennials. Communication research by Hall (2016) suggests millennials are seeking "good communication between coworkers and managers," "respectful and professional work environment," "a good support system for guidance," and "good management" (p. 35). The research in this paragraph suggests the need for managers to recognize communication differences and preferences for those they are leading.

As the work population moves towards a more millennial populated workplace, one recommendation would be to go a step further in developing a coaching culture. Managers need to stop thinking like a manager and start thinking and practicing, leading as a coach. The five essential principles of coaching according to Jamail (2014) are as follows: (1) make the team more important that any individual, (2) do not avoid conflict-use it! (3) act before a response is needed, (4) pay attention to top performers and focus on making more of them, and (5) mandate everybody to practice (p. 16). Everyone in the organization deserves the opportunity to be held accountable: coached up or coached out. Creating a culture of accountability communicates a leader cares versus communicating an employee is not worth the trouble.

Conclusion

The INTOUCH Model began as a theory model of intentional leadership and organizational behavior practices that could result in personal and organizational transformation. Theory looks great on paper and results can be imagined on paper. However, until there is integration of assessments conducted and defined practices integrated, the value of the theory stays on the paper. This research provides administrators, physicians, other healthcare providers, managers, supervisors, and other leaders a transformation initiative that could yield *better* communication and team collaboration, a more harmonious work environment, and personal and organizational transformation (Table 10). Individual components (i.e., customer care training, leadership training and coaching, mindfulness and emotional intelligence training) of the INTOUCH Model can be found in the literature discussed previously in this chapter. However, integration of an entire model was not found in the literature. The results of the current case study would not be possible without the cooperation of the participants in the study. I have much admiration and appreciation for the eye clinic that had the courage to participate and devote time to explore a model for the greater common good of all who serve and are served in the healthcare industry.

Cross-References

- ► Bringing Mindfulness and Joy to Work: Action Research on Organizational Change
- ► Self-Awareness in Personal Transformation

References

Aviles PR, Dent EB (2015) The role of mindfulness in leading organizational transformation: a systemic review. J Appl Manag Entrep 20(3):31–55

Bell G (2013) Practice makes perfect: how mindfulness can change coaching for the better. Dev Learn Organ 27(4):28–30

Berry LL, Hensel JS, Burke MC (1976) Improving retailer capability for effective consumerism response. J Retail 52(3):3–14. 94

Bleich MR (2016) A gift to self: leadership coaching. J Contin Educ Nurs 47(1):11–13

Bridges W, Bridges S (2016) Managing transitions: making the most of change 4E. Da Capo Press, Philadelphia

Brown B (2012) Daring greatly. Penguin Group, New York

CAHPS® Hospital Survey (2005) Hospital consumer assessment of healcare providers and systems. http://www.hcahpsonline.org/home.aspx. Accessed 31 Oct 2016
Clarke C, Easles-Reynolds LJ (2015) Human factors paradigm and customer care perceptions. J Health Care Qual Assur 28(3):288–299
Clutterbuck D, Hirst S (2002) Leadership communication: a status report. J Commun Manag 6(4):351–354
Dattner B (2008) The use of personality tests for coaching and developing. Psychol Today. Available from: https://www.psychologytoday.com/blog/credit-and-blame-work/200806/the-use-and-misuse-personality-tests-coaching-and-development. Accessed 26 Oct 2016
Dunnet AJ (2007) The role of organizational culture in customer service. Bus Rev 7(1):38–44
Gaddis BH, Foster JL (2015) Meta-analysis of dark side personality characteristics and critical work behaviors among leaders across the globe: findings and implications for leadership development and executive coaching. App Psychol 64(1):25–54
George B (2015) Discover your true north. Wiley, Hoboken
Goleman D (1995) Emotional intelligence. Bantam Books, New York
Goleman D (2004) What makes a leader? Harv Bus Rev 82(1):82–91
Greenberg J (2013) Managing behavior in organizations, 6th edn. Pearson Education, Upper Saddle River
Hall A (2016) Exploring the workplace communication preferences of millennials. J Organ Culture Commun Conflict 20(1):35–44
Harper D (2016) Online etymology dictionary. Available from: http://www.etymonline.com/index.php?term=courage. Accessed 28 Oct 2016
Henochowicz S, Hetherington D (2006) Leadership coaching in health care. Leadersh Org Dev J 27(3):183–189
Hess C (2013) Health care educators: new directions in leadership development. J Leadersh Stud 6(4):72–76. https://doi.org/10.1002/jls.21269
Hicks R, McCracken J (2011) Coaching as a leadership style. Physician Exec 37(5):70–72
Hill N (1937) Think and grow rich. Ralston Society, Meriden
Hills L (2016) Loneliness at the top: ten ways medical practice administrators can manage the isolation of leadership. J Med Pract Manage 31(5):292–296
Howard A, Hirani K (2013) Transformational change and stages of development in the workplace. J Integral Theory Pract 8(1&2):71–86
Jamail N (2014) The leadership playbook: creating a coaching culture to build winning business teams. Gotham Books, New York
Jones LB (2005) The four elements of success. Thomas Nelson, Nashville
Jung C (1957) The undiscovered self. First Signet Printing, New York
Kabat-Zinn J (1994) Wherever you go, there you are: mindfulness meditation in everyday life. Hyperion, New York
Keyton J, Caputo JM, Ford EA, Fu R, Leibowita SA, Liu T, Polasik SS, Ghosh P, Wu C (2013) Investigating verbal workplace communication behaviors. J Bus Comm 50(2):152–169
Lencioni (2012) The advantage: why organizational health trumps everything else in business. Jossey-Bass, San Francisco
Lok P, Crawford J (1999) The relationship between commitment and organizational culture, subculture, leadership style, and job satisfaction in organizational change and development. Leadersh Org Dev J 7(20):365–373
Luken M, Sammons A (2016) Systematic review of mindfulness practice for reducing job burnout. Am J Occup Ther 70(2):1–13
Marques J, Dhiman S, Biberman J (2011) Managing in the twenty-first century: transforming toward mutual growth. Palgrave Macmillan, New York
Maxwell J (2007) The 21 irrefutable laws of leadership. Thomas Nelson, Nashville
McCartney M (2016) Margaret McCartney: mindful on mindfulness. Br Med J 352:i839
Merriam-Webster Dictionary (2016) Available from: http://www.merriam-webster.com/dictionary/courage. Accessed 28 Oct 2016

Naisbitt J, Naisbitt N, Philips D (2001) High tech high touch. Nicholas Brealey Publishing, London
Newberg A (2012) 6 exercises to strengthen compassionate leadership. Fast company. Available from: https://www.fastcompany.com/1840226/6-exercises-strengthen-compassionate-leadership. Accessed 27 Oct 2016
Nowacki AS, Barss C, Spencer SM, Christensen T, Fralicx R, Stoller JK (2016) Emotional intelligence and physician leadership potential: a longitudinal study supporting a link. J Health Adm Edu 33(1):23–41
O'Neill M (2005) Employee care, a vital antecedent to customer care in the health care industry: an exploratory investigation of the employee satisfaction construct at North East Alabama Regional Medical Center. Int J Health Care 18(2):131–151
Phillips M (2016) The "best" business buzzwords. InTheBlack. Available from: https://intheblack.com/articles/2016/04/19/the-best-business-buzzwords. Accessed 20 Oct 2016
Pinsker J (2015) Corporations' newest productivity hack: meditation. The Atlantic. Available from: http://www.theatlantic.com/business/archive/2015/03/corporations-newest-productivity-hack-meditation/387286/. Accessed 27 October 2016.
Roebuck D (2001) Improving business communication skills. Prentice-Hall, Upper Saddle River
Rosenberg MB (2003) Nonviolent communication: a language of life, 2nd edn. PuddleDancer Press, Encinitas
Senge P (2006) Dimensions of a learning city. Reflections 7(1):4–8
Senge P, Kleiner A, Roberts C, Ross R, Smith B (1994) The fifth discipline. Doubleday Dell Publishing Group, New York
Sinek S (2009) Start with why. The Penguin Group, New York
Smith JA, Rayment JJ (2006) The global SMP fitness framework: a guide for leaders exploring the relevance of spirituality in the workplace. Manag Decision 45(2):217–234
Taylor B, Roberts S, Smyth T, Tulloch M (2015) Nurse managers' strategies for feeling less drained by their work: an action research and reflection project for developing emotional intelligence. J Nurs Manage 23:879–887
Thyer GI (2002) Dare to be different: transformational leadership may hold the key to reducing the nursing shortage. J Nurs Manag 11:73–79
Timmins F (2011) Managers' duty to maintain good workplace communication skills. Nurs Manag 18(3):30–34
Vance C, Larson E (2002) Leadership research in business and health care. J Nurs Scholarsh 34:165–171
Wang Z, Adams J (2016) Bringing mindfulness to your workplace. ATD Press, Alexandria
Wigglesworth C (2012) The twenty-one skills of spiritual intelligence. SelectBooks, New York

Bringing Mindfulness and Joy to Work: Action Research on Organizational Change

Kathryn Goldman Schuyler, Michelle Olsen Taylor, and Orit M. Wolberger

> *"The most precious gift we can offer others is our presence. When mindfulness embraces those we love [or work with], they will bloom like flowers."*
>
> *–Thich Nhat Hanh*

Contents

K. Goldman Schuyler (✉)
California School of Professional Psychology, Alliant International University and Coherent Change, San Francisco, CA, USA
e-mail: kathryn@coherentchange.com

M. O. Taylor
Utah Valley University, Orem, UT, USA
e-mail: MichelleOlsenTaylor@gmail.com

O. M. Wolberger
California School of Professional Psychology, Alliant International University, San Francisco, CA, USA
e-mail: wolberger.orit@gmail.com

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2_27

Abstract

We sought to enhance levels of mindfulness and joy in a 1,000-person Student Affairs organization of Utah Valley University (UVU) and used qualitative *action research* to assess the impact as we moved forward. We write here as a collaborative team sharing our voices as leader of change, process and organization consultant, and researcher.

Mindfulness most often is brought into the workplace through trainings that focus on teaching and encouraging individual practice. The process tends to be one of the learning skills that are regarded as fundamentally individual. Instead, our intention was not only to support individual practice but also to generate a more mindful organizational culture, gradually, without pressure or force. Rather than training participants in specific skills, we invited them to seek mindful moments or "wake-up" and to chart their own path. This chapter defines our approach to mindfulness as awareness-based systems change, relates this to other approaches to mindfulness research, describes the value of a process approach to change, and tells our story.

While many studies show the impact of mindfulness practices on productivity and stress management, our outcomes appear somewhat unique, in that the most consistent themes distilled from one-on-one confidential interviews with participants were an increased connection with one another, with nature, and with the meaning of their work. In other words, this approach, both here and in an earlier phase of this program of action research, seems to encourage people to sense their interdependence with the human and natural worlds in which they live.

Keywords

Mindfulness · Action research · Compassion · Healthy organization · Culture change · Awareness · Leadership · Process philosophy

Introduction

For centuries writers have described most human minds as being akin to monkeys or wild horses running and jumping where they will, dragging us about, leaving us restless, unquiet, and with at best a somewhat forced clarity in difficult situations. In contrast, they describe the awakened mind as being present, spacious, and somewhat like the sun in the sky: able to shine and illuminate all situations whether mountains or oceans or huge plains, populated cities, or uninhabited deserts or forests – shining and illuminating everything without judgment or attachment. Throughout history, people have sought teachers to help them shape and train their minds – whether to lead wisely or simply to live a good life. Such mind training and change can be seen as fundamental to both personal and organizational transformation.

The authors of this chapter speak as a team who collaborated to enhance levels of mindfulness and joy in a 1,000-person Student Affairs organization of Utah Valley University (UVU). We approached this challenge through *action research*, which is one way that people can bring change into their lives and learn from the process of doing so (Reason and Bradbury 2008/2013). There are various ways of defining and doing action research projects. We accept a widely used definition that:

> Action research is a participatory process concerned with developing practical knowing in the pursuit of worthwhile human purposes. It seeks to bring together action and reflection, theory and practice, in participation with others, in the pursuit of practical solutions to issues of pressing concern to people, and more generally the flourishing of individual persons and their communities. (Reason and Bradbury 2008/2013, p. 4)

For this chapter, we are describing our project through three lenses that are considered core to action research. (For a description of how these three voices are essential for action research, see Reason and Torbert 2001, and for an example of their use with regard to meditation practice in an organizational context, see Bradbury 2013):

- The “I”: We offer our individual experiences from the perspectives of (a) the leader who sought to see happier faces in the room in meetings, (b) the consultant knowledgeable about both mindfulness and organization development, and (c) the researcher, gathering rich data about the process in order to learn more about change in organizations. This is the *first person* voice in action research, yet it is relatively uncommon to see what happens in a change process through the eyes of those in these three key roles.
- The “we”: This chapter is a synthesis distilled from our shared perspectives as a group of three people working together. This is the *second person* voice in action research.
- The third person: To create an assessment of the whole project, we had to step out of action to reflect together, in order to create something with value for others in comparable situations. We see two aspects of the third person in such collaborative action research: One aspect involves the shift of mind needed to relate our individual project to the scholarly world of research on mindfulness; a second aspect involves connecting our project to others’ action in the world. We write together to enrich understanding of the simplicity and complexity of doing a project like this, showing how such an approach to mindfulness and change looks from these three different perspectives, providing an overview so that you can find your own way, in your own organization. This is the *third person* voice in action research.

Kathryn Goldman Schuyler supported Michelle Olsen Taylor, the leader of the organization, and her team in adapting an approach to mindfulness that had been previously developed through another action research project (Goldman Schuyler et al. 2017). Because we wish sometimes to speak for ourselves in this chapter and at other times to speak with one voice, we will make clear at all times who the pronoun "I" refers to. Kathryn writes:

> I believe deeply that developing your own approach to shaping the organizational practices that translate into culture has the best likelihood of success. When one tries to create culture change by copying other organizations, it just doesn't work. Culture comes from one's own values and practices and history, and imitating anyone else's is not a formula for success. Creating a healthy organizational culture means finding one's way to listen to those in the organization and those it serves, nourishing both.

We appreciate the contribution of the World Health Organization's definition of health to our thinking about this issue: In 1946, the WHO defined health not in terms of preventing disease but of establishing wellness with regard to mind, body, and spirit (Goldman Schuyler et al. 2016). We also look at a healthy organization as Chris Argyris (1958) did: It is one that enables mature human functioning, which for us means being able to care compassionately for oneself and for others without losing sight of either, while moving comfortably between supporting organizational goals and taking initiative to create what is missing.

The three authors of this chapter have a long-standing interest in creating a work environment that is joyful and nourishing. This was true for each of us for many years, before we began to collaborate for our work on mindfulness. We came to mindfulness from vastly different experience bases, yet all of us share a common sense of what is important at work and what is feasible with regard to creating an organizational culture and shifting norms toward such a culture. This is our story, yet it is more than just our story. We have studied and personally experienced varied approaches to mindfulness. We position our work in the context of what is known through research and also with regard to what each of us knows about organizational change and leadership.

In writing this chapter, we intentionally asked each author to draft her own section without specifying exactly what it should address so we would get each one's unique perspective: as the person conceptualizing the process, the leader in the field, and the researcher wanting to understand what actually happened in people's experience. The skills for managing an organization and for writing chapters like this require a very different type of mind training from the practices we were inviting the participants to explore. To manage and write require structuring and planning – a very different part of cognition than being fully present. The two are quite distinct. This is also true in the work itself: To be effective in Student Affairs work, one needs to train and work from both aspects of the mind.

We will first discuss mindfulness as a force in the world of organizations, then introduce you to our change process and the action research that led to it, share our three stories that give you a uniquely multi-lensed understanding of mindfulness and change as a living process, and finally explore the implications for developing your own version for your organization.

Mindfulness as a Force in the World

In this section, we discuss three topics:

- How we define mindfulness and why
- What research suggests about mindfulness
- How mindfulness fits with a process view of change

Defining Mindfulness

The term mindfulness has roots in Buddhism, although many who are now using it in workplaces are not personally familiar with these roots, nor do they see value in remaining connected to them. Our experience suggests that it is of great value to learn from wise teachers who have experienced the farther reaches of human development that such practices can enable before attempting to distill a simple, practical approach for people at work. We value the possibility of such deep learning and feel the importance of working within the context of a particular organization and its culture. Therefore, our definition comes from these foundations but is expanded to suggest its relevance in organizational and societal change processes.

As described by Sutcliffe et al. (2016), there is increasing convergence among researchers on defining mindfulness as attention to the present moment, either including only external awareness or also including attention to one's mind. Most of the definitions currently in use are derived in some way from Kabat-Zinn's (2011) groundbreaking work in developing the Center for Mindfulness at the University of Massachusetts Medical School. Although we appreciate what mindfulness means coming from the context of South Asian Buddhist practice as Kabat Zinn brought it into medicine and psychological research, we find it more useful to conceptualize it as Otto Scharmer (2016) describes it in his large U-Lab courses which bring tens of thousands of people together worldwide to explore how to create change across existing platforms in many different countries around the world. As he has said:

> Mindfulness is the capacity to connect to the now and to pay attention to your attention. To not just be absorbed by the objects around you, but switch on this meta awareness, where you not only see something outside of you, but you also see your own seeing. . . . that meta-level awareness is what we refer to as mindfulness, the self-navigation capacity. (Scharmer 2016, No page)

This seems appropriate because it defines mindfulness not only in terms of paying full attention but also includes the desired outcome – a meta-awareness of the system in which we are functioning: the *social field.* It refers to training one's mind, as do all approaches to mindfulness, but it adds an intention toward the broader, systemic implications. As Scharmer continued, this moves "people from a mindset where the source of the problem is really 'all these idiots around me' towards a view of the system that includes my own contribution to the current situation" (Scharmer 2016, no page).

Similarly, Senge (2012) has emphasized how meditation and related contemplative practices (he often speaks of "cultivation" rather than "mindfulness") are essential for leaders of complex systems. Like Scharmer, he describes the importance of developing highly attuned listening – both to oneself and to others – so as to recognize how

> the ability to recognize things that are triggering you, to recognize the habits of your own thought, habits of your own emotion, and how they shape what you hear, is the first step in actually being able to listen to another, or to listen to anything. (p. 319)

This connects directly with the role of mindfulness in facing global problems:

> most of the problems in the world, . . . like climate change, destruction of species, et cetera, have a common root in our consciousness, our ways of thinking that shape our ways of acting. . . .. From this perspective, change starts when you go upstream. You've got to deal with the lack of understanding and the lack of cultivation that all of us have in this world of how we perceive and what we perceive. (p. 320)

> There is an old tradition that you see in many parts of the world that if you're going to be in a position of authority, you should be a cultivator. Leaders should be people who are deeply involved in their own realization of becoming a human being. . . . in traditional Chinese culture it's well understood that to be in a position of authority you must be a very advanced cultivator. The old saying was that the Emperor should be the wisest person in the land, and if not, then the Emperor's advisor should be. While that's an ideal that was not always reached, it symbolized an important connection between cultivation and leadership authority. (p. 326)

During our collaboration, we have been influenced by this combination of Buddhist roots and awareness-based systems change. We seek through our work to support people at work in paying attention and being present to the moment, to themselves, and to one another in ways that help them to be more aware not just of traditional ways of focusing and calming the mind but also of noticing how each of us is part of a larger system of interactions. This focus is somewhat unique in current research, as we have not found any studies that have used action research combined with an organization development orientation to bring mindfulness into an organization.

What Research Suggests About Mindfulness in the Workplace

Around the world, interest has been growing rapidly in the potential for mindfulness to make a difference in the workplace. Over the last decade, there has been increasing research with regard to how mindfulness can improve performance (Good et al. 2016), and it has also been widely researched in the fields of psychotherapy (Shapiro and Carlson 2009) and psychology (Brown et al. 2015). However, until recently there were relatively few studies about its value at work. Authors of newspaper articles, essays, and blogs made many claims, but very little research was being done to show what actually happened. This has been shifting, but the field is still in a relatively early stage of development.

Initial evidence indicates that mindfulness affects interpersonal behavior and improves communication quality (Burgon et al. 2000). Dane and Brummel (2014) found that workplace mindfulness is positively related to job performance and work engagement. Glomb et al. (2011) suggested that mindfulness improves social relationships, increases resiliency, and improves task performance. Hülsheger et al. (2013) found that mindfulness positively impacts emotion regulation, emotional exhaustion, and job satisfaction. Shonin and Van Gordon (2015) concluded that meditation training among managers facilitated a change in attitudes toward work. Cleirigh and Greaney (2015) examined the effects of mindfulness training on task performance, further highlighting a possible association between increased group performance as a result of mindfulness training and increased group cohesion.

For a recent thorough review, see Sutcliffe et al. (2016), who discussed how mindfulness has been defined when studied at both the individual and organizational levels and also considered areas for future research. Having reviewed over 100 studies and conceptual papers, they concluded that the research:

> suggests that mindfulness is a more social construct than its name, implied mechanisms, and measurement implies. As revealed through our organizational and cross-level investigation, mindfulness is embedded in and powerfully shaped by multiple aspects of context, both in how it is triggered and how it connects to other processes and individual and organizational outcomes. (p. 58)

Because we are interested in how a leader can influence an organization to foster a healthy culture, much of the research is not particularly pertinent: The focus has generally been either on individual behaviors or else, at the organizational level, on avoiding error and maintaining technical high performance (Sutcliffe et al. 2016). As mentioned above, we are interested in the contribution of mindfulness to creating a healthy system, one that is nourishing to its people, where they in turn are able to see their role both in creating positive outcomes and in contributing to unintended barriers along the way. From this perspective, one of the most important discoveries for managers coming out of mindfulness research is a recent finding that showed statistically significant improvement in "three capacities that are important for successful leadership in the twenty-first century: resilience, the capacity for collaboration, and the ability to lead in complex conditions" (Reitz and Chaskalson 2016, p. 3). Their study also showed the value of regular, daily, short formal practice sessions.

Recently there has been a fair amount of controversy about whether mindfulness can be misused by being applied in corporations. Purser and Milillo (2015) dubbed such uses of mindfulness to improve performance in the workplace *McMindfulness*. They argued that in most cases, it has been used at a distance from its original roots and the larger ethical context. In the context of this debate about McMindfulness and how awareness practices are used in business, we find Kathryn's earlier research (Goldman Schuyler et al. 2017), Reitz and Chaskalson's (2016) important study, and Kathryn's interviews with Margaret Wheatley, Bill George, and Peter Senge (Goldman Schuyler 2012a), and this action research project are all particularly valuable – as all of these enable us to see how mindfulness contributes to wise leadership and healthy organizations.

Most research on mindfulness has been done quantitatively, specifying agreed-upon "variables" and measuring changes in them after participants follow a curriculum. We believe that self-report scales are problematic for assessing the development of mindfulness. In the first place, many of the research studies to develop and test these scales have been done with college students who did not have any depth of experience in mindfulness. In these and other studies, what is being measured is not what has been meant over the centuries as mindfulness, but a much weaker version of it, as historically mindfulness goes together with deep compassion: a combination that tends to require years of practice. It is not simply a series of behaviors that can be measured, but involves a quality of heart and mind that is natural for some people, yet which others do not arrive at despite training. Therefore, although it is evident from many studies that something can change through 8 weeks of training in either compassion or mindfulness, we wished to help people find their own way, within the work context, to pay attention to what mattered to them.

How Mindfulness Fits with a Process View of Change

Traditional approaches to organizational change depict a linear model of change that involves a series of predictable steps that can be planned and managed (Graetz and Smith 2010). In contrast, over the past 15 years, theorists of organization behavior have expressed a growing awareness of change as a nonlinear and continuous process, often characterized by chaotic dynamics, in contrast with theories of planned change and emergent change that seem less valid for a world of constant flux (Macky and Chia 2013). A central tenet underpinning these approaches is the Heraclitean belief in the fluidity of an ever-changing reality. Rescher (1996) noted that Heraclitus may be seen as the founding father of process philosophy, which was influenced by his sixth-century BCE perception that "The river is not an object but an ever-changing flow; the sun is not a thing, but a flaming fire. Everything in nature is a matter of process, of activity, of change" (p. 10). Later, Van de Ven and Poole (2005) categorized scholarly work in the field of organization change and identified two different ontological views of organization: One pictures organizations as comprised of things, and the second focuses on organizing as processes. Van de Ven and Poole (2005) traced these differences back to the philosophies of Democritus and Heraclitus and summarized

> Democritus pictured all of nature as composed of stable material substance or things that changed only in their positioning in space and time. Here the identity or substance of things does not change, only their development and adaptation in relation to other dimensions and

> properties. In contrast, Heraclitus viewed reality not as a constellation of things, but one of processes. (p. 1378)

Inspired by process philosophers, some scholars who study organizations have begun to see change in more fluid ways. For example, Antonacopoulou and Tsoukas (2002) wrote that "change is an intrinsic feature of reality, and we need to find new ways in which change may be studied and reported" (p. 859). Van de Ven and Poole (2005) and Tsoukas and Chia (2002) drew attention to "the . . . fluidity, pervasiveness, open-endedness and indivisibility" of change (Tsoukas and Chia 2002, p. 570). Chia (2014) has increasingly suggested looking at change as an organic process that can be better managed through acts of adaptation to an ongoing, ever-changing, and naturally occurring phenomenon. He proposed a radical shift in the way change management can be depicted, looking at change as a *state of being* in a reality that is in continuous flux.

From this perspective, managing change does not require active interventions that become the source of anxiety and resistance. Instead, Chia (2014) suggested the concept of *letting happen*, inspired by the notion that "the world is perpetually changing, and that uncertainty, incompleteness of understanding and even lack of coherence lies at the core of all human endeavors" (p. 20). This contrasts with the traditional approach, which he views as "effort-intensive, energy-wasteful and, therefore, highly costly; much heat and friction is generated and wasted in overcoming incipient resistance" (Chia 2014, p. 22). Instead, Chia suggests a strategic approach to letting change happen – one that involves quiet and effortless insertions of silent transformation. When change is viewed as an ongoing state of being, mindfulness practice can contribute significantly. Through mindfulness practice that encourages being present to whatever is – allowing the mind "to simply relax again in objectlessness attention" or to "let go and simply rest our minds in bare attention" (Mingyur Rinpoche and Swanson 2009, pp. 150–151) – people can allow genuinely novel ways of responding to emerge spontaneously as a consequence of local interactions. In place of "managing change," the leader articulates a direction and engages people in exploring options and "letting change happen" (Chia 2014, p. 10).

This worldview of change is similar to that of ancient Eastern thinkers and to much of Buddhist philosophy and practices. The possibility that such an outlook is available today for managers of change in organizations is very exciting.

Why Are We Bringing Mindfulness to Student Affairs? The Leader's Perspective (Michelle Olsen Taylor)

The roots of my interest in mindfulness go back to my early professional training and experiences. After completing a bachelor's degree in educational psychology with an endorsement in special education in 1983, I began teaching students with disabilities in a locked behavioral residential facility. I found the work fulfilling but not creative, so after 6 years I transferred from teaching to marketing the residential treatment programs, which satisfied my creative juices – but I soon missed my first love, education. After obtaining a master's degree in social work using the company's tuition assistance program, I pondered what I wanted to do for the rest of my life. I knew I wanted to be in a place where students chose to be, rather than had to be because they were locked up and forced to attend school.

I remember walking on the campus of what was then Utah Valley State College, which was created in 1941 to support training for World War II as Central Utah Vocational School. By 1995, the total head count had grown from under 200 to approximately 10,000 students. I could see students were thriving; there was a positive dynamic vibe. I loved it! I knew I could embrace a long career in this environment. I applied for a position as the director of accessibility services department (services for students with disabilities). At my final interview, my future boss asked me if I would be willing to complete a PhD if I got the position. "Of course," I replied, not understanding what that entailed. I got the job and started a social work administration program the following year at the University of Utah. It was challenging to work full time while completing the doctoral course work and dissertation, but I relished learning how to think and write more critically.

Because my first degree was educational psychology, I had a strong foundation in metacognition: thinking about one's own thinking and learning about one's own learning. As a special education teacher and later as an administrator in an open admissions' higher education institution, I saw how teaching students the value of being aware of their own thinking and learning process developed a critical capacity in learning how to achieve educational success (Dunlosky and Metcalfe 2009; McGuire and McGuire 2015; Proust 2013; Staley 2015). This metacognition background primed me for a future interest in mindfulness: being aware of one's own mind and thoughts.

Over the next twenty years, I learned the culture of higher education while systematically taking on increasing responsibility as a director, associate dean, assistant, and associate vice president for student affairs. I believed I had found my lifework. I entered the position of Vice President of Student Affairs feeling confident that I had the skills and experience to do the job. However, I was not prepared for the firestorm I encountered when one of my first assignments was to terminate a long time employee, which unfortunately happened simultaneously with the forced departure of several other staff members. I quickly went from being a beloved employee on campus to being seen as the "ax woman," (a water cooler title I abhorred) – clearly the most hated woman on campus.

During this period, while attending a conference on leadership, I joined a breakout session on "Waking Up at Work" featuring Kathryn Goldman Schuyler discussing her action-oriented research. I became intrigued during the discussion. I had become so focused on problem solving, critical thinking, and resolving long-term difficulties in the Student Affairs division since becoming Vice President that I had transformed myself into a perpetually driven work machine. I was accomplishing goals and objectives, but my enjoyment of my dream job had hit an all-time low. How ironic: The job I had prepared and worked so hard to attain was deeply unpleasant. After the conference, I ordered Kathryn's book *Inner Peace—Global Impact: Tibetan Buddhism, Leadership, and Work* (Goldman Schuyler 2012a) and read it cover to cover. Because the concepts of combining mindfulness with deep compassion for self and others were mind-blowing, I had to read it several times. At that point, I knew I understood just the tip of the subject matter. What I did know was how imperative it was to make changes in my work life by embracing the concept of focusing on the journey rather than the destination.

The concepts of incorporating mindfulness and compassion into leadership were refreshing and different. The idea of it was exciting, to be present and mindful, instead of being compulsory about change. I was tired, overworked, and burned out. I missed the exhilaration I had felt in creating new pathways to education at the start of my career. One day, after walking to my car in the parking lot after a 12-hour grueling workday, I noticed that someone had keyed it from end to end! Not only did I not like my job at that moment, I felt that people actually disliked me. I was defeated. Either I had to make changes to improve things or I needed to leave higher education and pursue something different. If I could not give my best to the students (now 35,000) and employees (1000, 400 full time, 600 part time) in the division to which I provided leadership while enjoying what I did, I did not want to do it anymore. If being mindful could create some peace and joy in my work again, I was ready.

Then, while visiting Alaska at a higher education conference, I was filling a rental car with gas and noticed the mountains in the background. The scene was so beautiful; it took my breath away. Inside the station, I commented to the clerk how amazing the scenery was. I asked her if she was in awe every day going to work in such a beautiful setting. She looked at me strangely. “No,” she said. “I don’t even see it. I’ve got work to do.” I realized I was just like her. I saw the gorgeous landscape in Alaska, but I completely missed it living in Utah.

Starting with awareness of my surroundings, I began to practice ways to be mindful during the workday. I did not want to miss that daily beautiful experience again. Each day on my 35-minute commute to work, I made a conscious effort to look at the Wasatch Mountains as I drove the freeway, especially Mount Timpanogos at sunrise. The colors were different every day, spectacular, and awe-inspiring. Each day, coming and going, I made a conscious effort to enjoy my physical space. It was not long before I started looking forward to this experience.

I began to focus on my breathing throughout the day and noticed how often I would hold my breath when I got nervous. Before each meeting, discussion, or project, I intentionally took deep calming breaths. I noticed an improvement immediately with focus and concentration (Hanson and Mendius 2009). I set my alarm 15 minutes earlier so I could meditate. Before I fell asleep, I would do the same thing.

I quit working nonstop. I started taking a break for lunch and focusing on the taste, texture, and appeal of the food rather than keeping up with my emails (Hanh 2014). I declared my commute times to be work-free zones. I stopped thinking about work and creating lists of things to accomplish while driving and started listening to audio books on issues and topics that had nothing to do with work and everything to do with my own curiosity and personal growth. As I focused on the present, I was able to notice intrusive thoughts and let them go. I became aware of my own thinking in a way I had never done before.

I set aside times to be grateful and used it to think, write, and visualize things I enjoyed and valued. I started being compassionate with myself as well as others (Salzberg 2014). I noticed I was feeling peace and joy throughout the day, not all day, but during moments throughout the day. I looked forward to getting up and having the opportunity to work each day, providing access to education and assisting 35,000 students to reach their educational goals and dreams. It all seemed too simple, perhaps even backwards. Doing less was actually helping me do more.

About a year into my mindfulness journey, I was conducting the monthly Student Affairs directors' meeting and became acutely aware of the pain that filled the room. The stress on the faces of the 50 directors who administered the support programs in the Student Affairs division was unmistakable. Instantly, I recognized my former self in the faces of the defeated employees in front of me. I wondered if I had caused this. Moreover, if I had caused it, I wanted to change it. Because I had personally experienced this transformation, I knew it was possible by making simple changes in the way the organization approached the work each day.

I contacted Kathryn Goldman Schuyler and inquired if she would assist me in bringing mindfulness to my division. During her first visit, she interviewed many of the directors and gave a presentation on mindfulness. We also provided Kathryn's books for them to read. Nothing was forced. If employees chose to participate, they were welcome to do so, if they did not, no problem. There was nothing attached to their performance evaluations. I invited directors to share their experiences with mindfulness if they felt comfortable doing so. Since then, many of them have volunteered to share their experiences at monthly meetings. A smaller group chose to meet separately to explore mindfulness at a deeper level, taking turns at leading the discussions.

Suggestions by directors for additional reading material resulted in choosing several books to discuss and explore together as a team. The first book, *10% Happier* by Dan Harris (2014) was well received, highlighting how the author embraced mindfulness after having a panic attack on national television. Directors related to the author's feelings of burn out, anxiety, and exhaustion. Utah Valley University (UVU) has experienced unprecedented growth at a time when state higher education funding has decreased. Because the mission of the university is to provide access to education (38% of students are first generation), every effort has been made to keep tuition and fees low (approximately $2,700 per semester). UVU is an open admission institution serving the region. Juxtaposed with the state rewarding performance (graduation rates) as opposed to growth (open access), employees are extremely dedicated to the mission of UVU but are continually expected to do more with less. Over the years, it had taken its toll on the morale of even the most dedicated employees.

The second book we read together was *Real Happiness at Work* by Sharon Salzberg (2014). Directors appreciated the multiple quick mindful exercises that could be used as a toolbox for creating happiness at work under different situations. These steadfast Student Affairs' employees did not see their work as a job, but as a calling. The significance of finding moments of joy during the workday cannot be understated. For most Student Affairs program directors, their work is not just a job, it is their lifework. They take their responsibilities and the impact they have making education accessible very seriously, not only for the students they serve but also for the generations who follow.

Although the results of this new program have been very positive, there were obstacles to overcome. Directors were not interested in a belief system that would undermine the predominant religion in the state of Utah, with the epicenter being Utah County where the university is located (The Church of Jesus Christ of Latter Day Saints, commonly referred to as Mormon). Kathryn and I intentionally offered mindfulness practices that could be used creatively, not promoting a new belief system that could be seen as competing with employees' religion. We did not present them as a formula or cookbook but also did not present them as a system of beliefs. The way we presented mindfulness invited all to design their own paths. This was done with upmost sensitivity to the importance that Mormons place on the eternal perspective rather than the present moment. If done with respect for all religions, a focus on mindfulness and compassion can complement any belief system and enhance, not hinder, any faith.

It has been three years since I began exploring mindfulness and almost two since we began incorporating it into the Student Affairs organization. I no longer feel pain in the directors' meetings. The 50 faces in the room are not full of stress and anxiety. The Student Affairs' division has new energy and excitement. The heavy workload has not changed, but how we perceive and approach it as a team has. As a leader, I have been amazed that as I have been able to make positive changes personally, my employees have mirrored those changes. As I became less stressed and experienced moments of joy throughout the workdays, so did they. In many ways, we transformed together.

It is a pleasure and an honor to have the opportunity to go to work each day. My excitement is as palpable as when I was a young idealistic college student who wanted to dedicate my life to education and change the world. The bureaucracy, complexity, and frustrations of working in a large organization have not changed. The communication exchanges with extremely difficult people and personalities have not changed. I have fundamentally changed, and it has made all the difference for me and the outstanding team members I have the honor of working with every day.

How Can "Waking Up" Contribute to Organization Change? Dreaming up a New Approach (Kathryn Goldman Schuyler)

In working together, we (Michelle Olsen Taylor and I) made certain choices based on our own experience and study that are not common in bringing mindfulness into organizations. Most of the mindfulness programs we are familiar with involve bringing in trainers with a set curriculum. We instead chose to use Michelle's wish to explore the value of mindfulness in her organization as an opportunity to further develop an approach that encourages the leader and community to find their own way, keeping it as simple and heartfelt as possible (see Wheatley and Kellner-Rogers (1998) for a book in this spirit). Coming out of a lifetime of work as both an organization development consultant and teacher of embodied awareness practices, I had been wanting to build on the exploratory approach to waking up that Susan Skjei and I had been exploring for several years through our action research (as described below). Michelle, with her depth of experience in assorted approaches to learning and individual development, sensed that the insights and awareness that she had gained personally from mindfulness after reading my book *Inner Peace—Global Impact* (Goldman Schuyler 2012a) would be invaluable to those members of her organization who were open to experimenting with it. We appreciated one another as people and as professionals with different skills (Kathryn with organization development and awareness/leadership training skills and Michelle with management and leadership skills). Both of us value collaborative work and saw this as an opportunity to create something new together that would, we hoped, benefit the 1000+ people in her organization.

What is different here from the more typical approaches? While I had an approach, I did not have a specific curriculum or format: There was no assumption that people needed to learn over a weekend or over 8 weeks, nor even that there were specific skills to master and practice. What I believe is critical is the mindset of the leader and people involved. The process and my own terminology come from Buddhist ways of training the mind, but that is because I sought a long-lived tradition to find a way of teaching that has lasted. I regard Buddhist practice as something in between a laboratory studying human development and artists evolving themselves. I did not approach it as a curriculum or a religion, but as a way of working with what is hardest to address in human transformation and change, after years of studying and practicing many different approaches.

The main foundation for this project is described in detail in “Moments of Waking Up: A Doorway to Mindfulness and Presence” (Goldman Schuyler et al. 2017). Some years ago, Susan Skjei and I became interested in merging research and practice. I had become intrigued with Tibetan Buddhism after looking for decades at varied paradigms of healthy organizations and leaders. I had explored Abraham Maslow’s studies of self-actualizing persons, Clayton Alderfer’s Existence-Relatedness-Growth approach, and Robert Kegan’s and William Torbert’s levels of adult development, looking for people manifesting special qualities of human development (Goldman 1979). I had experimented with use of various scales while teaching human development in a program I created and directed for 10 years at a community college. In attempting to use self-report scales to assess levels of adult development, it did not seem to me that the scales matched the students’ behaviors as I experienced them. I therefore grew less interested in measuring behavior or levels of development but retained my passion for facilitating such development. As I moved from working primarily with students at a community college to executive coaching and then to a combination of consulting and graduate teaching, it seemed to me that a qualitative approach, focusing on people’s experience, would help place solid ground under the measurements. It would help those of us interested in understanding the relationship between human development practices and daily experience. I grew interested in Tibetan Buddhism, noticing the qualities of the Dalai Lama as a global thought leader (Goldman Schuyler 2012a).

When people's underlying attitudes shift from wanting fixity to accepting that being alive means being immersed in ongoing change – that is a meaningful transformation. What evolves is not complicated or complex. It means that gradually, through paying attention to being present and to one another, people start sensing one another's *basic goodness* and the presence of what is often called the *nature of mind* – an appreciation we may feel for simply being human and connected with other beings and life itself. Note that we did not teach or preach these values. We simply asked people to notice moments in their lives when they were more present. During the first phase of our action research project we called these *waking up moments* (Goldman Schuyler et al. 2017). At UVU, we called them mindful moments. The intent was the same.

As mentioned previously, in both the initial research project and at UVU we regarded our work as action research. Action research is ideal for such a process, because it reminds us of our commitment to action and to learning from what we do. It helps us remember to reflect, even where there doesn't seem to be enough time. We used a grounded approach to our research, meaning that instead of making assumptions and starting with variables or fixed intentions as to what outcomes to expect, instead we asked the participants to simply look with interest at their own experiences. We would then learn from what they noticed. Action research is used in different ways, but fundamentally it involves taking a disciplined approach to learning from one's actions and then taking further actions based upon what one learns (Reason and Bradbury 2008/2013). Too few consulting-based projects include such research. Too little research is based on the needs of organizations and their leaders (Austin and Bartunek 2003).

In Phase 1 of our project on Waking Up, we had asked the participants to seek moments several times a week when they found themselves to be particular present or awake and take notes on these moments. This gave us their first-person comments on experience as data, and we later asked them to reflect on their experiences as well. Although I thought that what we had invited them to do was simple, Michelle repeatedly asked to make it simpler and more practical. She emphasized that people in her organization were already overworked and overwhelmed with paperwork, from strategic plans to accreditation reports. She didn't want anything that would take additional personal time, such as asking participants to take notes on their practice (which had been core to Phase 1 of the process), but rather wanted something that had the quality of "less is more." This focus on being practical was a key part of the design, along with our familiarity with a variety of awareness practices, so that we could be flexible as we saw how participants responded. In addition, the fact that we had no intention of relying on training was a key element of the way we approached bringing mindfulness to Student Affairs at UVU. This was very much an organization development approach, and we described it as such in meetings at the university. We thought a great deal about the culture of Orem, Utah, where the university is located. The culture surrounding an organization always affects those who work there and their beliefs and values. This may be particularly true in an area like Orem, where Mormon values are so prominent.

The role of the leader is important in any change process. Without a leader whose way of being is consistent with what he or she wishes others to be and do, it is pointless to aim for deep or systemic change. However, while the change process was grounded in my deep familiarity with varied methods for developing mindfulness and compassion, we did not feel that Michelle needed to know these methods: what was important was that she live them. To teach mindfulness or sustain long-standing traditions of mindfulness, one needs extensive study of these practices, but leading means *being* mindful and compassionate – not being an expert or scholar in methods for becoming mindful (see Goldman Schuyler 2016). Mintzberg (1987) worked to shift the paradigm in strategy development from multi-year, structured "planning" to "crafting" the new ways of doing business. We approached bringing mindfulness to Student Affairs at UVU similarly: We have been crafting a mindful culture, growing out of slow and natural shifts in people's way of being with themselves and one another. I am excited about this as a model that can be adapted by other leaders for their own organizations.

What is Happening? The Researcher's View (Orit M. Wolberger)

In working toward my PhD in organizational psychology, I grew increasingly interested in both mindfulness and how change really occurs in organizations. Before beginning my studies, I had previously worked in marketing, with clients across industries in the United States and Israel, so I was familiar firsthand with the challenges of implementing change in organizations. Upon starting my studies, the typical descriptions of organization development (OD) that I read in my courses simply did not seem to fit what I saw.

At a basic level, OD practitioners and theorists may use Lewin's (1951) model of three phases of change (unfreeze-change-refreeze) as a generic recipe for organizational development (Weick and Quinn 1999). These approaches generally follow a linear, rational model controlled by a strong leader or guiding coalition (Graetz and Smith 2010). Moreover, many change consultants assume that organizational change involves a series of planned and managed steps, with change unfolding in a linear and predictable manner (Collins 1998).

I realized that traditional approaches to the study of organizational change have been dominated by Western assumptions emphasizing stability, routine, and order as the fundamental features of reality (Chia 2002; Gersick 1991). Through my personal and professional experiences, I noticed that change is much more complex and multidimensional; our attempts to somehow control and manage it seem contradictory to its true, continuous nature. As I grew more interested in Eastern philosophies, I was intrigued by the notion that the world is a continuous becoming, nothing is fixed and permanent, and everything is subject to change and alteration (Hanh 1998; Rahula 1974). I began to think about mindfulness and how it might support change as I view it. I realized that I wanted to be part of action research, so my work would not only deepen scholarly knowledge but also empower an organization and the participants within it in continuing reflective practices at work.

My interest in studying mindfulness and change fit perfectly with the project already in process at Utah Valley University's Student Affairs (UVU), and I was invited to conduct my research as a part of this action research project. I first heard about this project from Dr. Goldman Schuyler (my dissertation chair) while I was on a work trip to a Bedouin village of Lakia in the south of Israel. I visited the village to meet with local leaders who decided to transform the early childhood education services in the village. I was thousands of miles away from Orem, Utah, but nevertheless the story of Michelle leading her organization with mindfulness was very compelling. I didn't know much about Orem, had never visited Utah, and had very little knowledge about it. It was really late at night when I finished my conversation with Kathryn, and I recall thinking about the research. I looked around me, caught in a surreal sense, with a strong feeling that these worlds have more in common than it seems. Change was unfolding in a small Bedouin village in the Negev desert while another change was emerging in Orem, Utah.

A few months later I was on my way from San Francisco to Orem. I visited UVU for a week in October 2016 to interview the participants in this project and see their world for myself. While there, I conducted a total of 19 in-depth semi-structured interviews of approximately an hour each with people from across Student Affairs and participated in two of their meetings. Seventeen of the interviews were in person, one interview took place afterwards by phone, and the final interview was with Michelle Olsen Taylor at the Mind & Life International Symposium for Contemplative Studies several weeks later, where we presented a poster on our work (https://www.mindandlife.org/international-symposium-contemplative-studies/).

The purpose of the interviews was to find out how participants would describe their experiences with mindfulness practices and how these interrelated with their experience of work-related change. I wanted to understand how whatever they did as their practice of mindfulness influenced how they are thinking about and talking about change in the workplace, and also in what ways these practices are supporting them through change. I hoped to learn to what extent mindfulness practice enhances a person's willingness to take responsibility and action for the good of the whole in the face of change, or to foster change in an emergent, collective, self-organizing way.

I transcribed all of the interviews and finally had more than 250 pages of text which, for the dissertation, I will carefully code. For this chapter, I did not do a full analysis as one does in research, but instead analyzed the data more quickly as we generally do in consulting, to convey to clients the core of what is important. However, I have already read both the transcripts of the interviews and my field notes many times, highlighting, bolding, and color-coding rich and significant participant quotes and passages.

The majority of the participants have been involved with UVU for many years, some even as students and later as employees of the university. They told with pride the story of how the organization had been growing rapidly over the years, as it changed from being a community college to becoming a university. UVU has been in a state of consistent flux: Given the growing demand and its historical role as an open admission institution, enrollment in the fall of 2016 reached 35,000 students. Most of the participants have witnessed firsthand the growth of the school; a number of participants in this group were students at the school when it had only 12,000 students and saw it grow over the years. UVU's Student Affairs service line expanded due to this tremendous student growth, but with a relatively lean way of operating.

The participants described burnout, fatigue, and struggles in finding healthy work/life balance. Although I am still analyzing the data in depth, I already see that reflective practices affected their experience of change through an alteration in their perspectives on three levels: how they related to *here and now*, how they connected with the meaning and purpose of work, and how they connected with others. At each of these three levels, participants described an enhanced quality of awareness and clarity. In addition, through all of these levels, their experience of the natural world surrounding them grew more important than it had been before they began to explore mindfulness practices.

In many of my conversations with the participants, they described an experience of engaging at a deeper level with the mountains surrounding the valley. They described how the natural environment appeared with more clarity as an expression of *here and now* and a source of balance, stability, and reassurance. Participants also spoke about how nature became a reminder for them to maintain a healthier separation between work and home. As several said,

> Being present was a big piece of my mindfulness. It's being focused here: be here now. . . . I get off the freeway, and I have about ten minutes until the turn off to my house. At that turn off, I try to physically leave what I need to leave. . . . Then [I] drive home. . . . I drive up, and there's this mountain right here. . . . It's gorgeous. I focus on that. (2)

> It's different every day, and it's beautiful every day. Again, it helps me remember. Yeah. It is majestic to live here, and I am lucky to live here. It gives me that little bit of "yeah, this is all right." (5)

> I noticed that when I'm walking outside I can refocus and come back and look at something, and I feel I have more answers . . . more clarity I guess is the right word for it. (10)

> When I get to a certain point on my way home, at that point I say, "Okay, I'm done. I'm not working anymore." (15)

The majority of the participants described how mindfulness helped them get more in touch with the purpose and meaning of their jobs. It enabled them to connect with the aspects of work that provide them with meaning and satisfaction. Two of the participants described it this way,

> Take a moment and really think about it. Really think about how fortunate we are and that's something . . .. I'm lucky. (5)

> That's really why I'm here . . . to help them (the students) to grow and learn about how they interact with their community and the world around them . . . I feel like I'm trying to be more conscious of them, helping them talk through their feelings. (3)

In addition, participants became aware of how they react and connect with others. This awareness allowed them to see with more clarity how their own behavior affects others and as a result, they were able to respond less unconsciously to negative situations around them. Participants described emotional clarity during meetings and conversations and connecting better with their own feelings and understanding the broader impact of their words and actions on others. As several described this process,

> I noticed that the interactions that I have with individuals are more positive, even if they're more stressed, and they come to my office, I've noticed that I'm more calm, and I sit back and just listen to them. (4)

> I think I set that tone right for my team. When I'm getting all worked up and unbalanced, and I'm not seeing those mindfulness moments, that falls onto my team as well. They can feel it. That just continues to cascade down. I can definitely tell a difference when I am not doing that, and the impact that it's having on my staff and others around me. (2)

> I think I have more compassion. . . I feel like I don't judge or I don't jump into conclusions maybe as fast as I used to. I want to listen more and try to listen and just understand from the other person's point of view or where they are coming from. (7)

Many participants described how they were able to have more awareness and clarity in performing their work, communicate better with others, and improve work-life balance.

The interview data revealed processes of change as they were emerging in a continuous, open-ended, collective, and self-organizing way. Daily life at Student Affairs was described by the participants as having been stressful: associated with exhaustion and lack of focused attention both at work and at home. They described what happened as Michelle introduced her personal experience with mindfulness and invited them to explore it without forcing specific practices. They came to appreciate the quiet and effortless insertion of silent adaptation to a new way of doing things at Student Affairs. As routines of the reflective practices emerged for each of the participants, Michelle introduced more opportunities to engage in mindfulness and created a place and space for managers to share with each other mindful moments, practices, and experiences. These experiences were shared in small groups and larger groups, and a new language is starting to emerge. As one of the participants said,

> . . .the terminology, the verbiage, it now doesn't seem amorphous or theoretical. It's like . . . it's something I can talk about. (16)

As I write this chapter, I am still analyzing the data in depth. However, I already see how our action research has implications both for implementing reflective practices in the workplace and for understanding change as it unfolds. The project shows how reflective practices can have positive effects on how individuals experience change. I believe that by moving toward a new model of change management that integrates contemplative practices, change leaders and consultants can become better attuned to the self-organizing and ongoing nature of change.

Implications and Conclusions

Strategies for Introducing Mindfulness in Your Organization

Based on our experience, we believe that mindfulness practices can be incorporated into any organization regardless of size or complexity, if this is done with thoughtful consideration of the culture and beliefs already established, working in harmony with the suggestions and ideas of the employees themselves. For this to happen, it is important to allow enough space for each individual in the organization to find his/her path. One needs to stay open to be able to see what is coming. There is no need for an agenda, but rather the leader can hold a vision, chart a path, and embrace the fluidity. Some points may be helpful.

First and foremost, understand the culture of the organization and design a program that acknowledges and validates the complex situation employees are currently navigating. Ross and Nisbett (2011), in their groundbreaking book, *The Person and the Situation*, highlight the power of situational influences on behavior, whether focused on the individual or the organization. These situational factors include social pressures and expectations, which are both more important than what researchers have previously acknowledged. The very nature of traditional approaches to research is to control the variables as much as possible. Thus, the subtle details of the situation may not be accounted for and often come back to disrupt the implementer's best intentions. Ignoring these factors may invite the failure that often accompanies taking a tightly controlled research design and implementing a large-scale organizational social intervention with disappointing results. Introducing change by designing a path that offers both structure and freedom for individuals to develop "their own handwriting," as Kathryn's teacher Moshe Feldenkrais used to say, may enable transformational change to evolve, rather than be imposed.

Second, simple is better. Force is the enemy. The more effortless you can make the introduction of mindfulness, the more open will employees be to participating. Organizations are made up of individual employees who are often wary of the latest program or training they have been assigned to complete. Yes, they will complete it, if it is required. But that doesn't guarantee that they have embraced it. Most often, it becomes one more item they can check off as completed on their ever-expanding list of things to do on time and under budget. As Thich Nhat Hanh (2015, p. 61) stated "Do we need a special effort to see the beauty of the sky? Do we have to practice in order to enjoy it? No, we just enjoy it. Each second, each minute of our lives can be like this." Invite employees to experience mindfulness on their own terms, not as another work assignment.

Third, create a collaboration between a knowledgeable consultant and the leader in introducing mindfulness to the organization. It is tempting for an overworked executive to want to turn over the change process to a consultant or to someone within the organization. However, the role of the consultant is not to create change in an organization: It is to work closely with the leader and organization as they craft a path that is right for them in the change process. The consultant needs to bring deep knowledge of what is being introduced (mindfulness) – not just as a set of tools but as a process that has already influenced his or her life through practice. And the consultant should also have deep experience with organization development and change, as facilitating such systemic change is both a profession and an art. The journey is as important as the outcome (Goldman Schuyler 2012b). This is a core tenet both of genuine mindfulness and of effective organization development. And the leader should have an authentic voice, embody reflection, and role model these qualities to the group, holding space for participants to create their own paths within a view of a mindful organization.

Certain questions seem important to consider if you are contemplating introducing such change in your own organization. How can you craft it so that it fits with the local beliefs and culture? Do you see value in connecting mindfulness with the culture of the organization, so that it is about "us" and how we do things, rather than being viewed as an individual process? Are you, as leader, willing to find the time to live this, rather than trying to bring in an expert to train others? Can mindfulness be something you personally embody, rather than it becoming another set of manipulative tools? Finally is this going to be another "flavor of the month" or can you craft a process that will allow it to slowly seep into your own and others' ways of being with one another at work, so it becomes a richly nourishing meal that brings light and life into the workplace?

Mindfulness Practice at Work

It has been exciting to sense that our approach may be generating outcomes that have a distinctly different quality than other approaches to mindfulness in organizations. Some researchers have seen improved performance (Dane and Brummel 2014; Good et al. 2016) and others have found executive learning with regard to resilience, the capacity for collaboration, and the ability to lead in complex conditions (Reitz and Chaskalson 2016), but none have commented on what we have found in both phases of our action research: the way that an enhanced connection to nature seems to develop and nourish a deeper sense of purpose (for discussion of outcomes of the earlier phase, see Cortés Urrutia 2016; Goldman Schuyler et al. 2017, and Koskela and Goldman Schuyler 2016). This consistency of results in two different action research projects suggests that the way we are approaching mindfulness may add something qualitatively distinct and valuable. In today's world, finding meaning in work seems very important to younger workers, as does the sustainability of the planet, so a simple, nonsectarian approach to training our own minds that yields these outcomes may have broad value. In Buddhist traditions, how one approaches practice is called the *view*: the underlying assumptions that color what we do. The view underlying our action research was one that emphasized letting the mind rest in open awareness, encouraging each person to seek mindful moments with no constraints placed about where or how to do this. They were not given a "right way": They had to find their own way. This is different from most of the mindfulness training being brought to organizations and business, as they language mindfulness in terms of relief from stress or improved work performance at an individual level or else enhanced accuracy and precision at an organizational level. Neither of these speak about deeper purpose, as our participants have done, both at UVU and in the earlier study.

Hougaard and Carter (2016) define mindfulness as having two components. Focus, defined by them as "the ability to concentrate on what you're doing in the moment" (Hougaard and Carter 2016, np), is similar to traditional Buddhist *shamatha* or mind-calming practices. However, they describe the other component, awareness, as the ability to avoid or reduce distractions. Open awareness on the other hand, can be defined as letting the mind rest undisturbed so as to sense its spaciousness and ease (Dalai Lama 2007; Mingyur Rinpoche and Swanson 2009). While it does seem that for many people a minimal amount of training is needed to let the mind rest, and for some of us many years of training are needed, our research suggests that when people experiment creatively with being present to themselves and the space where they are, they become aware of or connected to a larger sense of purpose. Rather than simply calming the mind or disciplining the mind, it appears that our approach has, with two different populations, led to the participants feeling more connected with the world around them. The results of both projects showed clear themes of increased awareness of the importance of connection with nature and of sustainability. The participants at the university developed increased awareness of themselves emotionally and physically in their environment, as well as a sense of increased connection with the purpose of their work and with those they serve (the students). This suggests that our approach to waking up moments supports people in connecting with what Scharmer and Senge call a *social field* and with what so many regard as essential for meaningful work: a sense of purpose.

Action Research and Organizational Change

Our approach to mindfulness and organizational change assumes that we, as human beings, already have within us the capacity to be awake to ourselves and one another. At the individual level, rather than training people to concentrate and learn methods that they experience as extrinsic to their mind and being, we have sought to help people notice moments of waking up, beauty, richness, or peace within their ongoing, busy lives. This invites more attention and intentionality in our daily lives. At the organizational level, our approach is to allow to things to evolve and emerge in an open-ended and self-organizing way within the context of providing a sense of direction – a path. This may enable individuals to find what fits for them and, as time progresses, create the right balance of what is right for them as a group.

The three roles we have lived and described here as being important to action research – the leader, process consultant and coach, and researcher – each contribute in unique ways to formulating and creating a viable process of change. Working collaboratively enhances the capacity for meta-level awareness where all parties can see themselves, reflect upon their doing, and engage in an ongoing process of adaptation. A key value of action research is to create and sustain a space for conversation/dialogue among these three viewpoints/voices, whether they are embodied in three distinct people or are simply different voices within one person. A team of this sort can support the evolution of an organization through action research to become a lively and nourishing place to work. We were particularly interested in fostering the development of more mindful organizations, but we suspect that our approach is valuable for most types of organizational change and hope to see such change emerge in organizations around the world.

Cross-References

- ► It's Not What You Do, It's Who You Are
- ► Leader Self-Development, Maturation, and Meditation: Elements of a Transformative Journey

References

Antonacopoulou E, Tsoukas H (2002) Time and reflexivity in organization studies: an introduction. Organ Stud 23(6):857–862

Argyris C (1958) The organization: what makes it healthy? Harv Bus Rev November-December:107–116

Austin JR, Bartunek JM (2003) Theories and practices of organization development. In: Borman W, Ilgen D, Klimoski R, Weiner J (eds) Handbook of psychology, vol 12. Wiley, New York

Bradbury H (2013) Collaborative selflessness: toward an experiential understanding of the emergent "responsive self" in a caregiving context. J Appl Behav Sci 20:1–25. https://doi.org/10.1177/0021886313502729

Brown KW, Creswell JD, Ryan, RM (Eds.) (2015) Handbook of mindfulness: Theory, research, and practice. Guilford Press, New York

Burgon JK, Berger CR, Waldron VR (2000) Mindfulness and interpersonal communication. J Soc Issues 56(1):105

Chia R (2002) Essai: time, duration and simultaneity: rethinking process and change in organizational analysis. Organ Stud 23(6):863–868

Chia R (2014) Reflections: in praise of silent transformation – allowing change through 'letting happen'. J Chang Manag 14(1):8–27. https://doi.org/10.1080/14697017.2013.841006

Cleirigh DO, Greaney J (2015) Mindfulness and group performance: an exploratory investigation into the effects of brief mindfulness intervention on group task performance. Mindfulness 6(3):601–609. https://doi.org/10.1007/s12671-014-0295-1

Collins D (1998) Organizational change: sociological perspectives. Routledge, New York

Cortés Urrutia L (2016) Moments of presence: impacts on work and relationships. Doctoral dissertation, Pro Quest Dissertations Publishing, 10103505

The Dalai Lama (2007) Mind in comfort and ease: the vision of enlightenment in the great perfection. Wisdom Publications, Boston, MA

Dane E, Brummel B (2014) Examining workplace mindfulness and its relations to job performance and turnover intention. Hum Relat 67(1):105–128

Dunlosky J, Metcalfe J (2009) Metacognition. Sage Publishing, California
Gersick CJ (1991) Revolutionary change theories: a multilevel exploration of the punctuated equilibrium paradigm. Acad Manag Rev 16(1):10–36
Glomb TM, Duffy MK, Bono JE, Yang T (2011) Mindfulness at work. Res Pers Hum Resour Manag 30:115–157
Goldman, K.L. (1979) Organizations and autonomy: an exploration of the relationship between organizational openness and personal autonomy in American community colleges. Doctoral dissertation, Columbia University, 1979. Dissertation Abstracts #8008729
Goldman Schuyler K (2012a) Inner peace—global impact: Tibetan buddhism, leadership, and work. Information Age Publishing, Charlotte
Goldman Schuyler K (2012b) Increasing leadership integrity through mind training and embodied learning. In: Goldman Schuyler K (ed) Inner peace—global impact: Tibetan buddhism, leadership, and work. Information Age Publishing, Charlotte, pp 67–94
Goldman Schuyler K (2016) Mindfulness as waking up: usings about how to be optimally alive. J Corp Citizen 62:59–75. https://doi.org/10.9774/GLEAF.4700.2016.ju.00010
Goldman Schuyler K, Baugher JE, Jironet K (eds) (2016) Creative social change: leadership for a healthy world. Emerald Group Publishing, Bingley
Goldman Schuyler K, Skjei S, Sanzgiri J, Koskela V (2017) "Moments of waking up": a doorway to mindfulness and presence. J Manag Inq 26:86–100. https://doi.org/10.1177/1056492616665171
Good DJ, Lyddy CJ, Glomb TM, Bono JE, Brown KW, Duffy MK, Baer RA, Brewer JA, Lazar SW (2016) Contemplating mindfulness at work. J Manag 42(1):114–142. https://doi.org/10.1177/0149206315617003
Graetz F, Smith AT (2010) Managing organizational change: a philosophies of change approach. J Chang Manag 10(2):135–154. https://doi.org/10.1080/14697011003795602
Hanh TN (1998) The heart of the Buddha's teaching. Harmony Books, New York
Hanh TN (2014) How to eat. Parallax Press, California
Hanh TN (2015) How to relax. Parallax Press, California, p 61
Hanson R, Mendius R (2009) Buddha's brain. New Harbinger Publications, California, pp 79–81
Harris D (2014) 10% happier: how I tamed the voice in my head, reduced stress without losing my edge, and found self-help that actually works –A true story. Harper Collins It Books, New York
Hougaard R, Carter J (2016) How to practice mindfulness throughout your work day. Harv Bus Rev:2–5
Hülsheger U, Alberts H, Feinholdt A, Lang J (2013) Benefits of mindfulness at work: the role of mindfulness in emotion regulation, emotional exhaustion, and job satisfaction. J Appl Psychol 98:310–325
Kabat-Zinn J (2011) Some reflections on the origins of MBSR, skillful means, and the trouble with maps. Contemp Buddhism 12:1476–7953. https://doi.org/10.1080/14639947.2011.564844
Koskela V, Goldman Schuyler K (2016) Experiences of presence as a key factor towards sustainability leadership. J Leadership Stud 9(4):54–59. https://doi.org/10.1002/jls.21427
Lewin, K. (ed.) (1951). Field theory in social science: selected theoretical papers by Kurt Lewin, (UK edition published 1952, ed. Dorwin Cartwright). Tavistock, London
Macky RB, Chia R (2013) Choice, change, and unintended consequences in strategic change: a process understanding of the rise and fall and Northco Automotive. Acad Manag J 56(1):208–230. https://doi.org/10.5465/amj. 2010.0734
McGuire SY, McGuire S (2015) Teach students how to learn: strategies you can incorporate into any course to improve student metacognition, study skills, and motivation. Stylus Publishing Virginia
Mingyur Rinpoche, Y. with Swanson, E. (2009). Joyful wisdom: embracing change and finding freedom. Three Rivers Press, Random House, New York
Mintzberg H (1987) Crafting strategy. Harvard Bus Rev 65:66–75
Purser R, Milillo J (2015) Mindfulness revisited: a buddhist-based conceptualization. J Manag Inq (1):3–24. https://doi.org/10.1177/1056492614532315

Proust J (2013) The philosophy of metacognition: mental agency & self-awareness. Oxford University Press, Oxford

Rahula W (1974) What the Buddha taught. Wiley, New York

Reason P, Bradbury H (2008/2013) The Sage handbook of action research: participative inquiry and practice, 2nd edn. Sage, Los Angles

Reason P, Torbert W (2001) The action turn toward a transformational social science. Concept Transform 6:1–37

Reitz M, Chaskalson M (November 4, 2016). Mindfulness works but only if you work at it. Harv Bus Rev Digital Articles, pp 2–5

Rescher N (1996) Process metaphysics: an introduction to process philosophy. State University of New York Press, Albany

Ross L, Nisbett RE (2011) The person and the situation. Pinter & Martin, London

Salzberg S (2014) Real happiness at work. Workman Publishing Company, New York

Scharmer Otto (2016) "Real world examples." – downloaded from https://courses.edx.org/courses/course-v1:MITx+15.671.0x+2T2016/courseware/6429fa60fa2946f1929084608a384442/6036f02e7f734cd4bf33f4f74a09adab/

Senge P (2012) "Leaders should be people who are deeply involved in their own realization of being a human being" – An interview with Peter Senge. In: Goldman Schuyler K (ed) Inner peace—global impact: Tibetan buddhism, leadership, and work. Information Age Publishing, Charlotte, pp 317–327

Shapiro SL, Carlson LE (2009) The art and science of mindfulness: integrating mindfulness into psychology and the helping professions. APA, Washington DC

Shonin E, Van Gordon W (2015) Managers' experiences of meditation awareness training. Mindfulness 6(4):899–909. https://doi.org/10.1007/s12671-014-0334-y

Staley C (2015) Focus on college success, 4th edn. Wadsworth Cengage Learning, Boston

Sutcliffe KM, Vogus TJ, Dane E (2016) Mindfulness in organizations: a cross-level review. Annu Rev Org Psychol Org Behav 3:55–81

Tsoukas H, Chia R (2002) On organizational becoming: rethinking organizational change. Organ Sci 13(5):567–582

Van de Ven A, Poole M (2005) Alternative approaches for studying organizational change. Organization Studies 26(9):1377–1404

Weick KE, Quinn RE (1999) Organizational change and development. Annu Rev Psychol 50(1):361

Wheatley M, Kellner-Rogers M (1998) A simpler way. Berrett-Koehler, San Francisco

Index

J. Neal (ed.), *Handbook of Personal and Organizational Transformation*,
https://doi.org/10.1007/978-3-319-66893-2