An Action Research Study of a Leadership Development Programme in the Hotel Industry.

A thesis submitted in partial fulfilment of the requirements of London Metropolitan Business School for the Professional Doctorate in Personnel and Development

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Abstract

Many organisations view leadership as a feature of competitive advantage and competent leaders as instrumental in achieving organisational performance and productivity.

In the hotel industry, there is a strong relationship between leadership culture and leader behaviour with employee satisfaction, loyalty, and productivity that has a subsequent impact on service quality, profitability and growth. Consequently, many hospitality organisations invest significantly in the development of their leaders using a variety of internal and external Human Resource Development HRD interventions and practitioners.

A key challenge for HRD practitioners in this setting is to design and deliver effective leadership development interventions that provide relevant learning that is transferred to the workplace for individuals and management teams. However, the learning approach is not the only concern and transfer is a crucial element of effectiveness, particularly where the practice setting of the workshop, where skills and knowledge are gained, is very different from the business setting where they are to be applied and so the concept of far-transfer must be factored in to the design and delivery.

This case study reviews the evolution, design, delivery, evaluation and training transfer of a large scale Leadership Development programme for managers in a single organisation in the hotel industry, carried out by an independent HRD consultant practitioner and submitted as a thesis for a Practitioner Doctorate in Personnel and Development. The participants were all members of management teams operating within the UK and Continental Europe.

This action research account treats the stages of the programme as four separate yet connected cycles, each with discrete practitioner-researcher concerns. Researcher and practitioner questions arising out of an initial diagnostic and alignment activity led to programme design and delivery considerations. These were followed by evaluation and subsequent transfer enquiries. Through these cycles, core questions at the heart of HRD consultant practice in a real world situation were explored. These relate to creating and providing effective interventions that facilitate the required sustainable behaviour changes within the client system, recognising that the criteria for how effectiveness is defined, identified and evaluated are multi-variant and highly likely to be unique in each case.

A key outcome is the development of the concept of Inspirational Leadership as a potentially relevant model for developing leader effectiveness in this setting underpinned by Fundamental Interpersonal Relationship Orientation (FIRO) Theory as the central behavioural model.

A structured Training Intervention Framework (TIF) is also proposed as a holistic methodology for the diagnosis, design and delivery of similar interventions in order to create a robust strategy and tactics for training interventions to occur. This is presented as a theoretical contribution to professional practice for HRD practitioners for future interventions in similar settings.

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1). Introduction to the Study

1.1 Chapter Introduction

This study is the rigorous examination of a large scale leadership development programme conducted by the author for a single client organisation in the hotel industry over a two year period. Through the lens of a Human Resource Development (HRD) practitioner-researcher it is a naturalist enquiry exploring a series of interventions, from initial diagnosis of client requirements to identifying longer term considerations, in an authentic case study context.

This chapter describes the structure and focus of the study and explains the overall research paradigm. It also briefly introduces the relevant debates and concepts, defines key terms and locates the practitioner-researcher context within the text.

As a submission for an award for a Practitioner Doctorate, the intention throughout is to explore and utilise the synergy between theory, research and practice in order to create and confirm a *successful and meaningful individual, group, organizational, and community outcomes* (Dewey & Carter, 2003, p.252) and to discover the *research needed to guide or justify intervention designs* (Berger *et al* 2004, p.403).

1.2 The Study Structure

The interventions entailed in the case study are presented as four discrete cycles of activity in the following chronological order:

Cycle ONE:	Diagnosis of the intervention requirement
Cycle TWO:	Design of the intervention to meet requirements
Cycle THREE:	Delivery and evaluation of short term outcomes
Cycle FOUR:	Identifying the nature of longer term training transfer

Each cycle of enquiry is treated as a separate chapter where research questions are introduced, literature is reviewed, data is collected and interpreted and conclusions are drawn. The perspective is that of a practitioner-researcher, operating in a largely interpretive paradigm seeking to understand meanings and focused on practice, but grounded in science.

The research questions for each cycle are outlined in Table 1.1 on the following page;

The first cycle describes and explains the diagnostic research carried out to align the design to the specific requirements of the case. The second reviews and reaches conclusions on the leadership genre suitable for this setting; and the third cycle summarises the strengths and limitations of training evaluation for programmes of this type. The fourth and final cycle explores the nature of training transfer, concluding with a conceptual model for diagnosing requirements and designing effective training interventions and integrating a training transfer strategy for similar interventions.

Following the four cycles, as the synthesis of practitioner-researcher learning through this study, Chapter 6 proposes a holistic training intervention framework as a unique contribution to the field of HRD practice. The final Chapter provides an overall summary of the thesis with key conclusions.

CYCLE	1	2	3	4
Chapter	2	3	4	5
Intervention Phase	**Diagnosis**	**Design**	**Outcome Evaluation**	**Training Transfer**
Cycle Aim & Purpose	To diagnose the relevant background factors leading to the requirement for a leadership development programme.	To review the relevant factors required to inform the design of the leadership development programme in this case	To evaluate the impact of the leadership development programme on participants and identify tangible outcomes.	To identify the nature of training transfer and the factors influencing training transfer in this case
Enquiry	How does the nature of the hotel industry influence the development of leaders operating within it? How were the requirements and expectations of the organisation, teams and individuals for this leadership development programme reviewed? How can the success criteria at organisation, team and individual level be identified?	What models of leadership can be drawn upon to identify an appropriate leadership fit? To what extent is there a theoretical justification for Inspirational Leadership? How far can the appropriateness of FIRO dimensions of behaviour to leadership teams and individuals be demonstrated in this setting?	What are the strengths and limitations of the traditional four-level evaluation of an intervention of this sort?	What conclusions regarding training transfer could be made to inform practice in a similar situation? How could these conclusions be captured in a theoretical framework?
Research Methods	• Observation • Analysis of text and mute evidence • Interviews with key stakeholders	Focus Groups in a parallel organisation	• On-line surveys to all participants • Observation and semi-structured questions; sample of participant teams • On-line survey; sample of hotel managers	Semi-structured interviews with a sample of individual participants from the leadership development programme
Literature Review Area	The nature of leadership in the hotel industry	Perspectives on leadership development	Evaluation of training	Training transfer

Table1.1: *Research Cycles Outline and Overview*

1.3 The Research Paradigm

The overall research paradigm is that of action research in presenting *a study of a social situation carried out by those involved in that situation in order to improve both their practice and the quality of their understanding* (Winter and Munn-Giddings, 2001, p.8) and one in which knowledge is created *based on enquiries conducted within specific and often practical contexts* (Koshy, 2009, p.4).

As a method, action research is used for improving practice and *involves action, evaluation, and critical reflection and, based on the evidence gathered, changes in practice are then implemented* (Koshy, 2010, p.2). Reason and Bradbury (2001) define action research as an approach which is concerned with *creating new forms of understanding, since action without reflection and understanding is blind, just as theory without action is meaningless* (Reason & Bradbury, 2001, p.2).

Kemmis *et al* propose that action research involves a spiral of self-contained cycles involving planning a change, acting on and observing the consequences of the change and finally reflecting on the consequences, before re-planning for the next cycle, as illustrated at figure 1.1 below:
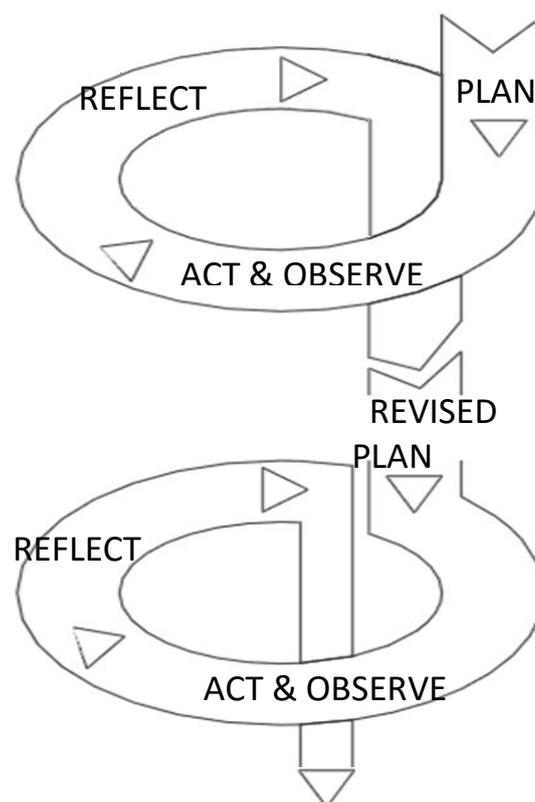
Figure 1.1: The Action Research Spiral (Kemmis *et al* 1988, p.11)

The iterative nature of the Action Research Spiral provides a viable method for presenting the four research cycles of enquiry in the case study as well as a way *to find the best possible explanations for what we hear, observe, read and intuit, in context, about the phenomena of interest to us as researchers and of concern to other stakeholders* (Willis, 1998, p.269).

The cyclical structure and development of this study fits with Gummesson's view of research projects which he considers *should be an upward [hermeneutic] spiral in which we interpret and re-interpret data in a never-ending trial-and-error process of both theory generation and theory testing* (Gummesson, 2003, p.482).

For a practitioner-researcher, moving on from one cycle to another in this way is a normal and dynamic process as *we move from preunderstanding to understanding, where understanding from phase 1 furnishes the preunderstanding for phase 2, and so forth. There is thus an oscillation between what we knew and what we have learnt (Gummesson, 2003, p.483).*

Preunderstanding 3

Preunderstanding 2

Understanding 3

Understanding 2

Understanding 1
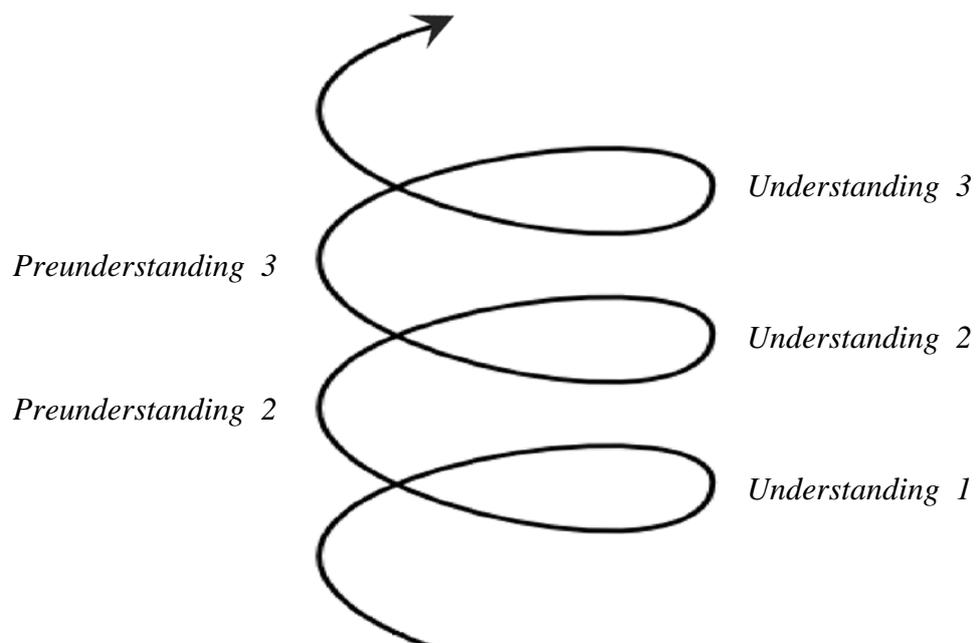
Figure 1.2: *The Hermeneutic Spiral* (Gummesson 2000, p.71)

A separate literature review for each cycle is intentional and aims to *synthesise existing literature with* own *theoretical explanations* and to use it not *necessarily as a detached and background element of the research process, but an integral part and an additional potential source of enquiry* (Sambrook, 2002, p.378).

The heuristic inquiry throughout was a *discerning personal involvement in problem solving, an effort to know the essence of some aspect of life through the internal pathways of the self* (Douglass & Moustakas, 1985, p.39).

Although *consultancy skills are a key part of the action research toolkit, they do not in themselves justify the activity as research* (Eden & Huxham, 1996, p.81). As the cycles progressed, the synthesis of HRD practitioner and researcher roles developed as represented in the model at Figure 1.3 below:
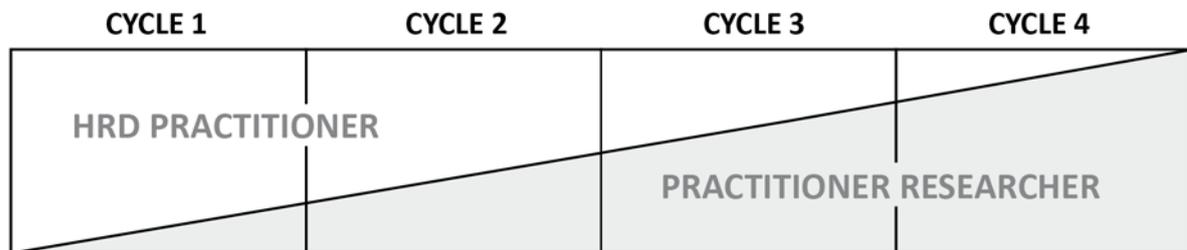
Figure 1.3: Adapted by the author from Multiple Roles of the Consultant Model (Lippitt and Lippitt 1986)

This has led to a merging of the research process and the professional consultant's preunderstanding to a point where *we knew that already* or *we do that every day of our professional lives* (Robson, 2002, p.536). After the interventions were completed each cycle was re-visited to identify key outcomes that might have slipped through the net given newly acquired research insights. Research methods and conclusions are presented with confidence as being *systematically grounded in justifiable and coherent principles* (Winter, 1989, p.37)].

Limitations of the paradigm are that it is difficult to replicate and the resulting lack of repeatability will reflect in a corresponding apparent lack of rigour. A further limitation is proposed by Paton in that *these cyclic diagrams are misleading* and *the iterative, interconnected and holistic nature of systems thinking is not easily captured in diagrammatic form* (Paton, 2001, p.108). However, a contrasting strength is that the consultant setting provides a valuable source of real data and opportunities in providing a richness of insight. Eden and Huxham (1996) assert that *the method is likely to produce insights that cannot be gleaned in any other way* and that in management research in particular it is *the systemic nature of a uniquely-interlocking set of theories from many disciplines that makes the body of the theory powerful and useful* (Eden & Huxham, 1996, p.80).

Further opportunities offered by engaging in action research are to empower practitioners to generate solutions to practical problems and, as well as a method, action research is also defined as a *continuous learning process in which the researcher learns and also shares the newly generated knowledge with those who may benefit from it* (Koshy, 2009, p.9).

Cho and Egan argue that *many definitions and variants of action learning have been used in the identified action learning research* (2010, p.164). They also propose that *HRD practitioners need a better understanding of the variables that affect the outcomes of action learning through exploring learning transfer issues and through testing multiple methodologies* (Ibid). Similarly, Chenhall and Chermack advise that *HRD practitioners need a better understanding of the variables that affect the outcomes of action learning through exploring learning transfer issues and through testing multiple methodologies* (Chenhall and Chermack 2009, p.588).

The key concepts include problem solving, improvement, achieving better understanding, theory building and *elements of real people resolving and taking action on real problems in real time and learning while doing so* (Marquardt 2004, p.1).

1.4 The Practitioner-Researcher in Context

A Practitioner-Researcher can be described as *someone who holds down a job in some particular area and is, at the same time, involved in carrying out systematic enquiry which is of relevance to the job* (Robson, 2002, p.535). That defines my situation entirely. For the past 25 years, I have operated as an independent HRD consultant, with most of my clients and commercial field work occurring in the hospitality industry. My practice is relatively small and work reaches me through reputation and returning assignments. Whilst I have access to a wide range of professional associates and colleagues, I am usually engaged by my client companies as a sole practitioner and a majority of my interventions are solo assignments. Thus the purposeful creation of trustful and supportive relationships between me and my clients is a prerequisite for success.

As the practitioner-researcher at the centre of this study, I am aware that by writing in first person within parts of this text, I may need to defend this genre to those who propose that *too much authorial intrusion, with "I did this and I did that" sounds naïve* (Robson, 2002, p.506). My choice to use my own voice to describe my reasoning is influenced by the suggestion that *the ethnographic process has always been an essential way of studying culture, including organisational culture* and that *an increasing use of first person narrative in organisational research also helps* (Boyle and Parry, 2007, p.185) and that a first person orientation is entirely appropriate for reporting action research (Kemmis and McTaggart, 2000).

Action research *demands a high degree of self-awareness in knitting together the role of the consultant with that of researcher* (Eden & Huxham, 1996, p.81). As the practitioner-researcher engaged in the inquiry, personal reflective practice is present throughout as the heuristic aspects

served to *awaken and inspire researchers to make contact with and respect their own questions and problems, to suggest a process that affirms imagination, intuition, self-reflection, and the tacit dimension as valid ways in the search for knowledge and understanding* (Douglass & Moustakas, 1985, p.39).

As the practitioner-researcher, this case involved a systematic job-relevant enquiry (Robson, 2002) through collecting data about client requirements, their context and a range of contemporary phenomena as well as considering my own preunderstanding (Gummesson, 2000) as illustrated by the following figure 1.4.

I am also aware of the nature of subjectivist ontology, in which the researcher constructs their own culturally derived paradigm, determining the object of study, how it is studied and the criteria for choosing.
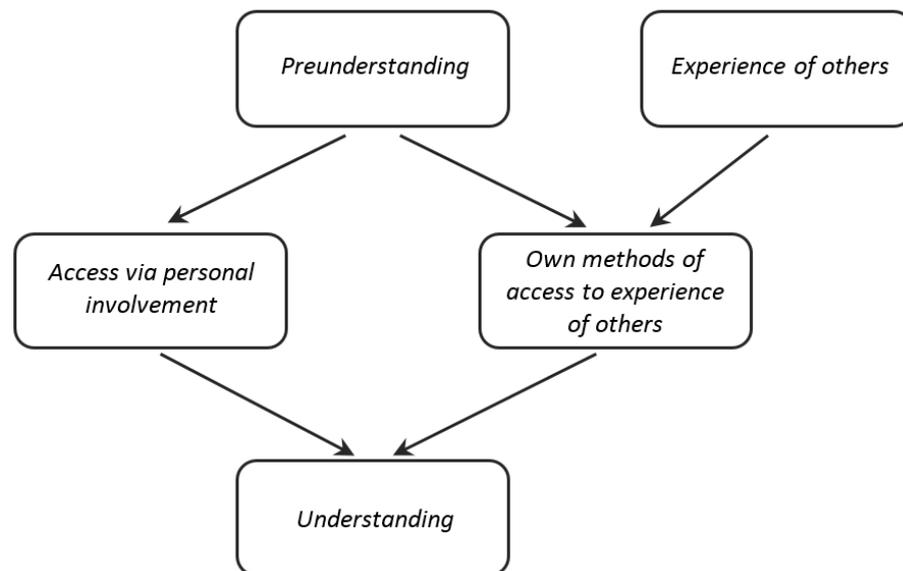
Figure 1.4: Sources for Understanding (Gummesson 2000:71)

My professional requirement as a practitioner-researcher in the applied field of HRD consultancy is to explore the theory-practice gap in this search for knowledge and understanding in order to become increasingly elegant in providing effective and evidence-based practice. The research demonstrates an effort to move from being a *citizen who aims at being well-informed* (Schutz 1964, p.122) making judgements that are based on more than *guesswork or loose suppositions* (Ibid); to becoming an expert seeking fundamental knowledge that will add to an understanding of behaviour in my field of study. Through describing my methodology in each cycle, I develop my awareness and ability to establish a difference between the normal procedures of my professional practice and the research activities.

The criterion of success is not whether participants have followed the steps faithfully but rather whether they have a strong and authentic sense of development and evolution in their practice, their understandings of their practices and the situations in which they practice (Kemmis and McTaggert, 2000, p.277).

This is the first time that I have subjected myself to such a close level of scrutiny and viewed my own practice from a critical reflection perspective. In describing my case study intervention, I lay out my personal understanding of the beliefs, values and realities which support and constrain my work in a way in which *social actors produce, represent and contextualise experiences through narratives* (Coffey and Atkinson, 1996, p.54).

The intervention in this client system involved *two goals; solve a problem for the client and contribute to science. This means being a management consultant* and *an academic researcher at the same time* (Gummesson, 2000, p.116). As a researcher, my approach was firstly that of self-reflective, first person research to develop a range of *skills and methods [which] address the ability of the researcher to foster an inquiring approach to his or her own life, to act awarely and choicefully, and to assess effects in the outside world while acting* (Reason and Torbert, 2001, p.17). Therefore, this is a study with practical conclusions that I consider to be highly relevant to my professional setting and that was *in part at least, determined by the agenda and concerns of that setting* (Robson, 2002, p.535).

My context fits the description of an *interpretive bricoleur* (Denzin and Lincoln, 2005). The term *bricoleur* describes someone who uses whatever is at hand to deal with the current task creating a product known as the *bricolage* (Levi-Strauss, 1966). Nelson *et al* (1992) further described bricolage as a choice of practice that is *pragmatic, strategic and self-reflexive* (Nelson et.al, 1992, p.2).

The Hermeneutic Spiral at Figure 1.2 (Gummesson, 2000, p. 71) supports my own experience that *the solution (bricolage) which is the result of the bricoleur's method is an emergent construction* (Weinstein and Weinstein, 1991, p.161) and that *the choices as to which interpretive practices to employ are not necessarily set in advance. The choice of research practices depends on the questions that are asked, and the questions depend on their context* (Nelson *et.al* 1992, p.2). The questions guiding the inquiry changed as the project developed, as I matured as a researcher and as more and more pieces were added to my bricolage.

Developing agility in critical reasoning and cognitive ability is a pragmatic aim for a practitioner-researcher wishing to engage in improving and optimising their practice in the field. In the relationship between theory and practice in this context, neither is pre-eminent.

Through this qualitative study, the intention was to seek to understand meanings, to showcase the application of theory to solve problems and document and demonstrate best practice in order to provide a contribution to practice in a similar setting. In considering the relationships between theory, practice and consequent contributions to the field, it became relevant to consider the audience: *Because case studies have more potential audiences than other types of research, one of your essential tasks in initially designing the overall case study report is to identify the specific audiences for the report. Each audience has different needs and no single report will serve all audiences simultaneously* (Yin, 2009, p.167).

Similar to the concept of first, second and third person research practice (Torbert 1991) in terms of defining the audiences, it has been proposed that all good research should communicate with three audiences: *For **me**, for **us** & for **them*** (Reason & Marshall, 1987, p.112).

- ***For me*** in this case is defined as *the extent to which the process and outcomes respond directly to the individual researcher's being-in-the-world, and so elicit the response, "That's exciting!"*

- ***For us*** relates to *the extent that it responds to concerns for our praxis, is relevant and timely, and so produces the response "That works!" for those who are struggling with problems in their field of action.*

- ***For them*** is about the production of generalisable ideas and outcomes that create a response of *that's interesting!* (Reason and Marshall, 1987, p.112-3)

The audience defined as *for me* was easy to satisfy: As explained above, as the practitioner-researcher in this case, I am committed to further developing my understanding of how my *practices are located in, and are the product of, particular material, social and historical circumstances that produced them and by which they are reproduced in everyday social interaction in a particular setting* (Kemmis *et al* 1988, p. 279).

Investigation, enquiry, evaluation and innovation are all part of the professional role (Robson, 2002, p.536). Concepts such as *extended professionality* and the *reflective professional* (Schön, 1983) are significant factors in the aspirational quality of evidence-based HRD practice and *the conscientious, explicit and judicious use of current best evidence in making decisions about the development of individuals, groups and organisations, integrating individual HRD practitioner expertise with the best available external evidence derived from systematic research* (Hamlin, 2002, p.97*)*.

For me then is all about exploring the possibilities of improving my practice in the field and considering my contribution to knowledge and practice as a result of my findings and as a learning journey *that's exciting!* (Reason and Marshall, 1987)

For us and for them in this context relates to other HRD practitioners and scholars and whether genuinely new insights or contributions can be created by such a small-scale investigation because *experienced practitioners approach their work with a vast and complex array of concepts, theoretical models, provisional explanations, typical scenarios anticipation of likely outcomes etc….A research process must demonstrably offer something over and above this pre-existing level of understanding* (Winter, 1989, p.34).

In consideration of *us,* the holistic model for training intervention resulting from the study and described in the final chapter is evidence of a *demonstrable offer* over and above my own *pre-existing level of understanding* and provides a contribution to the practice of others in a similar field and scholars interested in the themes of this study.

1.5 Key Concepts and Debates in Literature Reviews

Leadership skills and abilities are seen as critical for the modern organization to adapt, innovate, and attract and retain talent—key capabilities for surviving in a complex and competitive environment. Not surprisingly, organizations invest considerable time and resources in identifying and developing leaders (McCauley, 2008, p.5).

Designing and delivering a leadership development intervention on behalf of a client is a typical process for an HRD practitioner. It is also one where many *abstract considerations of possible actions and opportunities for theorising occur* (Gold *et al* 2011, p.230) when, as here, the inquiry is treated as qualitative in nature, seeking to understand meanings and focused on the theory-practice relationship. Leadership and HRD are fields where concepts are subject to multiple interpretations and definitions are accordingly slippery. Over 40 years ago, Stogdill (1974) noted *there are almost as many different definitions of leadership* as *there are persons who have attempted to define the concept* (Stogdill, 1974, p.7). Little has changed over the years beyond increased complexity: for example there is *a conceptual confusion regarding distinctions between leader and leadership development* (Day, 2001, p.581). The issue of conflicting definitions is equally apparent in relation to HRD *where each authority on the subject seems to be taking a different stance* (Walton, 1999, p.52) a consequence of a move towards relativist epistemologies that sees concepts created and talked into being as social and discursive constructions (Sambrook 2004).

An ongoing debate for HRD practitioners features a reported gap between research and practice where some consider that it would be *optimistic to claim that HRD research is influencing practice in meaningful ways* (Berger, Kehrhahn & Summerville, 2004, p.403).

One of the objectives of this thesis is to contribute to this debate and provide insights into the creative reasoning process required to design an effective intervention *grounded in the realities of real-world practice* (Githens, 2015, p.185). The development of solid evidence-based theory for an HRD practitioner in the field is a significant issue as in the past, HRD has often not been seen as a profession, but reactive and carried out by people who rely upon fads in the absence of a deeper conceptual understanding (Bing, Kehrhahn & Short, 2003).

Key concepts are developed and discussed in detail in the literature reviews for each of the four cycles of the thesis to which the themes relate. An introduction to perspectives developed is provided below.

1.5.1 Cycle ONE: The nature of leadership in the hotel industry

As a fast moving and dynamic work setting, the hotel industry, and the organisation of the case study, requires professional managers to develop themselves continually to improve their performance. Because it is an industry that relies on engaged employees deploying discretionary effort to deliver service levels that create profit, the quality and style of leadership is vital to establish desired levels of trust and commitment. The literature is used to identify distinctions made between key constructs such as management development, leader development, leadership development, and leadership development programmes; and then to relate these to contextual and operational issues facing the hotel industry.

1.5.2 Cycle TWO: Perspectives on leadership development

In identifying models of leadership the transactional versus transformational debate was introduced and the preference for neo-charismatic transformational models explained as on the surface they were based on values that were congruent with those of the organisation. As an emerging concept within the genre of neo-charismatic transformational leadership theories explored, Inspirational Leadership was selected, with modifications, as the style central to the design of the development programme.

The literature perspectives reviewed described it as being an individual leader style, with the emphasis being on the ability of the leader to persuade and enthuse followers (subordinates) towards achieving team goals. One of the outcomes of the review has been to incorporate within the construct the notion of shared leadership which emphasises autonomy of team members. This makes it stronger and more related to the team dynamic elements requiring attention in the programme design.

1.5.3 Cycle THREE: Evaluation of training

Evaluation is treated as an essential process conducted before, during and after a training programme, whereby data is systematically collected in order to judge whether the aims and objectives of the programme have been achieved.

In a field such as leadership development, HRD practitioners face the pressure of time and cost, combined with the requirement to succeed, particularly where the search may be for *certainty in a field of contradictions* (Vince, 2003, p.559) Therefore, although the process of a thorough evaluation of interventions is an important activity, practical constraints often restrict options available. A critique of the most commonly used levels of training evaluation model (Kirkpatrick 1987) explores the limitations when used in this setting. Alternative criteria for evaluating leadership development programmes were identified.

1.5.4 Cycle FOUR: Training transfer

As a general term, training transfer refers to the use in the workplace or back on the job of the knowledge or skills acquired through training. For transfer to occur, *learned behaviour must be generalized to the job context and maintained over a period of time on the job* (Baldwin & Ford, 1988, p.63). This form of leadership training is expensive to design and deliver and requires significant investment, with a consequential requirement for effectiveness of outcomes and transfer of training. Since Baldwin & Ford's focus on training transfer (1988) there have been many research-based suggestions for how to *lessen the gap between learning and sustained business performance* (Burke & Hutchins, 2007, p.263) making training transfer a core issue for HRD researchers and practitioners who seek to design interventions that enhance individual, team and organisational performance. It is intended that the findings of this study, conducted by a practitioner in a real world setting will provide a contribution to the field.

1.6. Fundamental Interpersonal Relationship Orientation (FIRO)

Because of the nature of this intervention, it was identified in the early stages of development that a form of psychometric testing and modelling would be deployed within the design. It was the expectation of the client from the outset that Fundamental Interpersonal Relationship Orientation (FIRO) Theory (Schutz 1960) would be the behavioural model of choice with FIRO Element-B (Schutz 1994) as the psychometric instrument given that I am a qualified master-practitioner in this model. Fundamental Interpersonal Relations Orientation (FIRO) is a theory of interpersonal behaviour with FIRO Element B as one of the most commonly used test questionnaires. FIRO Element-B is presented as a paper-based questionnaire and offers a six

point scale from agree to disagree on a range of 108 statements. Three behavioural dimensions are contained within the model: Inclusion, Control and Openness. Because it is an inter-personal model, another reason for favouring it over other psychometric instruments is that FIRO Theory is phenomenological in approach and provides individuals with insights and awareness about their behaviour preferences and their impact on others.

This enabled it to be used in Cycles ONE and TWO as a diagnostic tool.

1.7 General Considerations for this Study

Research is both a political process and a social process, *negotiated and pursued in relationships with others* (Marshall and Reason, 1994, p. 117).

Therefore, because this intervention and associated research activities were taking place in real-world circumstances in a commercial and politically sensitive work-based environment for the stakeholders and all participants, it was vital to pay close attention to a range of ethical and quality considerations throughout. Rather than write them into each cycle, the intention for this section is to cover the general considerations as they apply to all research activities throughout this case. They are presented as issues of quality for general consultancy practice, as well as those related to aspects of action research in this case. Therefore, the aim is to craft a pragmatic account that is both truthful and authentic in its presentation.

At an organisational level, the first requirement was to keep to the initial agreements and assurances of anonymity and confidentiality that had been contracted with the client at the outset when permission was granted to conduct research in the organisation. A key requirement of the client was that the organisation should not be identified. This has had implications for the reporting of the study. For example within the organisation, a vision statement, mission statement, a set of values and outline of required leadership behaviours had been created some time before the planning of the leadership development programme. These would have been very useful to include in the thesis as background information. However detailed information on any of the above would immediately identify the case study organisation. As a consequence throughout the study the behaviours are referred to as the Desired Leadership Behaviours (DLB) without being spelled out.

On an individual level, throughout research activities participants were anonymised. In Cycles ONE and TWO this was accomplished through an unidentifiable data sharing process, in Cycle THREE by control of access to the surveys and in Cycle FOUR by coding the participants. Following all interviews, each individual respondent was provided with a copy of their own

transcripts. The survey data from Cycle THREE were shared with various stakeholders within the client organisation and anonymised research findings were shared at each stage with supervisors and peer group at the University. This was designed to reduce the risk of subjective judgments influencing collection and/or analysis of the data.

As the researcher in this case, I am aware that my perspective and position is that of a middle aged, white English female educated to post-graduate level. The structure of the hospitality workforce in general, and in the case study organisation specifically, means that I am more mature in age, educated to a more advanced level and more experienced in the industry than a high proportion of my intervention participants and research respondents. Because I was also the lead consultant and intervention facilitator in the organisation in which I was collecting the data through all the cycles, I recognised that for some individuals, I may have been seen as a figure of some authority or to some degree a content expert and that this may have had the potential to influence some responses. I am well established in the case study organisation and known within the hotel industry at senior management level and my interactions with individuals for collecting data in all cases was a part of a longer term relationship with their employing organisation. So for some respondents, I recognise the possibility that responses may have been political and an attempt to say what they might believe I wanted to hear or what they considered politic to say.

Another important point to keep constantly in my mind was that I was asking questions of senior, experienced, professional managers in a hospitality environment, where the professional values are all about generally being polite, good manners, subjugation of self during working hours and a culture of the customer (or outsider) being right. I remained actively aware of this potential to bias my research practice and ensure that in conducting cycles of qualitative research I was rigorously deriving research questions and testing them. I was also aware that I was frequently challenging myself to retain objectivity and detachment when asking questions about my own intervention and thus critically scrutinising and receiving feedback about my own process.

For a significant proportion of respondents to the survey in Cycle THREE and the interviews in Cycle FOUR, English was not their first language. Therefore, although they are conversationally fluent and to be respected for this, there may still be an element of using vocabulary that they knew and could express, rather than how they really felt. I am aware that I should at least consider this as a risk or limitation factor in my data collection and analysis throughout.

2). Cycle ONE:

Diagnosis of the Intervention Requirement

2.1 Chapter Introduction

The case study involved the creation, delivery and evaluation of a bespoke and large scale leadership development programme within a single organisation. It was designed and delivered by an independent HRD practitioner within the setting of the hotel industry. A key requirement of the proposed leadership development intervention was to translate a set of Desired Leadership Behaviours (DLB) used by the client into practical behavioural outcomes.

Leadership development should be differentiated from management development. Day (2001) defines management development as having an emphasis on enhancing task performance in management roles through acquiring specific types of knowledge, skills and attitudes. He asserts that it is mainly a training orientation with a characteristic feature of *the application of proven solutions to known problems* (Day 2001, p.582).

In contrast, leadership development can be defined as *expanding the collective capacity of organisational members to engage effectively in leadership roles and processes* (McCauley *et al* 1998, p.161). This definition combines leadership development as the development of leadership processes in context together with the development of leaders as individuals. Leadership processes are those which enable and encourage groups of people to work together effectively and these are critical to business success in the hotel industry where one of the continuing challenges is to provide consistent service quality by engaged and motivated employees. From a training perspective leadership development is a *process whereby facilitators lead participants through a series of activities or mental exercises, encouraging them to reflect on learning experiences in order to promote the transfer of knowledge and skills to the work context* (Burke and Collins, 2005, p.976). This is differentiated from leadership education characterised by structured university or college-based programmes.

A leadership development programme is defined as a *structured off-job event that brings individuals together for shared learning and development experiences* (McCauley, 2008, p.24).

Leader development is focused on the human capital of the individual and assumes that effective leadership outcomes will be achieved by developing individuals from a perspective of

developing the intra-personal domain and skills such as those of self-awareness and self-regulation.

Because the successful integration of a leadership development programme into *everyday organisational practices is a critical success factor for effective leadership development at all levels* (Dalakoura 2010, p.434) this first research cycle examines the nature of these everyday organisational practices with an intention to identify the factors most likely to influence the successful integration of this programme. Designing programmes aimed at developing leadership and successfully integrating the changes into everyday practices is a complex process and there are many factors to consider in order to design an effective bespoke solution that will meet the specified requirements and needs. Conger (1993) defines it as a *haphazard process which results from attempting to embed development in the ongoing work of an organisation without paying sufficient attention to intentionality, accountability, and evaluation* (Conger, 1993, p.205).

Therefore, for the HRD practitioner, a project of this type involves investigation and field research in the client system in order to refine the requirement, complete the design and begin to engage key stakeholders, as *before leaping into an enquiry or project, you need to have an idea of what you are letting yourself in for* (Robson 2002, p.1).

This chapter provides a review of the nature of leadership in the hotel industry through the literature and provides a context for the case study organisation based on the preunderstanding (Gummesson 2000) of the practitioner-researcher.

It provides insight into some of the background issues before foregrounding the intervention requirements and their relevance for later stages of the study. There were three geographic operating regions within scope for this study comprising four countries in the United Kingdom and Continental Europe.

The field research section records the data collection methods and the conclusions interpreted from the findings that informed the design of the leadership development programme and the identification of success criteria. It also locates the practitioner-researcher within the client system.

The research issues for this first cycle and diagnosis of the requirement are defined in Table 2.1, over page:

2.2 Focus of Enquiry for Cycle ONE

Research cycle	1
Intervention Phase	Diagnosis
Research cycle purpose	A review of the relevant background factors leading to the requirement for a leadership development programme.
Research questions	1. How does the nature of the hotel industry influence the development of leaders operating within it? 2. How were the requirements and expectations of the organisation, teams and individuals for this leadership development programme reviewed? 3. How can the success criteria at organisation, team and individual level be identified?
Data collection methods	Observation Analysis of text and mute evidence Interviews with key stakeholders
Literature review area	The nature of leadership in the hotel industry

Table 2.1: Research Cycle 1: Outline

2.3 A review of literature on the nature of leadership in the hotel industry

Development of leadership skills for hotel management teams (HMT) is a central theme of this case study and the hotel industry has inherent characteristics that impact on the role of leaders and in turn influence the qualities needed by leaders and managers at all levels. *The growing recognition that leadership development involves more than just developing individual leaders leads to greater focus on the context in which leadership is developed* (Hernez-Broome and Hughes, 2004, p 24). In this context, the concept of leadership is explored as a tool or function of management because in most commercial or business contexts, *effective managers as leaders*

provide guidance that encourages employees to take ownership of tasks, to think outside the box to solve business problems and to make decisions that can enhance the good of the team and company (Bennett 2009, p.2).

A relevant factor to consider is the commercial basis on which hotels operate and its impact on the management of them. The industry standard measure of size of a hotel is the number of rooms available for sale and two objective measures are available for assessing the class of hotel. One is the price that bedrooms are sold at or Average Daily Rate (ADR); this is only meaningful when compared with the performance of a realistic competitor set (Harris 1995). The other is through various rating systems used to classify hotels according to their quality, although there is a lack of any unified global rating system. Inherent factors in their financial structure mean that hotels have high fixed capital costs and highly volatile variable costs of operating, demanding a depth of knowledge, good judgement, diligence and prudence in the management (Nilsson *et al* 2001).

Switching costs for customers and consumers are low and the industry has low capital and labour barriers to entry (Powell and Wood 1999). Hotel accommodation involves discretionary expenditure, creating fluctuations in demand (Bull and Alcock 1993). These fluctuations mean that the demands on the operational business can be challenging to forecast and subsequently resource and capacity management are key skills required for successful hoteliers. Revenue for bedrooms not sold on one night cannot be made up on the next, creating an ultimately perishable product. This brings; *a complexity of pricing and management of asset similar to that involved in managing airline ticket sales, together with the skills associated with the retail industry. Therefore an understanding of the concept of yield management, strategic and tactical pricing, revenue management, sales and marketing expertise is vital for commercial success in a volatile market* (Anjos *et al* 2005, p.246).

Leadership is *a rich construct related to many employee and organisational variables in the hospitality industry* (Kara *et al* 2013, p.9) as leaders in the industry are directly influenced by a wide range of factors including social change, changing nature of work, macro and micro economic cycles requiring increasingly efficient working practices and people management practices that add value. Developed and effective leadership skills are a prerequisite for success, because *the management team is responsible for the overall performance of a business unit* (Cohen and Bailey 1997, p 243) and the management team represents the entrepreneurial resource of a firm (Penrose 1959).

In contrast, poor leadership skills have been shown to result in employee turnover, absenteeism, low performance, and customer dissatisfaction which impact on the commercial success of the hotel (Lim and Boger, 2005).

In addition to standard management skill sets, specific skills are required for occupational and public health and safety matters (Johns 1993). The individuals within the management team have the responsibility for the safety and security of the property and everyone within it for 24 hours a day, seven days a week. Individually and collectively they are responsible for guest and staff security, the security of a building that is open to the public and the stock and equipment, all of which is valuable, re-sellable and subject to theft. *They must be aware of the risk of fire, theft, vandalism and illegal intrusion in their hotels so a high level of vigilance, training, control and discipline is required* (Ladkin 1999, p.187). There is therefore a requirement to be able to manage and lead in a range of extreme emergency and unforeseen situations, for example threats and acts of terrorism, attacks from outside the hotel, acts of violence within the premises, deaths and suicides occurring on site etc.

Performance requirements are deeply rooted in action management (Mayo 1997) with critical thinking, problem solving, strategic planning and visionary leadership (Casado 1991) listed as important skills. The management of a hotel operation is generally task focused and it is important that business management skills are also systematically developed. It is possible that this has relevance only to management teams in hotels of a specific type and size, but the nature of the business requires a management team to collectively develop a shared leadership culture that inspires others to provide discretionary effort, thus combining the requirements of individual leadership with high performing team requirements. Several studies have been undertaken to identify and analyse the key competencies for hotel managers. Tas *et al* (1996) identified them as:

1. ***Interpersonal****; skills for effective interaction with others*

2. ***Leadership****; the ability to turn ideas into productive action*

3. ***Conceptual-creative****; the cognitive skills needed for the job*

4. ***Administrative****; personnel and financial management of the business*

5. ***Technical****; the knowledge and skills essential to producing the product or service* (Tas *et al* 1996, p.93).

Because of the 24 hour nature of the hotel business, the members of the management team are very visible to each and every employee. In addition to their line or specialist role responsibilities, the management team members work to a prescribed rota of duty management

where the hotel building and all that happens within it are the sole responsibility of the designated manager on duty.

This continuous operation of most full service hotel operations means that employees are often led in the short term by a member of the management team as the duty manager who has ultimate authority. Within this structure, employees will be frequently subject to instruction, decision or direction from a member of the management team that is not, in fact, their line manager. The collective behaviours and culture of the entire management team then have a significant impact on employees and subsequently on customers. Therefore another requirement for individuals in a hotel management role is to be able to lead and motivate an operational matrix-type team in addition to a team of their own direct reports, whilst fulfilling responsibilities as a member of a management team themselves.

The span of control for line managers in larger hotel operations may extend to responsibility for 30 or 40 people. In addition to meeting the demands of their own operational tasks, their responsibilities for people include a significant requirement to attract, recruit, develop and retain a team of engaged and effective people. This factor creates a requirement for each member of the management team to develop similar skills and style to those required to lead a matrix team, in a communication pattern to employees for whom they are responsible during any shift. It also creates a requirement for the entire management team to communicate effectively and positively with each other and to ensure that tensions and conflicts are minimised and resolved swiftly. In this context, it begins to become apparent that leadership skills are required in multiple settings, including a requirement to lead their own functional teams as department heads or to lead those within their span of control as line managers and to exhibit leadership abilities and support the leadership culture as a part of the management team within the business.

The commercial success of any hotel is fundamentally about service delivery to its consumers, in hospitality terms universally termed as the guest, which involves a particular relationship (Susskind *et al* 2000). Within the industry, there is a general acceptance that a strong correlation between guest satisfaction and profitability exists and that the long term commercial success of any business is inherently linked to the quality of service delivery in addition to the product features. *The Service-Profit Chain* (SPC) model of performance (Heskett *et al* 1994), provides a framework for linking service operations, employee assessment and customer assessments to profitability (See Figure 2.1, over page).

The Service-Profit Chain
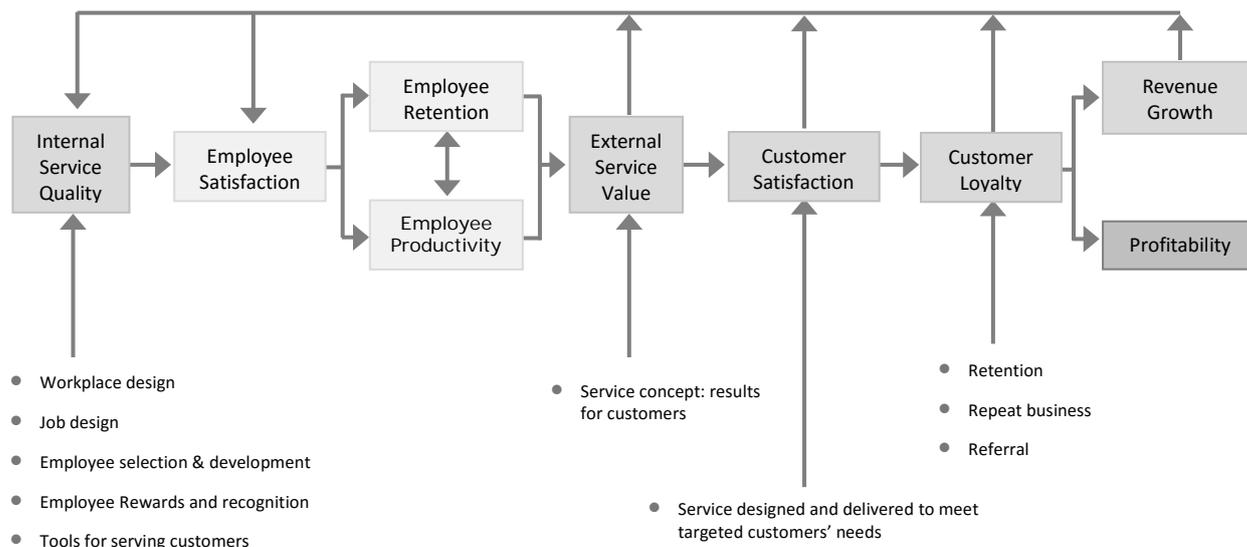
Figure 2.1: The Service-Profit Chain. Source: Heskett, Jones, Loveman, Sasser & Schlessinger (1994:166)

Heskett *et al* (1994) define the service-profit chain as *involving direct and strong relationships between profit, growth, customer loyalty, customer satisfaction the value of goods and services delivered to customers and employee capability, satisfaction, loyalty and productivity* (Heskett *et al* 1994:164). As an integrative framework it provides a model for exploring and understanding how operational investments into service operations are related to customer perceptions and behaviours and how these are further translated into gross operating profit and bottom line outputs. It places customer satisfaction as a critical intervening variable between employee satisfaction and financial performance. Taking the multiple intervening variables into account, it is suggested that customer satisfaction contributes to revenue generation, loyalty and subsequently to profitability and that *satisfied and motivated employees produce satisfied customers and satisfied customers tend to purchase more, increasing the revenue and profits of the organisation* (Heskett *et al* 1997:168). It is not the intention to prove or challenge the inherent principles of this SPC model within this study, but to utilise the assertion that internal service quality, provided by the management team and the organisation, have an influence on employee satisfaction and employee satisfaction influences the external service value that impacts revenue growth and profitability.

As an element of the SPF, customer satisfaction is a complex commodity as the nature of service involves the delivery of both product, or goods, and services. Services are defined as *deeds, performances or efforts*; and goods are *devices, things or objects* (Berry 1980, p. 25).

Therefore services have a specific definition in that they can only be experienced, created or participated in as acts or processes that exist in time and cannot be possessed or kept. The provision and management of service quality are key aspects of the success of any hotel and a core responsibility for the management team. However, the concept of service in the hotel industry is complex and in some aspects intangible. The degree of customisation is a further consideration in the service definition and whether it is a standard type of offer for all, or highly personalised. The increasing market demand is for more customised and personalised experiences as an outcome of the concept of an experience economy (Pine and Gilmore 1999) and particularly so in hotels with higher ratings. Such customisation requires hotel employees to be able to deliver special requests and change the service offer to suit individuals.

This requires *engagement, flexibility, confidence, knowledge of the operating parameters and a level of innovative thinking at all levels of the customer-facing workforce* (Williams 2002, p. 32). Following the logic of the SPC (Heskett *et al* 1997) the strength and quality of these horizontal and vertical relationships and their individual and collective leadership abilities have a direct impact on the commercial performance of the business.

Because of the personal nature of service delivery, a major aspect of commercial success is directly produced by people. In an average hotel stay, guests and consumers of the product and services will have direct interactions with a significant number of employees and the quality of service delivery is reliant on the behaviour of each of the individuals encountered in delivering it. To achieve high levels of service quality and subsequent satisfaction for guests requires considerable commitment and motivation of employees at all levels. The levels of customer satisfaction are routinely quantitatively and qualitatively assessed within the industry, predominantly through the use of surveys, user groups and the use of social media platforms.

The highest levels of customer satisfaction with service delivery are linked to incidences of employees engaging in discretionary effort. Discretionary effort is the level of effort that an employee gives willingly and cannot be mandated, coerced, or required as it is only given by choice. It is connected to the level of engagement in the job and *the degree to which an individual is attentive and absorbed in the performance of their roles* (Saks 2006, p. 602). Service levels required are driven by continuously evolving developments in customer expectations and other factors in a highly competitive market, resulting in a requirement for an organic form of operation, with flexible authority and reporting patterns allowing employees directly involved with the guest to make their own decisions about service delivery.

Hotels are labour intensive, requiring teams of people from a wide variety of national and cultural backgrounds to work a conventionally unsociable rota of hours and days in the week,

with a culture of care and attention to detail and a scale of pay that is often based on minimum wage and below the national and local average. The 24/7 nature of the business makes personal relationships difficult for employees (Brymer 1982). There is also considerable social and educational diversity with a range of elementary occupations from very basic work functions to a high skill set, lowest levels of literacy and numeracy to post-graduate levels of education, all in a sector with a high level of part time and casual workers, a high level of labour turnover and, in the UK in particular, a less-than attractive or low status employment reputation. Levels of employee satisfaction or engagement are routinely monitored within many hotel organisations and leadership is identified as a key influence in enhancing positive relationships with employees, improving the organisational climate and increasing service performance (Kozak and Uca 2008).

The nature of employment, the structure of the operation and the conventionally unsocial hours result in hotels being highly social and personal environments in which to work. As previously described, hotels are complex operations requiring people with a wide range of strategic and tactical business disciplines, a high degree of social and emotional intelligence with significant technical or craft skills, commercial knowledge and task expertise at all levels of the workforce. Delivering services of a complex and varying nature requires skilled employees across a breadth of business disciplines, with a high degree of interpersonal ability. Other inherent features involve ethnic, cultural, religious and general diversity of both guests and employees that require advanced levels of communication and interpersonal skills (Mallinson and Weiler 2000).

Another influencing factor for the level of leadership skills and self-management ability within the hotel industry context is the potential benefit for the motivation of the managers themselves. There are many suggestions in the literature about the specific challenges and pressures of hotel management as a profession and how the alleviation of some of these may have positive implications for the industry. In a study investigating the effect of working conditions on their overall quality of life, the data revealed that for the three measures of life stress; career interference with social life, career interference with happy marriage and self-esteem and anxiety rating*s* the hotel managers scored the highest in all three stress factors (Sarabakhsh *et al* 1989).

In industry-related literature, there has been an increasing interest in exploring the effects of leadership style on well-being and employee quality of working life (Kara *et al* 2013, Gill *et al* 2006). According to these studies, because of the complex and changing nature of the work, the unforeseen and unplanned peaks, the general working environment and the high quantity of interpersonal relationships all contribute to higher levels of work-related or job stress and

increase the possibility of burnout. In the hotel industry production and delivery are inseparable, entailing high pressure (Dienhart *et al* 1990).

Burnout as a syndrome can be defined as *a prolonged response to chronic emotional and interpersonal stressors on the job, and is defined by the three dimensions of exhaustion, cynicism, and inefficacy* (Maslach *et al* 2001, p. 397). Burnout has been associated with low organisational commitment (Leiter and Maslach 1988). As a concept, organisational commitment is defined as *a strong belief in, and acceptance of, the organization's goals and values: willingness to exert considerable effort on behalf of the organization and a strong desire to maintain membership in the organisation* (Mowday *et al* 1979, p. 227). Outcomes of burnout, including negative attitudes, reduction in commitment or behavioural aspects of job performance can be costly and result in negative organisation outcomes such as absenteeism, turnover, job dissatisfaction and decreases in quality of job performance as manifestations of burnout (Firth and Britton 1989).

A further relevant aspect of people technology in hotels involves the management of felt and displayed emotions. Of course, this is an important aspect for other roles and professions too, but is especially significant in the hotel industry where an expected part of service delivery is linked to expression of positive emotions and *service with a smile* (Pugh 2001). Hochschild (1983) first introduced the concept of *emotional labour* and defined it as *management of feeling to create a publicly observable facial and bodily display* (Hochschild (1983, p. 7) suggesting that a level of surface acting is inherent in the professional role for all customer-facing employees and managers, resulting in a displaying of emotions not actually felt as *emotion management with a profit motive slipped under it* (Hochschild, 1983, p. 119). This management of people with a requirement to produce the required service attitudes and behaviours raises challenges for leaders of hotel teams at all levels.

Labour turnover is a further inherent challenge for the industry in general and the organisation in this study. Apart from the strength of the brand and quality of the establishment, a significant factor in encouraging employees to stay and decide their own level of discretionary effort and engagement, or to limit their performance or leave, is the level and quality of their personal and professional relationships with the management team and in particular with their direct line manager.

Management and associated leadership ability have a significant impact on both the organisational culture and employee behaviour (Brownell 1992). The findings from the focus groups described later in Cycle Two supported this view.

Leadership in the hotel industry then can be seen *to be a complex interaction between the designated leader and the social and organisational environment* (Fiedler 1996, p. 241) and there is a strong requirement for developing social capital from an organisational perspective, where the emphasis is on *building networked relationships among individuals that enhance cooperation and resource exchange in creating organisational value* (Day 2001, p. 585) and developing human capital where the focus is on developing individual knowledge, skills and abilities.

Given the complexity and importance of the leadership requirement in this industry, it is surprising that the management population is generally under-developed. In their Fourth Annual State of the Nation Report (SOTN), the Sector Skills Council for hospitality found that managers in the UK industry are generally less qualified *in comparison to other sectors across the UK economy. Only 34% of hospitality and tourism managers are qualified at National Vocational Qualification (NVQ) Level 4 and above, 15% less than the UK average. There is also a higher proportion of managers with no qualifications in the hospitality and tourism industry at 7%, which is 3% higher than all sectors in the economy* (People 1st SOTN 2014).

2.4 Conclusions from the Literature

The literature reviewed reinforced my preunderstanding of the industry and the client requirement that the concept of leadership within hotel management teams is complex and that in designing an intervention to develop leadership abilities, a practitioner would be advised not to try to cover all factors involved.

This led to a decision not to include development of the leadership process skills within the programme. This eliminated topics such as strategic thinking and vision creation from the contents and the focus of the client brief was on the development of the individual and the strengthening of relationships within each team.

An intervention impact model began to emerge as a result, suggesting three levels relevant for development in this context. This is shown at Figure 2.2, over page:

Figure 2.2: *Intervention impact model 1: levels*

Because of the nature of the performance requirement for hotel management teams and the specific demands of the industry, a hypothesis from the literature was that leadership development in this case would be most relevant if it encompassed all three levels of the collective capacity of the organisation, the different management teams in each hotel and the individuals within each management team.

The foundation and base of the pyramid is represented by the individual level and the development of key skills and intrapersonal awareness.

The middle level supports the intrapersonal requirements for the team, including aspect such as relationships, trust, openness, teamwork, team culture and a consistent style and approach. The organisation level is at the top and influences through the objectives, strategies and concepts such as vision, values, and leadership technical and behavioural competences.

This model influenced the research method as data were collected from each level of the intervention impact model to inform the design of the programme.

2.5 Data Collection

There are multiple sources for collecting case study evidence with a major objective being to *collect data about actual human events and behaviour* (Yin 2009, p.102). Yin identified six areas:

1. Documents

2. Archival records

3. Direct observation

4. Participant observation

5. Physical artefacts

6. Interviews

To begin collecting data for this cycle, each of these six sources was used combining them to complement each other in three key areas of initial field research:

1. **Mute Evidence** *(documents, archival records and artefacts)*
2. **Observation** *(direct observation and participant observation)*
3. **Interviews** *(face to face and telephone interviews)*

These were selected as they provided data on each of the three levels described previously of the individual, the team and organisation.

2.5.1 Mute Evidence

At the very beginning of this cycle, a list of information required for a desk-top review about each of the hotels and their operating performance was prepared. This provided access to a range of documents and proprietary business information, including financial and trading results, customer satisfaction statistics, employee satisfaction survey and analysis, corporate and commercial information for each of the geographic operating regions and separate hotels. This information enabled the creation of a contextualised interpretation and understanding of some of the background, commercial performance and challenges within the organisation.

Field notes were made of the relevant data and separate spreadsheet kept for recording the data relating to each region, hotel and team. Site visits were important in providing a further form of mute evidence in the active observation of physical artefacts and their contribution to the material culture of each different team. Hodder (1992) proposes that material culture is active and *the study of material culture is of importance for qualitative researchers who wish to explore multiple and conflicting voices, differing and interacting interpretations* (in Denzin & Lincoln 2005, p.159).

The hotel building was part of the material culture in itself in terms of condition of the property and capital expenditure released to keep it up to standard. Being able to visit each hotel and experience it gave insights into the different influences on the material culture of each operating

team because the attitude and culture of each team was influenced by factors such as the size of the hotel and its physical condition. Other artefacts related to the building include the areas of the hotel that are not generally in public view, but that provided an insight into management attitudes to employees, their welfare and also to their own status. Examples of these were the changing rooms where they changed into their uniforms and areas provided for employees where they ate their meals or took rest breaks whilst on duty. The standards of staff food and condition of uniforms were also symbolic as back of house areas, their tidiness and cleanliness provided insights about pride in work, pride in the building and care of the parts that are not seen by the guests or general public. It is easy for hotel managers to espouse the importance of their employees, whilst paying scant attention to how well they are treated behind the scenes.

Hotel policy dictates that they must display notice boards in their back of house areas and it was also interesting to observe what was on them, how relevant and updated the information was and the evident level of care about the quality of communication conveyed by this medium. Uniforms provided by the organisation and what was worn by which employee or group of employees was part of the syntax of material culture and both communicative and representational of status. Where no uniform was provided for management levels, whether the style was for formal attire or more casual clothing was also representative of the culture of the hotel.

2.5.2 Observation

Synthesising the data provided by the artefacts and documents was enhanced by active observation during site visits that were conducted in most of the hotels, predominantly in major Northern European cities. *A major advantage of observation as a technique is its directness* and that *data from direct observation contrasts with and can often usefully complement, information obtained by virtually any other technique* (Robson 2002, p.191).

However, these advantages must be balanced against some questions about the nature of change in behaviour that may have been influenced by the researcher being present. For the most part, observations within the hotels on site visits were naturalistic in nature and from the perspective of a guest as the hotels and service were experienced as a marginal participant. The researcher presence was mostly part of everyday life for the various people encountered, although *there is no pure, objective, detached observation; the effects of the observer's presence can never be erased* (Denzin and Lincoln 2005, p.49). In my case, as the observer I was functioning as a collaborative participant in my own action enquiry setting. My preunderstanding of the industry and experience in hotel settings means that I am experienced in using critical observation as a condensed field experience (Stenhouse 1982). From the moment I approached a hotel from the outside, I tried to capture and collect all my first sensory impressions as I entered and my

reactions to all my first encounters with the people I met, paying *conscious attention to active and open-minded observation* (Robson 2002, P.318). These first impressions were discreetly recorded in my field notes for the visit under various headings:

- **People:** who was around me? Who I witnessed or observed and my first impression from that observation

- **Behaviour:** anything in particular that I observed including witnessed examples of exchanges between colleagues or customer exchanges

- **Place:** impressions about the physical space and place, cleanliness, welcoming ambience etc.

- **Feelings:** how I felt in this combination of people and place, for example the level of comfort, welcome (inclusion) and if I felt intimidated, impressed, etc.

- **Context**: what was going on for me at the time - was I nervous about a meeting? Frustrated by directions or parking challenges or external influences? Stressed about time or relaxed and calm? etc.

I generally arrived at the venue hotels some minutes before my appointed time in order to have an opportunity to make at least some sketchy notes whilst remaining unobtrusive. In this way, I used observation *in an exploratory phase, typically in unstructured form, to seek out what is going on in a situation as a precursor to subsequent testing out of the insights obtained. For this purpose, the unobtrusive observation approach is the most appropriate* Robson 2002, p.311).

In all cases, the field notes for the site visits were recorded in a notebook. Separate site visits to the hotels situated in the UK were not conducted because of existing knowledge and preunderstanding of the properties. Managers of these hotels were included in the telephone interviews explained below.

2.5.3 Interviews

Interviews are a form of negotiated texts in that *each interview context is one of interaction and relation, and the result is as much a product of this social dynamic as it is the product of accurate accounts and replies* (Denzin & Lincoln 2005, p.695). As an aspect of data collection for this cycle and in order to find out more about the requirements of participants from the intervention in each region, semi-structured interviews were conducted with all General Managers and members of the Regional Management team. The interviews were organised on a one-to-one basis and either face to face or via the telephone. Although interviews are time consuming and resource intensive, they were considered a benefit in their use as a part of

gaining entry and engaging stakeholders in the interventions, as well as for gaining qualitative data to inform the design.

The social dynamic was as valuable as the data collected, especially in the hotel industry where social contact and relationships are of primary importance. The quality of these relationships and the impressions created of the proposed interventions were important in engaging stakeholders and achieving support for the programme. As future participants in the programme, this cycle of activity was necessary for including and inviting people to play an informed, voluntary and active part in this stage of the research, contributing their views and having some influence on the intervention design. As the focus on these interviews was to engage the stakeholders and as a result to collect data for the design of the intervention, it was a situation of a practitioner engaged in pragmatic research, rather than a researcher engaged in theoretical aspects of practice.

The interview sample was comprised of 20 General Managers (GM) of the participating hotels in the three operating regions and 18 of the people in senior regional executive roles. All research participants gave their voluntary consent to be interviewed. An information sheet was prepared that detailed the purpose and nature of the interview, approximate time required, and an example of the questions that they would be asked. It requested that they thought about these in advance of the interview and provided an assurance that all responses would be treated as confidential. This was emailed to all participants prior to the interviews being arranged. A range of dates and times was provided for the interview and considered that acceptance was sufficient to constitute informed consent and agreement based on understanding all relevant details about the research.

In the UK region, 15 semi-structured telephone interviews were conducted with all hotel General Managers and the senior regional functional managers who would be the participants on various workshops. All interviews were conducted in English as the business language for senior managers in all regions. For both telephone and face to face interviews, the style was semi-structured using mostly standardised and open-ended questions as previously supplied. Because the interviews were at the outset of a major intervention within their employing organisation it was not considered appropriate to electronically record the interviews, but for the majority of the face to face interviews there was a second party present as a note-taker. Note taking was focused on content and other factors were not noted beyond the direct response to questions. Once interviews had been completed in each region, the data and responses were typed up and returned to the respondents so that they could verify that their views had been interpreted and represented correctly as part of a general best practice. It also provided an opportunity to share the collected responses with the primary client and highlight key themes

and findings. The comments were anonymous and not traceable to the source. A combination of the verbatim comments from interview participants in one of the regions can be seen at *Appendix 1*.

In the findings, there were also some elements and comments that were considered could not be addressed in this intervention and these were highlighted in order to manage outcome expectations.

2.6 Data Coding

All data from the site visits and document reviews were noted in a separate section of field notes for each individual participating hotel and team. The data was first coded from the interviews in a manner suggested by Huberman and Miles (1994). They advocate two types of coding for data at a first and second level:

> 1. The first level involves attaching labels to groups of words.
>
> 2. The second level or pattern coding organises those groups from the first level coding into a smaller number of patterns and themes.

All the texts were collected from the various interviews across each region and coded at first level into categories of:

- Organisational requirements
- Team / relational *(Interpersonal)*
- Individual *(Intrapersonal)*

This organisation of data into levels was based on the conceptual model created from the literature review for this cycle. When analysing the data from the interviews, a similar editing approach to the collected texts from notes was adopted, with codes based on three pre-set themes and interpretation of the patterns and meanings.

For this first level of coding links were created between the requirement of the participants and the desired outcomes from the originating requirement from the client within the organisation. Whilst the initial data was being collected through the interviews described above, individuals within the management teams in many of the hotels were described as being untrained and underdeveloped. However, at this level of coding, the interpersonal team and organisation requirements were greater in number than the expressed needs for individual development in each region. The findings in each category were:

- At the organisation level: **29**

- At the interpersonal / team level: **56**

- At the intrapersonal level: **22**

The interpretation was that many of the responses were pragmatic and business-focused, rather than rooted in self-development or growth. They also had a tendency to be remedial rather than aspirational in intent and to solve a current issue, rather than develop further. This influenced the organisation of the second level of coding:

For the second level, the responses were coded further according to whether they were considered to be primarily process / procedural, or behavioural /relational in nature. This was an important consideration at the design stage because of a potential mismatch of using a behavioural solution with a procedural presenting issue, or vice versa. A separate category for the comments that were considered to be procedural was created; for example expressed requirements to improve structures for meetings or processes within the operation. These comments were coded for each specific hotel or region to be included in the design, so that when action plans were being discussed at the close of the event for each team, they could be revisited for consideration at a later date and provide a bespoke framework for training transfer. The remaining comments that were considered to be behavioural in origin were coded to align with the dimensions of FIRO Element B according to interpretation related to the dimension of inclusion, control or openness (Schutz 1994) since this was the instrument of choice for deployment on the programme as explained in Chapter 1, Section 1.6. An example of this coding is in Table 2.2, over page:

Inclusion	**Control**	**Openness**
• *Would like to settle more into the new team and establish myself and my relationships with the people I need to support and influence to achieve my goals* • *Not being "lost behind the laptop"* • *There is a lot of e-mail communication in the region, would like more face to face or telephone communication to help improve relationships*	• *Achieve conviction around decisions and focus on the end goal* • *Improve weekly meetings from being one way* • *GMs as a stronger team and pro-active rather than re-active* • *More decisive* • *To be able to ask for support when required – e.g. revenue* • *We need to learn to accept and utilize each other's competences more / better - leverage our strengths to overcome our weaknesses* • *Achieve synergy between us – accept that we are professional individuals and use each other's expertise* • *Identify boundaries and control*	• *One team – honesty not rumours* • *More trust* • *Less rigidity and more laughter* • *We need to be honest with each other, be able to confront challenges with each other openly* • *Seeing who people really are* • *Telling our story* • *Regaining our personal touch* • *It is good to have the time together to talk openly, be able to discuss frustrations at work without having to take them home*

Table 2.2: Example of responses coded at second level and aligned with the behavioural dimensions of FIRO Element B (Schutz 1994)

Findings from coding in this way contributed to the later design phase, as it provided a profile of outcome preferences relevant for each of the geographic operating regions. For example, the expressed desire to work on openness and related issues was more pronounced in one region, and the requirement for achieving appropriate levels of control was more pronounced in another.

Also, the interview responses and the culmination of all data and experiences indicated cultural differences in the potential reactions to the descriptions of inclusion, control and openness.

For any comments that did not fit within any one dimension, a sub-category of general comments was created. By this means, every single comment was coded. Examples of the general comments to be picked up during delivery to aid in more specific action planning were:

- Better efficiency of some of our business processes *(i.e. new reservations system coming in, how we optimise this)*

- Achieve consistent service levels

- We need to be more collaborative, creative, speak more and use less e-mails to communicate what we need to say

These comments suggested a requirement for an operational or procedural solution, for example: new technology, service standards and email policy that were outside the scope of this intervention. These were reflected back to the manager, GM or leader of each team so that expectations could be managed accordingly.

2.7 Findings – Case study context

The findings were analysed at the three levels: organisation, team and individual in line with Figure 2.2 described earlier.

2.7.1 Organisation Level

Figure 2.3: Intervention impact - organisation level

As the imperative for leadership development was stimulated by the corporate strategy of the parent organisation, an understanding of the organisational context was important for the diagnostic activity from the outset.

Therefore, it was relevant to carefully consider the organisation context in which this Hotel Management Company (HMC) operated. Information about the structure and culture was studied in order to understand the context of the leadership teams that would be participants on the programme.

Operational and financial controls were organised via a regional management structure within each geographic territory, with a reporting line from the hotels to a Regional Operations

Manager and various dotted line relationships between the hotels and functional specialists within each region. The functional specialists for each region, including Human Resources, Sales, Marketing, Finance, and Information Technology (I.T.) for each territory reported to an executive team at corporate (top) level of the organisation. This is aligned to the structure of similar organisations within the industry.

The commissioning client for the programme was the Head of Corporate HR within this structure. No one from the corporate executive level was included as participants for the programme.

A major workflow for the corporate level of the HMC was in the analysis of monthly financial performance of the operating hotels and in creating and implementing strategic initiatives. Technologically there was little reciprocal interdependence as all the hotels maintained a strong vertical link to the corporate executives through the regional hierarchy structure.

People and their intellectual knowledge, experience and labour were key aspects of the technology for the parent organisation. At executive level, each primary work group was generally independent in performing their specialist role and tasks, but interrelated from a strategic profitability or commercial perspective. There were high levels of professional skills requirements and substantial administrative activity for business planning, property management and profit / yield technology. Some of the people employed at this level had hotel operational experience and worked their way up the corporate ladder whilst others were employed for their professional knowledge and experience in areas such as asset management, marketing, corporate law, public relations and finance etc. The HMC tended to operate a mechanistic nature and structure with evidence of:

- Highly specialised tasks and a high level of craft requirement and technical knowledge in each department and sometimes in specialised areas of a department.
- Rigid departmentalisation (and some resultant creation of silos.)
- Strict chain of command with many layers of job titles.
- Narrow span of control.
- Centralised decision making
- High formalisation with many detailed rules and standard operating procedures.
- Vertical communications and reporting system.

According to data from the most recent employee survey (based on 1806 respondents), 30% of employees in the organisation had been employed for less than one year and 36% had been employed for 1-2 years. Taken from the same source, the age distribution of the workforce comprised 5% of people under the age of 20 (Generation Z) and 47% less than the age of 30

(Generation Y). The remainder of the age distribution was in the 30+ bracket and therefore comprising of mainly Generation X as *the people on whom the current generation of management textbooks and thinking were based. Generation Y employees, on the other hand, have quite different life experiences. In particular they see themselves as technological multi-taskers with entrepreneurial skills and they want jobs that provide training, opportunities for progression, open, empowering bosses and they do not want to be micromanaged* (Broadbridge *et al* 2007, p.524). Further analysis revealed that the Generation X distribution was also the population of the majority of employees with management status. This suggested an influence of leadership expectations related to Generation X and Generation Y employees and a subsequent leadership requirement for meeting expectations of Generation Y employees with a thoughtful and considered leadership style, feedback, reviews and development opportunities.

Within the organisation, a vision statement, mission statement, a set of values and outline of required leadership behaviours had been created some time before the planning of the leadership development programme. There was no competency framework or integration of leadership requirements, but the desired leadership behaviours had been derived from the organisation values, vision and mission statements.

These behaviours were identified in a conceptual framework model specific to the organisation, appearing as a collection of verbs with no detail to support them. As explained in Chapter 1 Section 1.7, naming or illustrating the model would immediately identify the case study organisation, for the rest of the study, they will be referred to as the Desired Leadership Behaviours (DLB). The same conceptual model also defined the required cultural elements of the working environment and the behavioural output for all employees that, it was anticipated by the client, would result in the desired guest experience as the final outcome.

This type of modelling and definition of behaviour outputs is common practice in hotel organisations and is frequently related to a form of brand promise within marketing collateral and trained to all employees as the specified service behaviour standards. These service behaviours contribute to the culture of service by which various hotel companies strive to differentiate themselves in a highly competitive market. The implied relationship between the quality of guest experience and commercial performance in hotels, and how this is influenced by the management team in each operation, has been explained above and through the Service-Profit Chain (Heskett *et al* 1994).

The corporate messages including vision, values and especially the DLB model were prescribed elements within the project and could not be changed in any way. It was a significant organisation level and strategic requirement to design a leadership development intervention

that increased the profile of the framework and align service delivery and leadership behaviour within the organisation with it.

During the interviews, several stakeholders gave anecdotal evidence suggesting that although at the DLB had been introduced in previous months with a training session delivered to all employees, there were no tangible changes in business results or visible leadership commitment to the behaviours. This was evidenced through the employee survey with reported satisfaction in leadership producing a flat-lining trend for the previous years in many cases and a declining one in others.

The economic climate of the period of this cycle meant that planned expansion in the organisation had not materialised and the business priorities tended to be focused on immediate and short-term cost management and cost reduction strategies, with a subsequent risk of losing talent to competitor companies. Very little learning & development activity had taken place at organisation level, but where investment in team building or leadership development had occurred in the past, the selection of provider, length, duration and content of the event, achievement of outcomes and transfer to the business was an inconsistent process and the patchwork approach was proving to be ineffective.

Therefore, in addition to the development of teams and individual leadership behaviour, a further outcome requirement for the programme at organisation level was to create a unifying model and standard for leadership development throughout the organisation. This standardisation was a strategic requirement and a stated outcome for the programme was to align the leadership culture, understanding and behaviours.

2.7.2 Management Team Level
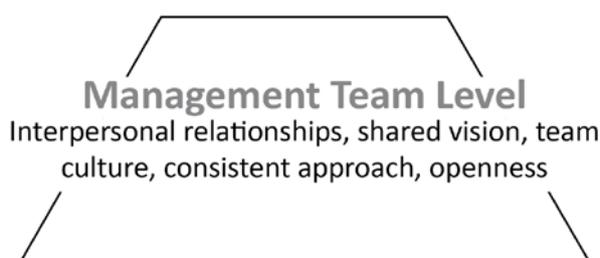
Figure 2.4: Intervention impact - team level

This section so far has described the HMC as the parent company and has not yet addressed the findings related to the nature of the component parts and the individual operating culture of the hotels themselves as *the established pattern of relationships between the component parts of an organisation outlining communication, control and authority patterns* (Wilson & Rosenfeld

1990, p.215). Evidence existed of some key differences in the relationship and organisation structure of the parent company with that of the hotels. Because of the differences found in the culture of the HMC and the hotels as single business units, it is relevant to briefly explain the separate subsystem of the hotel operation and some of the background issues for the hotel management teams.

In this case, the HMC created the policies, but the execution of the strategy and commercial performance of the business was the domain of the regional, operational and hotel management teams. This had implications for the influence that the organisation structure had on the operating culture of the hotels. The nature of organisational structure can be described as mechanistic versus organic (Lawrence & Lorsch 1967). The suggestion is that the mechanistic pattern is effective where the environment is certain, organisations are large, technologies are routine and employees are treated as resources. At HMC level, my interpretation from findings, my own pre-understanding and personal experience within the organisation was that the structure tended to be mechanistic rather than organic, as explained above.

My findings from the research and literature review suggested that changes in industry demands and ways of doing business were resulting in more contemporary and organic structures evolving, as the traditional ways were increasingly proving to be less operationally effective. For example, there is an increasing interest in leadership and modern management principles in contemporary industry literature. In addition, technology has contributed to a more immediate and fluid means of communication and service delivery with the result that the cultural style and impact of the management team is more personalised.

My interpretation is that this shift to a more organic structure, within hotel operations in general as well as in this specific case context, is continuing to evolve for a number of reasons, including an increasing level of customer expectation for a personalised or customised service experience, therefore less standardisation, the increasing requirement for entrepreneurial thinking in hotel operations, the costs of labour resulting in a need to become more flexible in terms of workforce deployment and leadership style.

Therefore, my interpretation of my findings was that a kind of hybridised culture existed, with an organic layer at hotel level below a mechanistic structure at organisation level. This was significant in the light of preunderstanding about differences between the organisational / HMC level of requirement and the operational requirements at hotel leadership level and created the imperative for a through exploration in order to create alignment between the two. This diagnostic responsibility included exploring issues such as priorities for the operational business teams, differences in approach for the geographic regions and aligning the organisational

requirement with the needs of the operational hotel teams and individuals and created an issue of alignment of specific outcome requirements for each hotel and regional team in the different geographic areas.

Management positions were frequently decided on the basis of length of service or technical ability, rather than management expertise. Therefore some key positions were held by individuals who had had little (or no) leadership or management training, education or development. Performance reviews in practice and the performance review system were reportedly not proving effective in influencing changes in behaviour. They were mostly mechanistically performed as a bureaucratic activity with little perceived outcome value.

The population of participants for the leadership development programme was identified within the organisation as:

- The Regional Management team for each of the three separate geographic operating regions
- A number of selected teams in corporate support roles (for example sales and marketing)
- The management teams for 20 hotels within the three operating regions and within scope of the programme.

The hotels in scope were all situated in urban locations. In the hotels, the employee and visitor demographics were global in origin and the workforce multi-cultural, comprising a broad range typical of the industry, from unskilled and transient workers, to hotel and business school graduates and post-graduates. Depending on the size and commercial operation of the hotel, for this case study, the smallest number in a hotel management team (HMT) was 5 people and the largest was 36.

The hotel management teams were held accountable for the profitability of their own hotels as single business units. They were also responsible for executing the operating strategy dictated by the parent organisation and managing the internal service delivery system as illustrated in the SPC model (Heskett *et al* 1994). If the service-profit chain is generally accepted as a concept, its suggestion is that employee satisfaction and engagement results primarily from high-quality support services and policies that enable employees to deliver service of the required standards to customers. Creating, executing and maintaining these support services and policies were essentially the responsibility of the leaders or managers of the hotels, supported by the corporate strategy and culture.

The hotel team management structure in this case comprised of a Hotel or General Manager (GM), who had overall responsibility for the running of the hotel, assisted by various

department managers or heads of function. The GM was the key position with full accountability for the commercial business success and a strong influence on the culture of the management team and leadership behaviour. In all cases in the hotels within this study, the GM was an employee of the hotel managing company (HMC). For some of the GMs, the HMC owned the hotel property in which they were employed and in some cases the property owner was a different entity. In these cases, where the hotel was operated under a management contract, the GM was an agent of both the HMC and the owner of the property. Whilst reporting to senior executives within a corporate management hierarchy, they are formally in charge of the hotel as an individual business unit (Mintzberg 1975) with full accountability for achieving property-level objectives (Morey and Ditman 2003) and oversight of all functional departments within their property (Nebel and Ghei 1993). The GMs in this case study all reported to a Regional General Manager (RGM) who had responsibility for several hotels within a geographic region or territory. The relationship created a potential conflict between the level of autonomy and discretion and the level of control and risks of inadequate control.

A traditional organisation structure for a hotel is normally depicted by a layered pyramid organisation chart. Generally, the bigger the hotel or department, the more the layers will be present in the pyramid. In a traditional hotel structure, people in service positions would do as their manager instructed them and the managers would do as their corporate executives or strategy directed. In a more modern paradigm, managers need the information from the coal-face of the guest-facing employees in order to maximise their service delivery standards and associated profits. To achieve maximum success the hotels needed an effective internal network with knowledge sharing as a key requirement for efficiency, and in that interpretation, the hierarchical structure can be counter intuitive. Some hotels attempted to counter this by adopting an inverted pyramid model that placed the customer-facing employees at the top and the management team at the bottom, implying a more supportive structure.

At operational level, the case study hotels beyond a certain size had a tactical Human Resource (HR) role as a management position and in smaller hotels it was restricted to a part time administrative function, performed together with other duties and responsibilities. The rest of the management team, heads of department and line managers were required to be closely involved in HR activities such as recruitment, training and development, performance management, providing feedback to employees and directly line managing the productivity of staff members within their department or span of control. The relevance to this study is that providing the optimum levels of customer service experience in any hotel requires the hotel management team to understand the nature of service and to lead their operations employees to deliver it on a consistent basis. The ability to be able to create and maintain positive

relationships is a vital success factor for all managers in this case and in the hotel industry in general, whatever their level of proficiency in their originating technical skill set might be.

Enabling and encouraging a high degree of knowledge sharing is the domain of the management team and the operating culture to which they contribute and create within each individual hotel. Research supports the idea that if knowledge is not shared then a team's cognitive resources will be under-utilised (Argote 1999) and therefore, knowledge sharing is a critical team process. Knowledge sharing in a team does not happen automatically and has been correlated to the management or leadership style. In simple terms, the team leaders have an important role in making it come about and Yukl asserts that autocratic leadership inhibits knowledge sharing by team members (Yukl 2002). Therefore, in the hotels, the contemporary operational need is for a more organic, agency structure with the outcome benefits of customer focus, entrepreneurial, adaptable and quick response through:

- Low horizontal differentiation

- Vertical and lateral collaboration

- Relaxed hierarchy with a free-flow of information

- Wider spans of control

- Decentralised decision making

- Low formalisation

- Internal, face to face communication

- Teamwork

- Adaptable duties

2.7.3 Individual Level
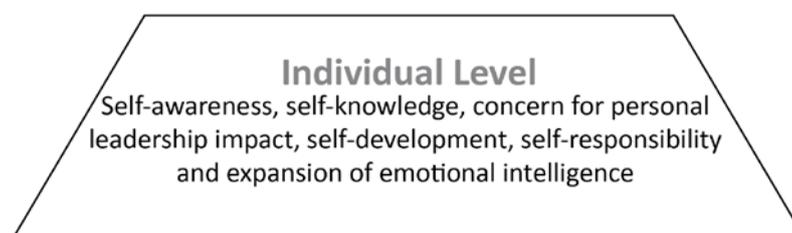
Figure 2.5: Intervention impact - individual level

The findings revealed that there was very little evidence of any structured leadership development for individuals within the hotels or wider HMC. Based on anecdotes from various

interview participants, employees had frequently achieved promotion to current management positions through a combination of length of service and a mentality of promoting on grounds of their technical ability because they were good at their job. If they joined from a competitor organisation, their previous experience in a hotel of a perceived higher status would also be influential in securing a management role, even if their previous position in that hotel was not in management.

Promotions and career advancement were generally based on ability to perform the task elements of the role, rather than on existing management ability and leadership potential. This method of career path mapping for the individuals within the management teams resulted in the calibre, style and experience being very varied across the parts of the organisation reviewed.

The individual GMs interviewed had a varied mixture of career paths and experiences themselves, although many had followed the three stage process (Guerrier 1990) with a specific hotel education, followed by time in various parts of the operation covering functional responsibilities at various levels of responsibility. Some had grown up within the case study HMC and some were recruited from other organisations. As a result, some had formal hotel management training and education, and some had learned on the job as a result of a self-planned route to management. The case study organisation did not operate a graduate scheme and so none of the managers had experienced a corporate-paved development route, (Beck 1974) unless with other hotel companies.

For many of the General Managers involved in this intervention, and certainly for a number of their management team members, it was expressed through the interviews that this would be their very first experience of such learning and development and a departure from their comfort zone in the operation and into the unexplored territory of self-awareness, leadership behaviours and team relationships.

2.8 Conclusions from Cycle ONE

As this research cycle came to an end, conclusions could be drawn for each of the originating questions:

2.8.1 Question 1: How does the nature of the hotel industry influence the development of leaders operating within it?

The combination of literature review and preunderstanding had confirmed and highlighted the ways in which the nature of the industry influenced the development of leaders within it. Operations technology (Thompson and Bates 1957) is often complex within hotels. Under the roof of the various hotels within this study, the activities that produced the goods and services required were varied and differentiated. The participating hotels all operated under the industry classification of luxury full service with multiple food and beverage outlets, conference and meeting services and a range of different bedroom categories. The operational inputs and outputs were very different depending on the department where the activities were taking place. In terms of operational sequences, a vast range of business functions were performed within individual hotels ranging from purchasing raw materials and manufacturing, through to managing waste at the end and all processes in between, within a building structure that is part of the capital asset to be maintained by the management team.

Knowledge technology, as the characteristics of the knowledge used in the workflow, (Thompson 1967) is particularly relevant when considering the quality of knowledge sharing within the management teams, links with operational efficiency and the role that knowledge sharing takes in supporting an organic structure. In this case, knowledge sharing would include activities such as employees sharing task-relevant ideas, suggestions and information with each other and across departmental boundaries at all levels.

The rapidly changing nature of service and product delivery and the requirements of providing thoughtful and personalised service in order to be commercially successful brings a requirement for flexible and innovative teams and individuals. The quality of service delivery is a major competitive advantage for any hotel and I argue that the quality of leadership of the hotel management team is a significant factor in influencing and encouraging the levels of commitment and engagement for employees at all levels and the provision discretionary effort.

2.8.2 Question 2: How were the requirements & expectations of the organisation, teams & individuals for this leadership development programme reviewed?

The questions central to this cycle of the enquiry were to identify the expectations and outcome requirements for the managers of different operational teams in order to inform the design of an effective intervention that aligned to the strategy and culture of the organisation.

The interviews and the resulting findings from them had provided invaluable insights into these specific requirements. The documents and artefacts in this category were further collated to provide insights into the commercial requirements and operational performance for each hotel and region in terms of standard metrics of employee climate survey results, financial performance and challenges and customer satisfaction statistics. In addition they provided valuable data for logistics and planning such as numbers of participants in each team, location and accessibility or language considerations.

Analysis of data from this cycle was further influenced by preunderstanding and experience of the industry and enabled an understanding of the key commercial challenges for each region and each hotel business unit and the likely nature of general issues and pressures on the different teams that may be experienced by them. The field notes relating to observations provided an overall impression of the target population for the programme and differences in requirement for each of the regions. It had been invaluable to experience first-hand the majority of the hotels, meet the people involved and explore their different styles, operating challenges and standards.

Within each region, the various operating teams had individual sub-cultures depending on the personality and style of the General Manager, size and make-up of the team and different styles of the hotels. The site visits and information gained from them provided further insights and these were added to the field notes for each participating team. The national culture of each geographic region required consideration as learning styles, preferences and requirements differed across national boundaries and needed to be taken into account for the design stage, whilst at the same time avoiding stereotypical assumptions. For example; practical considerations such as preferences of formal or informal address (in language and culture where there was a linguistic difference), length of breaks and timing arrangements, construction of activities and methodology during the training period, language used, levels of direction and participant materials preferred were all considerations and factors that should inform the programme design. The local and corporate political environments were diverse with differing attitudes towards, and experiences of, regional and corporate senior executives, signposting the

importance of paying attention to the corporate culture and political climate at every stage of the intervention.

Interviewing all General Managers, senior managers and heads of support function had provided an inclusive and collaborative element that was reported favourably by them to their senior executives. This was important for maximising sponsorship and support of the programme at this level.

The analysis of the mute data prior to conducting the interviews was also valuable in establishing credibility with this professional population and an analysis of their business situation and commercial issues demonstrated practitioner understanding and respect for their real world and a working knowledge of the industry in general. For example, in the hotels within scope of this study, the most important revenue stream was that created by the sale of hotel bedrooms. As previously explained, as a standard statistical yield (financial) indicator used within the hotel industry is the Average Daily Rate (ADR). In some of the hotels within the study, the market forces, economic climate and competitor activity created a much lower potential for ADR. Within the different geographical regions of the study, City B was a much cheaper city in which to purchase hotel accommodation than City A in another region, but the cost bases of running the hotels between two Continental European cities were similar. This had a considerable impact on the ADR, revenue levels, profitability, contribution and subsequent implication for pay rates that in turn influenced the calibre of management and employees attracted and retained, staffing levels and span of control for managers.

As explained in Chapter 1: Section 1.5, an expectation at organisation level was the deployment of a behavioural typing or psychometric instrument as a component of the content. It was intended that such an instrument would serve to enable individual participants to enhance their self-knowledge, engage in comparisons, consider alternatives and see things from various perspectives. FIRO Element B had been purposively selected because, as an interpersonal and relational model, it would be a good fit for the team development. As the second level of coding of the interview data had been correlated against the FIRO behaviour dimensions, it was possible to conclude that a relevant fit existed between the dimensions of the model and the requirements defined from the interviews. The interviews were held with participants and therefore the findings from them were relevant at team and individual level.

A conceptual model was created in order to determine how the FIRO dimensions aligned to the organisation level requirements. As FIRO is a behavioural model and the content of the programme was focused on behaviour change, the FIRO dimensions at behavioural and feelings levels were correlated with the Desired Leadership Behaviours and provided an adequate level

of alignment and suitability for this case. In the absence of a competency framework or definition of leadership behaviours, in addition to aligning with the five behaviours of the DLB, the FIRO dimensions were also correlated to other organisation behavioural requirements including the organisation values (5) and those providing the desired employee (3) and guest experiences (3). The correlation exhibited an adequate fit for FIRO in the context of this case in including all sixteen organisationally relevant behaviours. The table illustrating this conceptual model can be seen at Table 4 below:

FIRO® Element B Behaviour Dimensions	Inclusion	Control	Openness	
FIRO® Element F Feelings Dimensions	Significance	Competence	Likeability	
Organisation Desired Leadership Behaviour	2	1	2	5
Organisation Values	2	1	3	5
Organisation Desired Employee Experience	1	1	1	3
Organisation Desired Guest Experience	1	1	1	3

Table 2.3: Conceptual framework showing organisation desired behaviours at all levels (Cooke 2015) *correlated with the behavioural dimensions of FIRO Element B* (Schutz 1994)

2.8.3 Question 3: How can the success criteria at organisation, team & individual level be identified?

A further conclusion from this research cycle was the refining of the desired outcomes of the Leadership Development programme at a variety of levels. At organisational level, the key measure for evaluation was identified as the employee survey responses to selected key questions. The employee survey was performed twice a year within the organisation and data from this survey were used in the analysis and a benchmark created subsequently.

The trend from the employee survey results indicated attitudes of employees towards both operational and corporate management and highlighted areas where some changes in leadership behaviour and communication practices were required to achieve an improved result against the benchmark.

Employee statements relating to satisfaction with leadership were identified in the employee survey as some of the benchmarking metrics for evaluating the planned intervention in comparing the results from previous years. These statements included:

- *My immediate manager motivates me through his / her direct behaviour*

- *My immediate manager creates an environment where everybody feels that their efforts make a difference*

- *The relationship with my immediate manager is based on an open constructive dialogue and mutual respect*

- *The work I perform is appreciated and respected by my immediate manager*

- *In my department we work as a team and help each other whenever necessary*

- *Creativity and innovation are considered an important part of our daily work*

As part of the employee satisfaction survey, a loyalty index calculation measured the relationship strength of employment attractiveness and commitment of employees compared to the industry norm and competitor set for the organisation. This created a further clear outcome evaluation metric for the programme at organisational level.

The conclusions from this cycle also enabled the identification of success criteria for the programme within each geographic region and each hotel team in preparation for evaluation. To aid achievement of planned outcomes and support transfer of learning, it was concluded that a team action plan would be created during the programme and followed up in a further meeting some weeks later. The achievement of the action plan and outcomes as a result of changes made would be a measure of effectiveness of the programme for each team and the creation of such a plan was subsequently deployed into the design of the programme.

A further success measure was planned through the use of evaluation surveys to all participants following the interventions and on their return to their workplace. Other sources, such as the customer satisfaction data, provided an insight into some of the possible operational issues that managers in each hotel were encountering and the levels of service quality experienced by guests. These were added to the field notes for each individual team and property to be integrated later into their action planning on a case-by-case basis, allowing for a bespoke element for each team within the programme.

2.9 Summary

At the end of this cycle, the conclusions drawn were that sufficient data had been collected to enable the alignment of organisational outcomes of a leadership development programme to the development of social capital requirements at a variety of levels and a diagnostic model had been created for organisation, team and individual level analysis. Considerable depth of field research and immersion in the various operating regions had provided valuable data necessary for aligning the original brief with the needs of the various regions and teams within them. Therefore the research questions at the centre of this cycle had been answered sufficiently and the next cycle of enquiry was beginning to emerge as the requirement to design the programme to develop specific skills, behaviours and leadership style in line with the DLB. It had also been a vital exercise in engaging key stakeholders at this first stage and to be purposeful in collecting and analysing data in order to be visibly making the effort to align the organisational requirement with the needs of the hotel teams and individuals. This cycle also provided confirmation that FIRO Element-B was an adequate fit and in alignment with the organisation values and DLB.

3) Cycle TWO:

Design of the intervention to meet requirements

3.1 Chapter Introduction

This chapter explores models of leadership and where the concept of inspirational leadership is located as a genre. As a result of the literature review, a conceptual framework for inspirational leadership is proposed and conclusions made about its utility as a central theme in this case. The research method deployed in this cycle involved employee focus groups in order to explore the extent to which the behaviour of managers and leaders influenced their attitudes towards commitment and the nature of any influence at this level.

Findings were aligned with the behaviour dimensions of FIRO Element B to further support its use as the central psychometric instrument and behavioural model central to the design and also with the conceptual framework of inspirational leadership. The resulting conclusions drawn influenced the final design, content and methodology for the leadership development programme.

3.2 Focus of Enquiry for Cycle Two

The previous cycle reviewed the context and requirements for the proposed leadership development programme at industry, organisation, team and individual level. This second area of inquiry aims to identify the elements of a leadership style that would provide an optimum cultural and practical fit; and a framework for the development of the Desired Leadership Behaviours (DLB).

As explained in Chapter 2, although enacting the organisation-generated behaviours was the central theme for designing the programme, the DLB consisted of a very small number of single unqualified verbs, such as *communicate*. There were no behavioural competences to support them. Consequently, more specific definitions and contextualisation were needed so that the desired behaviours could be integrated into the training and then transferred to the workplace setting to create the required level of cultural change for the organisation as a final outcome. In addition to the organisation requirement, the findings from the previous cycle had identified that tangible development of each management team and the individual participants with reference to the DLB was also a prerequisite for the design.

A key consideration for the design of the programme was to identify and develop a leadership style or concept that would align with the DLB as a desired outcome at organisational level. This leadership style and concept, once identified would inform the input and generate the content required. The term with the most potential from the given DLB was *inspire* and *inspirational leadership* began to emerge as a potential concept for a central theme and identity for the programme. I decided to use the literature to purposively review whether, and if so how, the concept of inspirational leadership had been generated and consider if it provided a relevant fit for this case.

Therefore, further definition of the behavioural outputs and cultural style was a key aspect of the programme design in order to deliver content and methodology that provided a clear alignment to the DLB as per the corporate requirement and would also produce an outcome for the participating teams that would *help to bring about enhanced organisational performance by drawing on the talents of the workforce and using these people to the full*, and for the individuals in order to *also enhance their own personal growth, quality of life and job satisfaction* (Rushmer 1997, p.244). In order to design a programme to define and develop the most appropriate leadership style for this case the next step was to further explore the perspectives on leadership development in the literature. The focus of inquiry and questions for this second cycle are defined in Table 3.1 below:

Research cycle	2
Intervention Phase	Design of the leadership development programme
Research cycle purpose	A review of the relevant factors required to inform the bespoke design of the leadership development programme in this case
Research questions	1. What models of leadership can be drawn upon to identify an appropriate leadership fit? 2. To what extent is there a theoretical justification for Inspirational Leadership? 3. How far can the appropriateness of FIRO dimensions of behaviour to leadership teams and individuals be demonstrated in this setting?
Research method	Focus Groups in a parallel organisation
Literature review area	Perspectives on leadership development

Table 3.1: *Research Cycle 2: Outline*

3.3 Review of Literature on perspectives of leadership development

As explained in the previous chapter, the culture of the hotels within this organisation were moving on from the *traditional culture where the internal structure was a combination of rank and power. In the emerging organisation, it has to be mutual understanding and responsibility* (Drucker 1995, p.16) and consequently *the magnitude of today's changes will demand not only more leadership but newer forms of leadership* (Conger 1993, p.46). This view is supported by considering the nature of customer service and the extent to which it requires increasing levels of autonomy and commitment (Hartline & Ferrell 1996).

In a labour-intensive service-based industry, success depends on the *social and technical skills of its personnel, their ingenuity and hard work, their commitment and attitude* (Gabriel 1988, p.7). The nature of leader behaviour and leadership style can be inferred, through the framework of the Service-Profit Chain (Heskett *et al* 1994) shown at figure 2.1, to have an influence on employee attitude, consequent quality of service delivery and ultimate profitability. However, *while different leadership styles, (whether autocratic or transformational) have the ability to influence employee behaviour in differing ways, the identification of the most appropriate leadership style remains elusive* (Clark *et al* 2009, p.210).

Traditionally, leadership focus has been conceptualised on the behaviours and skills of the individual and leadership is examined largely as an individual phenomenon (Day, 2001). Van Velsor and McCauley (2004) noted a distinction between leader development and leadership development, suggesting that leader development has a focus on the development of individual leaders and is more generally defined as *the expansion of a person's capacity to be effective in formal and informal leadership roles and processes—that is, roles and processes that facilitate setting direction, creating alignment, and maintaining commitment in groups of people who share common work* (Van Velsor & McCauley, 2004, p.2).

In terms of individual leader development, Kets de Vries and Korotov assert that it is about action and reflection and that *key areas for self-awareness include personality traits, personal values, beliefs, attitudes, habits, emotions and the psychological needs that drive our behaviour* (2010, p.15). The literature supports a view that to develop the required leader qualities requires individuals in leadership positions to understand the impact of their behaviour and be aware of the self as well as able to display empathy towards others. *The leader's orientation towards self and others must be taken into account in order to understand fully the leadership dynamic* (Carey 1992, p.217).

Kets de Vries and Korotov maintain that many other qualities are necessary: *the ability to inspire and empower the members of their team to achieve their full potential, the ability to provide focus, the possession of interpersonal communication, team building and motivational skills and the ability to develop other leaders* (2010, p.8). Their use of the term *inspire* not only evokes its inclusion within the client organisation DLB but indicates a preference for transformational leadership behaviours associated with what House and Ariditya consider to be a paradigm shift that started in the mid-1970s. Characteristics include seeking out symbolic and emotionally appealing behaviours such as *visionary* and *empowering*; as well as *ability to achieve extraordinary levels of follower motivation, admiration, respect, trust, commitment, dedication, loyalty and performance* (1997 p.440)

3.3.1 Transactional v Transformational Perspectives

Clark *et al* propose that *managers who are committed to service quality and employ an empowering leadership style can create a transformational climate that conveys their commitment to quality service to their front line employees* (Clark *et al* 2009, p209). Through the interviews and diagnostic activity in the organisation described previously in Cycle One, there was sufficient evidence that managers at all levels within the case study organisation were committed to service quality, and this training programme had clear outcome expectations for developing an *empowering leadership style to create a transformational climate* (ibid).

Transformational leadership perspectives have conventionally been contrasted with transactional models. Based on economic cost-benefit assumptions, transactional models describe leader behaviour in terms of leader-follower exchange relationships, setting goals, providing direction and support. They are based on how leaders and followers exchange with each other and transactional leadership can be defined as *a process of exchange that is analogous to contractual relations in economic life and contingent on the good faith of the participants* (Downton 1973, p.75). As part of social exchange theory, transactional leadership involves a relationship based on the *exchange of tangible rewards for valued political, economic or emotional efforts* (Burns 1978, p.258); focuses on *clarifying the effort-reward relationships using personal and material reward systems to achieve maximal motivation* (Pearce and Sims 2002, p.175) and involves *inducing followers to act for certain goals that represent the values and the motivations, the wants and needs, the aspirations and expectations of both leaders and followers* (Burns 1978, p.19).

As such transactional leadership models are not instrumental in creating a transformational climate. Bass (1990) argued that theories of leadership focused only on basic exchanges and goal and role clarification with followers and sanctioning or rewarding follower behaviour would result in mediocre performance. He suggested a paradigm shift to transformational

leadership where followers are influenced by their leaders to put the success of their organisations or units above self-interest and strive to achieve better levels of performance. Transformational leadership has been defined as *a process that changes individuals. It has to do with emotions, ethics, values, long term goals, the needs and motives of followers and, of course, the needs of the leader* (Northouse 2007, p.3). The suggestion is that transformational leadership results in a relationship that raises the motivation, morality and ethical aspirations of both leader and followers, by engaging with them and focusing on higher order intrinsic needs. According to their 1994 study of leadership in hospitality, Tracey and Hinkin asserted that transformational leadership may alter the way of thinking for followers, result in enhanced thought processes and people not being hesitant to offer ideas or to become critical in their problem solving (Tracey and Hinkin 1994). A conceptual model differentiating *transformational leadership factors from transactional leadership in four dimensions* (Bass 1990, p 22) is illustrated at Table 3.2 below:

Transformational	Transactional
Charisma; provides vision and sense of mission, instils pride, gains respect and trust	**Contingent reward:** contracts exchange of rewards for effort, promises rewards for good performance, recognises accomplishments.
Inspirational motivation: communicates high expectations, uses symbols to focus efforts, expresses important purposes in simple ways	**Management by exception (active)** watches and searches for deviations from rules and standards and takes corrective action.
Intellectual stimulation: promotes intelligence, rationality and careful problem solving	**Management by exception (passive)** intervenes only if standards are not met
Individualised consideration: gives personal attention, treats each employee individually, coaches and advises.	**Laissez-faire:** abdicates responsibilities and avoids making decisions

Table 3.2: Conceptualisation of transformational and transactional leadership styles (Bass 1990, p 22)

Transformational theory is not the only umbrella term used for the genre of leadership theories that started to emerge in the last quarter of the twentieth century, go beyond simple performance versus reward transactions, encompass transformational perspectives, and have a visionary element. Bryman (1993) introduced the term *new leadership theories*, House and Aditya (1997) coined the term *neo-charismatic*. Dinh *et al* (2014) in their survey of leadership articles published in top ranking journals between 2000 and 2012 classified 294 out of 752 as discussing neo-charismatic theories.

3.3.2 Emerging theories - Value based leadership

With the onset of the 21st Century, leadership theorists and scholars started to propose that leaders also need a strong set of values, ethics and morality as deficiencies were becoming prevalent in *many of the charismatic, dynamic and seemingly transformational leaders that had risen to prominence in both the public and the private sectors* (Copeland 2014, p.106). Under a category entitled Emerging Theories, Dinh *et al* (2014) identified 80 articles that focussed on ethical/moral leadership.

Values based leadership (VBL**),** classified by House and Aditya (1997) as the only neo-charismatic theory that addresses the relationship between organisation context and charismatic leader behaviour, emerges as a paradigm of the time. George argued that leaders were needed that *lead with purpose, values and integrity, leaders who build enduring organisations, motivate their employees to provide superior customer service and create long term value for shareholders* (2003, p.9). Within this genre Copeland (2014) singles out authentic leadership as gaining popularity in the literature. Dinh *et al* (2014) found 33 articles on the subject.

Authentic leaders have been defined as *those who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others' values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character* (Avolio and Gardner 2005, p.4). Shamir and Eilam (2005) described authentic leaders as people who have the following attributes:

- *the role of the leader is a central component of their self-concept,*
- *they have achieved a high level of self-resolution or self-concept clarity,*
- *their goals are self-concordant, and*
- *their behaviour is self-expressive* (Shamir and Eilam 2005, p.399).

Within these definitions of authentic leaders is the suggestion that their effectiveness is based on the personalised dyadic relationship between follower and leader and rely on personal identification with the leader.

3.3.3 Inspirational leadership

The concept of *inspirational leadership* was first introduced by Downton (1973) who draws a distinction between charismatic and inspirational leadership and proposes that the key difference is in the way that followers accept and comply with the leader's initiatives.

He argued that as a result of the charismatic leader's transcendental ideals and authority, a strong identification from the followers would be created. If the followers are drawn to the goals and purposes of the leader, but there is no dynamic of identification with the leader, then *the leader can be defined as inspirational, but not charismatic* (Downton, 1973 p.235). Downton's view was that although charismatic leadership implies the provision of inspiration to followers, inspirational leadership need not necessarily involve charismatic leadership. Therefore, charismatic leaders may well be highly inspirational, but it is not necessary for inspirational leaders to be charismatic.

Another early perspective on inspirational leadership is that it *stimulates enthusiasm amongst subordinates for the work of the group and says things to build their confidence in their ability to successfully perform assignments and attain group objectives* (Yukl and Van Fleet 1982, p. 90). Bass has also consistently used the term *inspirational* in his writings on leadership. He takes the position that *inspirational leaders encourage followers' self-expression and enhance their self-efficacy with positive feedback and expressed expectations about their performance. Group efficiency is also encouraged in the same way.* (Bass 2008 p. 607). Thus an interpretation of both these perspectives is that inspirational leadership does not foster dependency on the leader but inspires, engages and motivates followers to achieve ambitious goals that may previously have seemed unreachable.

In their review of current theoretical trends and changing perspectives in leadership theory and research, Dinh *et al* (2014) referenced inspirational leadership as a sub-category within the neo-charismatic theories. It was not a popular leadership topic and only two articles were identified over the twelve years reviewed

In one of them, Joshi *et al* (2009) propose that inspirational leadership as a style is particularly relevant and effective for creating team identity and developing socialised relationships and that, as a sub factor of transformational leadership, inspirational leadership focuses on creating a team entity through energising the team, communicating a compelling vision for the team and expressing confidence in team members. The context of the study by Joshi *et al* (2009) was geographically dispersed teams, but the concept could apply equally in a hotel where, because of the nature of the business and complex rota patterns explained previously, the teams may well be dispersed. They argue that *inspirational leadership is especially relevant in dispersed settings for enhancing individual's trust in team members and commitment to the team* (Joshi *et al* 2009, p.240) and focus on the two variables of trust and commitment because they claim that sufficient research exists that to validate them as antecedents of team effectiveness.

They further propose in considering leadership as a social construct that social identity theory is becoming increasingly relevant in many organisational contexts where socialised relationships and connection to a collective entity is key to achievement of team goals. A critical ability for leaders in this consideration is to be able to draw on socialised relationships in order to create a collective identity orientation so that *the follower identifies with and derives a sense of direction from the* message *that the leader delivers and is less dependent on the leader's personal attributes* (Joshi *et al* 2009, p.240).

An individual's commitment to the team can be defined as *the identification with and affective attachment to the team* (Allen and Meyer 1990, p.6.) and trust in team members is defined as an individual's belief that work group members are competent and can be relied on to complete their responsibilities towards the group (McAllister 1995).

Antonakis summarises the perspective as follows: *The Inspirational Leader is persuasive and he or she encourages followers to invest in and make sacrifices towards the identified ideals, gives followers a sense of purpose and creates meaning for actions distinct from charismatic appeal. Followers relate to these types of leaders, but do not necessarily revere them.* (2012, p.261). The suggestion is that creating a working environment that fosters motivation and encourages commitment to customer service is conducive to achieving organisational goals. *By predicting that followers are able to reach ambitious goals, and showing absolute confidence and resolve that this outcome will occur, followers are inspired to reach the requisite level of performance beyond normal expectations, and a self-fulfilling prophecy occurs* (Antonakis 2012, p.266)

In the literature then, the concept of inspirational leadership is presented predominantly as an individualistic style of leadership. The conceptualisation of leadership and sharp distinction between leaders and followers influences the design of leadership development with an emphasis being placed on individual, primarily intrapersonal skills and abilities (Barling *et al* 1996) and in doing so may miss the aspects of leadership being social process and *a complex interaction between the designated leader and the social and organisational environment* (Fiedler 1996). Andersen (2015) expresses strong concerns about conceptual limitations of transformational leadership in general conflating political and managerial leadership and that the *use of the term followers, rather than subordinates creates confusion in the study of formal organisations* (Andersen 2015, p.765).

Dalakoura (2010) argues that leader development of the behaviour and skills of executives is not just an individual phenomenon and Senge (1995) supports this view, asserting that this perspective is outdated by being individualistic and non-systemic.

Kets de Vries & Korotov (2010) assert that *leadership is no longer defined by what a single leader does (the "Great Man" trait theories) but by the ability to collaborate, motivate and to manage networks* (Kets de Vries & Korotov 2010, p.2). They further suggest that a more distributive and shared leadership style is needed to be of benefit to organisations who are constantly changing, shifting the focus from a single leader to *an intricate and complex web of leaders who possess a range of abilities and experiences necessary to ensure that the leadership function is carried out to the benefit of the wider organisation (*Kets de Vries & Korotov 2010, p.2).

This suggestion supports the view that that leadership development is a broader social process that extends beyond developing the skills of individuals and encompasses the development of a collective framework that includes interactions with the social and organisational environment. *Developing leadership in practice is a complex phenomenon that encompasses the interactions between the leader and the social and organisational environment* (Dalakoura 2010[2], p.432). Considering leadership as a property of the whole system and not solely the property of individuals, effectiveness in leadership becomes more a *product of those connections or relationships among the parts than the result of any one part of that system* (O'Connor & Quinn 2004, p.423). From a collective perspective, leadership development is concerned with *encompassing the development of collective leadership beliefs and practices in addition to individual development* (McCauley, 2008, p.6).

3.3.4 Neuro-leadership

During my literature search I also explored the concept of Neuro-leadership (Rock 2008). In recent years, there has been a significant development of knowledge in the field of neuro-science and the emotional circuitry of the brain. Aspects of that developing knowledge have been deployed to the arena of leadership practice. The *SCARF* model (Rock 2008) is a summary of discoveries about interpersonal interactions from neuroscience. It involves five domains of human social experience: Status, Certainty, Autonomy, Relatedness and Fairness (Rock 2008):

Status is about relative importance to others.

Certainty concerns ability or opportunity to predict the future

Autonomy provides a sense of control over events.

Relatedness is a sense of safety with others and a sense of being safe with a friend rather than threatened by a foe.

Fairness is a perception of fair exchanges between people and related to Adams' Equity Theory (Adams 1965).

Rock found that the five domains of the SCARF model have been shown in neurological studies to activate the same reward circuitry as that activated by physical rewards and the same threat circuitry is activated as with physical threats. The proposition is that these five domains activate either the primary reward or primary threat circuitry and associated networks of the brain according to three central concepts:

1) The brain treats many social threats and rewards with the same intensity as physical threats and rewards (Eisenberger & Lieberman, 2003).

2) The capacity to make decisions, solve problems and collaborate with others is generally increased under a reward response and reduced by a threat response (Elliot, 2008).

3) The threat response is more intense and more common (Baumeister *et al* 2001). and therefore requires careful management and minimisation in social interactions

In order to further test the appropriateness of FIRO as a suitable model to support the development of the Inspirational Leadership concept, I correlated aspects of FIRO and the SCARF model from the literature. Correlating these concepts with some central FIRO Theory principles provides the following theoretical alignment in Table 3.3 below:

SCARF (Rock 2008)	FIRO Theory (Schutz 1960)
Status	Inclusion, significance, value Interpersonal fear of being ignored
Certainty Autonomy	Control, competence, capability, Interpersonal fear of being humiliated
Relatedness	Openness, likeability, being liked (or loved) Interpersonal fear of being rejected
Fairness	In this correlation, the fifth SCARF domain of fairness fits with all the three FIRO dimensions. For example: ▪ Inclusion: by being left out of something (unfairly) ▪ Control: by not having autonomy or control over distribution (so it is an unfair system) ▪ Openness: by being seen less favourably by another (so not a fair perception)

Table 3.3: *Correlation of SCARF and FIRO models* (Cooke 2015)

A fundamental principle of FIRO Theory is that behaviour, as a *surface structure,* (Chomsky 1965) is an outcome of deeper psychological structures and beliefs, including self-esteem and the self-concept. *Self-confidence and self-esteem weighed heavily in distinguishing between general managers who performed effectively and those that did not.* (Kaplan 1986) and it would seem that self-esteem has become increasingly important *because of the primacy of intellectual capital, the need for self-esteem has acquired a new economic urgency,* and that the key factor is *the capacity of leaders and their institutions to generate self-esteem in the workplace* (Branden 1998, p. viii).

Self-esteem can be defined as *a generalised evaluation of the self and feelings of self-worth across most situations, whereas self-efficacy is a belief in one's abilities to cope with specific situations* (Bass 2008:189). From a meta-analysis of the relationship of self-concept to job satisfaction and performance, Bono and Judge (2003) concluded that the concepts of self-esteem, self-efficacy and locus of control were *some of the best predictors of job satisfaction and job performance* (Bono and Judge 2003).

3.3.5 Shared leadership

This is defined as a *dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organisational goals – or both* (Pearce & Conger 2003, p.1). In the case of hotel management teams, shared leadership is broadly distributed within the team, rather than localised in any one individual and often involves peer, or lateral influence and at other times involves upward or downward hierarchical influence (Pearce & Conger 2003).

This is particularly relevant for hotel teams that, rather than relying on vertical leadership, are often working in cross-functional teams without hierarchical authority and formally appointed leaders are reliant on the unique knowledge, skills and effort of each member of the team.

3.3.6 Self-leadership

This has also received increasing attention from practitioners and researchers within the literature. It is defined as *a process through which people influence themselves to achieve the self-direction and self-motivation needed to perform* (Houghton *et al* 2003, p. 126). Bligh *et al* (2006) argue that through the development of self-leadership, *team members can develop the intermediate behaviours and prerequisites necessary to engage in increased levels of shared leadership, resulting in more effective team knowledge creation* (Bligh *et al* 2006, p.298). Their suggestion is that important synergistic outcomes are provided by the two theories, where effective self-leaders learn to take on shared leadership roles. They provide a meso theory approach that integrates leadership concepts at group level and individual level.

 Meso theories are explicitly concerned with *the relationship between independent and dependent variables at different levels* (Rousseau, 1985, p.20). They argue that their framework shown at figure 1.3 below provides a meso approach to the relationship between *individual-level values and behaviours and their effects on team interactions* (Bligh *et al* 2006, p.299)

Bligh *et al* propose that trust, potency and commitment are crucial intermediary concepts. Trust is defined as an individual's or group's belief that another individual or group will be honest, make efforts to honour and uphold commitments and, if given an opportunity, will not take advantage (Cummings and Bromiley, 1996). Trust is cited in the literature as an essential precursor of interpersonal relationships and team functioning (Wilson *et al* 2006) and as having the strongest potential influence on team effectiveness.

Self-efficacy is a personal belief concerning *one's capabilities to organise and execute courses of action required to produce given attainments* (Bandura, 1997, p.3) and is task specific.

Potency is the collective belief about its effectiveness that exists within a team (Guzzo *et al* 1993) and according to Mowday *et al* (1979), organisational commitment is defined by three related factors:

1) a strong belief in, and acceptance of the organisation's goals and values
2) a willingness to exert considerable effort on behalf of the organisation
3) a strong desire to maintain membership in the organisation
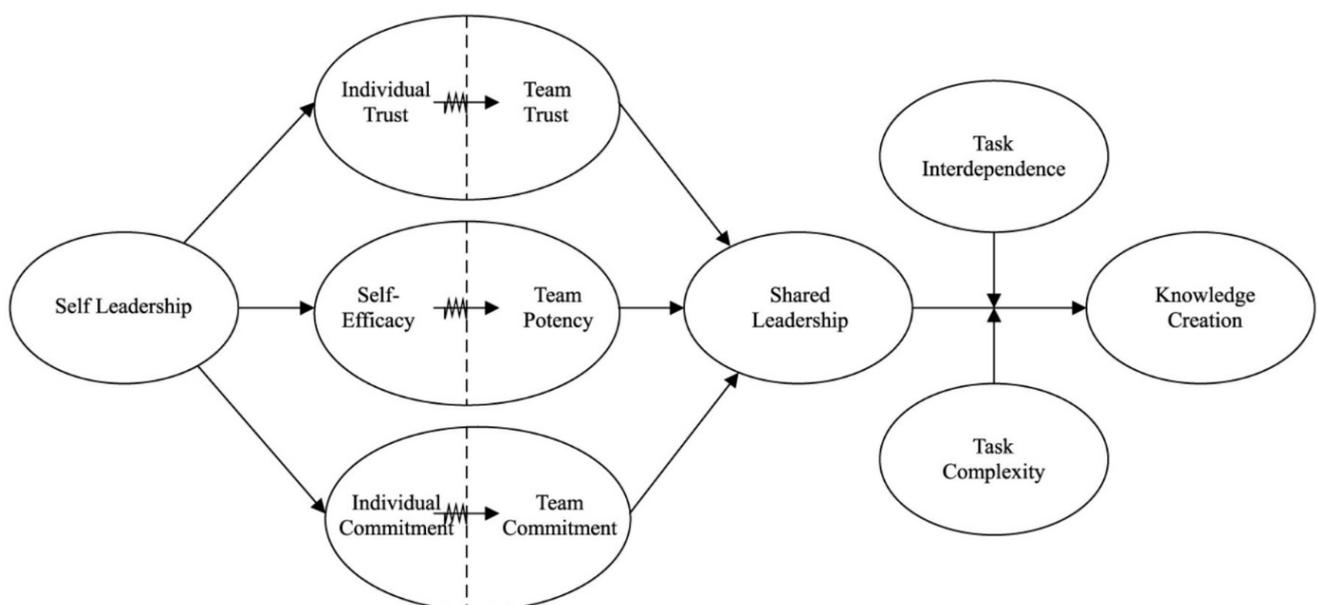
Figure 3.1: *The importance of self and shared leadership in team-based knowledge work; a meso-level model of leadership dynamics.* (Bligh et al 2006, p.299)

The synthesising of self-leadership with shared leadership in this way concludes the review of literature at a point of locating inspirational leadership as a valid genre and at the same time, conceptualising leadership as a social process embedded in the context of team dynamics and social interaction and less as concern for the behaviours and characteristics of individuals.

3.4 Conclusions from the literature

The intention of the literature review was to explore models of leadership and locate the concept of inspirational leadership, in order to inform the design of the leadership development programme. Given that developing leaders is a complex phenomenon as indicated above, the questions requiring further exploration were related to how to develop the desired leadership behaviours (DLB) to align with the strategy of the case study organisation and meet the expressed requirements of the teams and individual who would be the participants.

The literature confirms that emotionally intelligent leadership that is self-aware and empathic tends to create a climate of trust. A relevant ingredient of inspirational leadership development therefore seems to be in assisting mature adults to be guided by developed principles of integrity, fairness and trust in a style of transformational leaders both as individuals and as a collective management team. These outcomes could be argued as advantageous and desirable in a hotel where the requirement is to have intelligent service decisions being made with integrity at all levels and in every interaction with a customer or guest.

The concept of inspirational leadership is aligned with the desired outcomes for a hotel setting as it appears to have the potential to create a more helpful tension in promoting follower autonomy rather than creating follower dependence. In this context, follower autonomy in hotel operating terms could be argued as equating to commitment to the service effort, with desired outcomes of employees using initiative, deploying discretionary effort and providing a greater contribution to customer satisfaction and subsequently to business results.

At a conclusion of the review of the literature, I found myself at the intersection of leadership and team dynamics, where the synthesis of concepts of shared leadership and self-leadership seemed an appropriate fit for the case and its multi-level requirements. The evidence in the literature suggests that the greater the complexity of the task, the more important the issue of shared leadership simply because there is less likelihood that the skills, knowledge and experience to lead the team in completing the task successfully will reside in one single individual. Hotels are complex businesses to run and the nature of quality service delivery is

inherently complex, therefore this synergy of self and shared leadership would seem to be of relevance in the design of the programme.

Whilst inspirational leadership exists as a genre or concept, there was little evidence to identify the precise behaviours or style that might define it. Also it was predominantly reported as an individual leader style within the literature. As a central theme for the design of the programme it had significant value in the fit to the DLB of the case study organisation, but, informing design for leadership development programmes was a consideration that both an individual and relational lens were important concerns and building leadership capacity in this case and the design needed to attend to both individual leader and collective leadership development.

 So, in the absence of specific identification of the elements of inspirational leadership, a conceptual model was developed to make an assumption about how a hybrid version of inspirational leadership might provide a fit in this case. Although in the literature, it is reported as being an individual leader style, the addition of shared leadership makes it stronger and related to the team dynamic elements requiring attention in the programme design. A meso-level model, adapted from Bligh *et al* (2006) is shown at Figure 3.2 below:
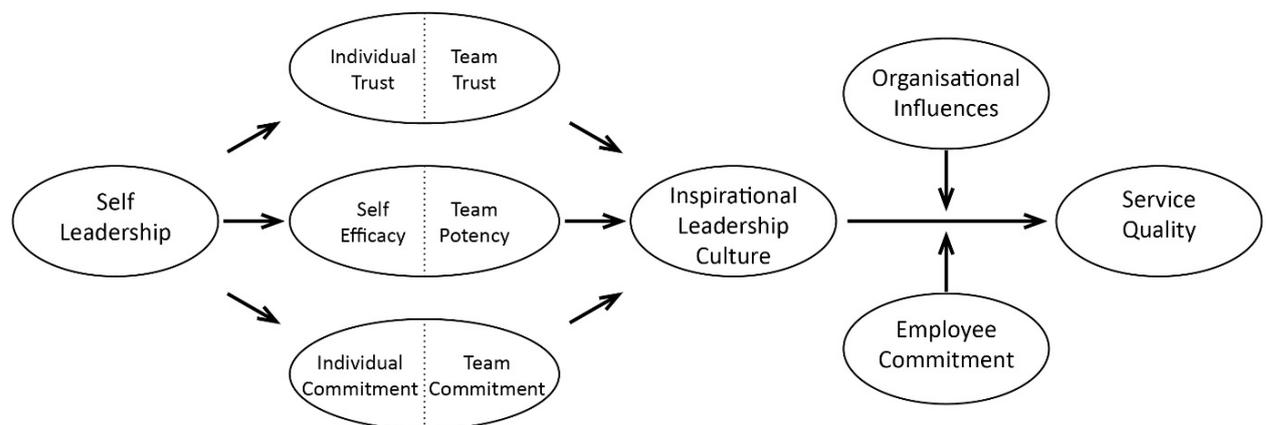
Figure 3.2: *A meso-level model of inspirational leadership in a single case;*
adapted from Bligh et al (2006, p.299)

The potential of the synergies and relationship between the variables offered by this model met the requirements from the findings in Cycle One in the following ways:

- It considers the individual, team and organisation levels identified in the previous cycle
- It includes employee commitment and service quality as variables within the system
- It places an emphasis on self-efficacy, individual commitment and developing the individual participants in their self-leadership and so possesses an intent towards leader development.

- Because self-efficacy is task specific, it was more realistic to work on in the intervention than more global perceptions of the self, such as self-esteem and self-concept

- It takes account of the team dynamic and the requirement for development of trust, potency and commitment

- It is relevant in a situation where the management team members would frequently operate in a situation where they had influence, but not authority

- It has potential for use in the development of a shared and consistent leadership style

- In developing a consistent approach, could contribute to development of leadership culture and alignment to the DLB of the organisation.

The purpose of this model was to provide a concept to inform the content for the design of the programme in this situation and it is not being offered as a model for inspirational leadership in any other setting. I am not proposing that this is ideal for every team environment or leadership situation, but that it provided an adequate fit in this case for the reasons itemised above. These definitions and considerations provided sufficient evidence that Inspirational Leadership was a relevant concept for the development of leaders and leadership culture in the context of this case study and was sufficiently aligned to the organisation strategy and industry conditions.

As a result of existing preunderstanding about the use of FIRO Theory in the field of leader and leadership development, the second level of consideration was to incorporate the FIRO Element B dimensions into the meso-level model for inspirational leadership. The synthesis can be seen at Figure 3.3 below:
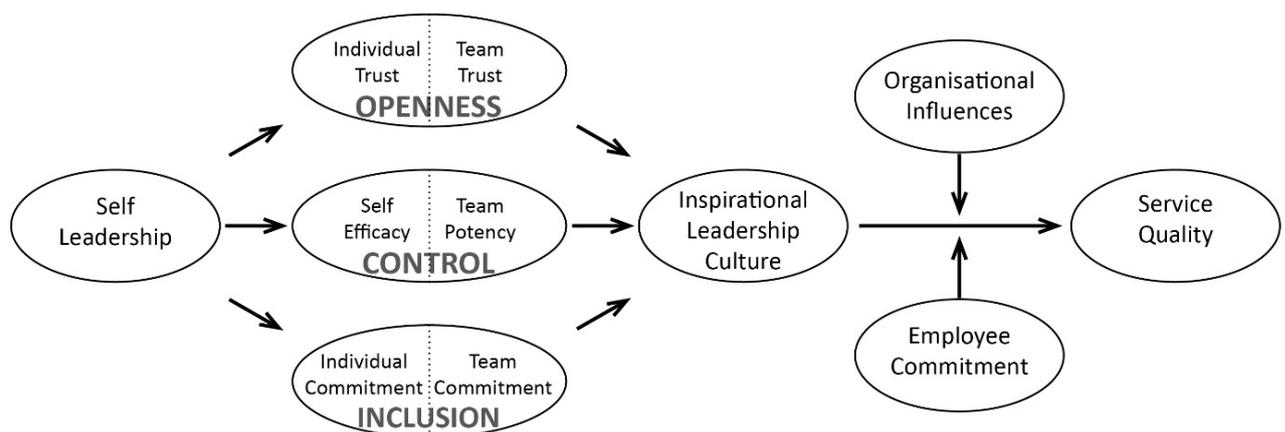
Figure 3.3: A synthesis of FIRO with the meso theory for inspirational leadership used in this case

The dimensions of inclusion, control and openness were relevant to the conceptual framework in the following ways:

Inclusion: According to FIRO Theory, behaviours related to inclusion as surface structures are influenced by affect and deeper structures around issues of significance, identification with self and team entity and value / being valued. An interpretation of team entity and identification with the team was attributed to the inclusion dimension.

Control: Using the same model, control behaviours are related to feelings of competence, capability, efficacy, success and fear of failure. Self-efficacy is defined as an assessment of capabilities (Bandura 1997) and team potency is related to effectiveness. Therefore these variables of self-efficacy and team -potency in the inspirational leadership framework are interpreted as being within the FIRO dimension of control.

Openness: In FIRO terms, the dimension of openness includes issues such as disclosure, sharing of feelings, acceptance of vulnerability, honesty, integrity of self-responsibility for feelings and emotions. The openness dimension of FIRO is linked to trust within the definitions of Schutz (1994) and so provided an adequate fit for the trust elements of the proposed conceptual framework.

The concepts of awareness of behaviour and its impact on other people are also relevant to some of the rich and contemporary leadership concepts explored in the literature encompassing *Authentic Leadership, Neuro-Leadership* and other variations on humanistic and transformational leadership concepts.

In my attempt to begin aligning FIRO with the concept of Inspirational Leadership, the relevance of the positive use of the self was validated as *inspirational leaders encourage followers' self-expression and enhance their self-efficacy with positive feedback and expressed expectations about their performance. Group efficiency is also encouraged in the same way.* (Bass 2008:607) I proposed that the application of FIRO Element-B to develop the skills of inspirational leadership aligns with this definition in the following way:

- *Enhancing self-efficacy with positive feedback* through increased awareness of behaviours and impact on others in the inclusion dimension
- *Expressed expectations about their performance* through increased awareness of behaviours and impact on others in the control dimension.
- *Encouraging self-expression* through increased awareness of behaviours and impact on others in the openness dimension

3.5 Data Collection

As previously explained, there is a strong connection between customer satisfaction and the service levels delivered by front-line employees and in turn there is evidence to suggest that employee attitudes and levels of commitment are influenced by the behaviour of the individual managers and the collective culture of the leadership team. The research interest was to review the influence of management behaviour on employee commitment, and secondly to compare those behaviours to the FIRO behaviour dimensions of Inclusion, Control and Openness (Schutz 1994) and the employee affect to the FIRO feelings dimensions of Significance, Competence and Likeability (Schutz 1994). Joshi *et al* (2009) cite commitment as a key outcome of inspirational leadership.

An opportunity was created to organise two focus groups in a different hotel organisation and arose as the result of a workshop that I was facilitating. Although the training was being carried out in hotels owned and operated by a different organisation to the case study, I had previously obtained written permission to conduct research in this situation. The opportunity for a focus group in this situation was purposively selected because they were representative of the direct line reports for the management teams that would be the participants of the leadership development programme in the case study organisation.

Focus Group 1: The location of this focus group was outside of the UK, in Eire. The second and final day of the workshop is largely taken up by participants' own practical experience of designing and running short pieces of training activity and managing their own feedback and learning from their experience. Because of certain decisions and choices made by members of the group, I calculated during the day that we were destined to be finished earlier than the scheduled time. I decided to explore the possibility of using the early finish as a research opportunity and planned what I was going to say over the lunch period and the questions that I would ask. I was also evolving questions about my presentational self and deciding how to best present myself, considering the multiple roles of academic researcher, consultant, facilitator, practitioner and learner. After the lunch break, I explained to the group that we would be finishing earlier than planned and that they would be free to go as soon as the workshop was concluded. I explained my research interest and asked that if anyone was not in a rush to leave, they would consider remaining at the end to contribute to a group interview.

The resulting focus group was made up of seven people, all of whom were local nationals and all spoke English as first language. There were 5 females and 2 males, all between the ages of 21 and 28, from a variety of first-line manager / junior management positions within the hotel.

Focus Group 2: Within the same company and in similar circumstances, the second opportunity occurred a week later. I repeated the set-up and introduction process from Group 1. The location for the second group was in the South West of England. The group was made up of six people from a similar variety of junior supervisory positions within the hotel, responsible for managing people on shifts within their own departments, but not in main decision-making roles. There were 4 females and 2 males with 3 local nationals, 1 Irish and 2 Eastern European employees.

Firstly I explained that I had permission from their employing organisation to conduct research in their hotels, but that anything they shared with me would remain anonymous. I also explained that their participation was entirely voluntary and that there was no obligation to remain. Lastly I clarified that participation would involve answering a few questions about their own experiences at work.

For the concluding activity for the training workshop, I chose an exercise that required the group to stand up and move away from their seats. I did this deliberately so that there would be a change in the group energy and that the participants were not settled in their seats, so that if anyone wanted to leave as the focus group began, it was easier to do so. After the closing activity, I thanked everyone for their participation in the workshop and reminded them to take all their belongings when they left. The timing of our close coincided with afternoon tea being brought into our conference room. At this point, the workshop was closed and I invited anyone who wanted to participate in my research to take a tea-break and return in 15 minutes. I reminded them that any participation was entirely voluntary and confidential. During this time I rearranged the furniture so that the chairs were in a different part of the room and arranged in a circle. I considered that it was important to create a definite break in state between the workshop ending and my research beginning for several reasons:

- To create a choice for participation, so that people who did not want to stay could simply not return from the break

- To create a change of energy from closing the workshop to beginning something new

- To create a change of role, so that I was no longer the workshop facilitator

- To increase the opportunities for establishing rapport

- To create a new dynamic in the group by changing the lay-out of the room

I had pre-planned my questions and method based on the following criteria:

- I wanted the focus group to be finished within 60 minutes

- I did not wish to attribute specific answers to individual people, but rather to investigate collectively about some chosen concepts.

- I wanted to gather their experiences of contrasting critical incidents.

The strengths of choosing this method to collect data is supported by Fontana and Frey (1994) who suggest that focus group interviews *are useful for a number of purposes. They may be useful for an exploratory purpose, for example to test a methodological technique, a definition of a research problem or to identify key informants.* (Fontana and Frey 1994, p.365). Focus group interviews were selected as the methodology in this situation because:

- They are relatively inexpensive to conduct and often produce rich data that are cumulative and elaborative
- They can be stimulating for respondents and aid in recall
- The format is flexible (Fontana and Frey 1994)

However, in terms of its limitations as a method, Fontana and Frey caution that *this type of interview is not, however, without problems. The emerging group culture may interfere with individual expression, the group may be dominated by one person, the group format makes it difficult to research sensitive topics, "groupthink" is a possible outcome, and the requirements for interviewer skills are greater because of group dynamics* (Fontana and Frey 1994, p.365). Consequently, I was aware of the requirement to manage three specific issues:

- The interviewer must keep one person or small coalition of persons from dominating the group

- The interviewer must encourage recalcitrant respondents to participate

- The interviewer must obtain responses from the entire group to ensure the fullest coverage of the topi*c* (Merton *et al* 1956)

The questions asked were the same for both groups and related to influencing factors on their levels of commitment and some critical incident reporting on times when they felt most or least committed.

The questions related to commitment were influenced by the emergence of commitment through the literature as an influencing factor in inspirational leadership. Specifically they were:

1. Question 1: What influences your commitment to your work?

2. Question 2: Who is most likely to influence your level of commitment on a daily basis, from a choice of: General Manager, Line manager / Head of Department, Company?

3. Question 3: Please describe a work situation that resulted in you having a negative attitude or low level of commitment

4. Question 4: Please describe a work situation that resulted in you having a positive attitude or high level of commitment

3.6 Data Coding

Question 1: What influences your commitment to your work?

The answers to this question from all respondents were grouped into six key themes and then the themes interpreted and related to the FIRO dimensions of expressed and received behaviours:

Theme	Related to FIRO Dimension
1. Feeling aligned to the business / job / company	Inclusion,
2. Feeling part of the team, valued and appreciated	Inclusion, openness
3. Giving and receiving co-operation	Inclusion, control
4. Communication	Control and inclusion
5. Decision making and involvement	Control and inclusion
6. Levels of motivation, *"feeling focused"*	Inclusion and openness

Table 3.4: Influences on commitment related to FIRO Dimensions

Question 2: Who is most likely to influence your level of commitment on a daily basis: General Manager, Line manager / Head of Department, Company?

From the 13 respondents in both groups, the answers were:

General Manager	*6*
Line Manager / Head of Department	*7*
Company	*0*

Question 3: Please describe a work situation that resulted in you having a negative attitude or commitment

A critical incident or example was elicited from each individual about a situation which had a negative influence for their level of commitment and their verbatim comments were noted. Nearly all the critical incidents reported were about the behaviour of their managers. Only one individual reported on extrinsic influences and cited feeling negative at the time of receiving the last pay cheque when USC (Irish taxes) had been imposed. The respondent reported being *annoyed, feeling hard done by and as if I was working hard for not much.*

In an analysis of the text, I identified 2 emerging themes about the impact of:

- Lack of communication

- Lack of support

The themes were then interpreted and related, according to interpretation, to the FIRO Element-B dimensions of Inclusion, Control and Openness. These interpretations were subjective. For example, lack of support was interpreted as being related to the control dimension and the FIRO Theory proposition that the resulting feelings are related to competence and defensive reactions to being wrong, ashamed or humiliated. According to FIRO Theory, if the level of inclusion, control and openness meets individual needs and preference, then the resulting interaction will be more likely to create feelings of being valued, competent and regarded with warmth and affection.

My interpretation of their reports was that if the managers involved had been aware of the needs of these individuals and the relevance of appropriate and helpful behaviour on each of the FIRO Element B dimensions, then some of the negative outcomes could have been avoided completely or at least managed differently to achieve a more positive outcome.

Leading on from the critical incidents described above, in order to identify the particular management behaviours that caused a negative response, their comments were themed according to a subjective interpretation of the possible impact related to over or under behaviours of their managers in the Inclusion, Control and Openness (ICO) dimensions:

Employee experience of Management behaviour	ICO dimension related to management behaviour	
Being talked down to	Over-behaviour on control dimension, related to dominance	C
Laziness	Under-behaviour on control dimension and abdication of responsibility	C
Not being supported	Inconclusive – could relate to any dimension as supported was not explored beyond a generalised statement.	
The feeling of someone not having your back if something goes wrong (sic)	Control dimension and anxiety about failure with blame being avoided or assigned	C
Blaming and being blamed	Control dimension, related to fear of being blamed, humiliated, found to be not competent	C
Not getting information	Inclusion, related to communication and not being sufficiently involved and also control as lack of information may lead to getting it wrong	I C
Changes not being communicated	As above	I C
Confusion about different communication	As above	I C
Standards not being consistent	Control dimension – inconsistent standards of operation and service delivery	C
Not getting involved at all	Under behaviour on inclusion dimension, also control dimension under-behaviour and abdication of responsibility	I C
Taking credit that is not theirs	Control dimension – over behaviour to boost competence impressions	C
Leaving us alone and wandering off	Under behaviour on control dimension and avoiding responsibility. Under behaviour on inclusion dimension	C I

Employee experience of Management behaviour	ICO dimension related to management behaviour	
Getting involved at the last minute	Over behaviour on control - taking over tasks and under behaviour on inclusion by leaving it	C I
Expecting a lot but giving nothing in return	Over behaviour on control – demanding but not reciprocating	C
Supervising each other	Over behaviour on control	C
Saying one thing and doing another	Inconclusive – could be lack of awareness on any of the dimensions	
Getting in the way	Over inclusion and possibly over control – lack of delegation and assigning of authority	I C
Using me – to do their jobs	Over inclusion and under control	I C

Table 3.5: Management Behaviour reported from the focus groups correlated to FIRO Element B Dimensions

Question 4: Please describe a work situation that resulted in you having a positive attitude or commitment

Following on from the negative critical incident, I asked them each to give an example of a situation in which they felt a high level of commitment. This question was intended to provide some contra-evidence, but also was purposively positioned in order to provide a change of state by encouraging them to report on positive experiences. This was pragmatic planning on my part as I was conscious that this was my penultimate question and that some of the participants would shortly be leaving in order to commence their evening shift. I was aware of a mood of negativity being created and manifesting itself in facial expressions and non-verbal responses of some of the participants. I considered that it would be a disservice to them and to my sponsoring hotel client to allow them to leave in a negative frame of mind, so my intention was also to lift the mood by focusing on a more positive aspect for them to report on.

Responses were coded with subjective interpretations of which of their needs had been met according to FIRO Theory. Because this question involved reporting about affective feelings and reactions, these were coded against the FIRO (Feelings) and correlated to the behaviour

dimensions of Element B as: Significance / Inclusion, Capability / Competence / Control and Likeability / Openness.

1. When I show an interest in something and it gets discussed and followed up.	Needs met by feeling: Significant, capable	I C
2. Action taken with my interest, encouragement and commitment to my development.	Capable	C
3. Being praised	Capable / competent Significant	C I
4. When something is planned and perfectly executed, with everyone pleased	Capable / competent Significant	C I
5. The last two Saturdays, lots of customers in and the team working together – communications worked well, everyone pulled together and we had zero complaints	Capable / competent	C
6. HR knows I am keen to learn and has taken time and extra effort to support me	Significant and liked	I O
7. Meeting with my manager and exploring some new, good ideas	Significant and liked	I O
8. When dealing with regular guests and having "banter" and fun	Liked and significant	O I
9. Competitions and prizes	Capable / competent Significant	C I
10. When I am involved and the operation is running well	Significant and competent	I C
11. Achieving outcomes	Capable / competent	C
12. When my ideas are taken up	Capable / competent and Significant	C I
13. When I have enough time for training others	Competent – as a supervisor	C
14. Engaged in success and seeing planning efforts paying off	Competent / capable	C
15. Busy service or function being successful	Competent / capable	C

16. *Guests saying something about their satisfaction*	Competent / capable	C
	Liked / Significant	O/I
17. *The whole buzz and vibe of the hotel being busy*	Competent / capable	C
	Significant	I
18. *I just know in myself*	Competent / capable	C
19. *Operation running smoothly with standards up and improving*	Competent / capable	C
20. *Being engaged with people I work with and having fun*	Liked and Significant	O
		I

Table 3.6: *Positive Critical Incidents related to FIRO Element B dimensions*

3.7 Findings

The findings from both focus groups indicated that commitment to work (Question 1) was influenced by leadership behaviour as the responses related to the working environment and culture. The leadership behaviours have an active influence on the culture and environment as well as factors such as decision making and communication. The leadership team within the hotel were also more influential in creating the environment for commitment than the owning company and line managers were the strongest influence of all (Question 2).

The critical incidents reported in Question 3 as resulting in reduced commitment were directly related to the behaviour of managers, apart from one that related to a tax deduction. FIRO Element B dimensions were relevant to the reported critical incidents, expressed in management behaviour and received by front line employees. Some leader behaviours were assigned to individual line managers and others to the collective management team. All behaviours resulting in reduced commitment were in the dimensions of control (17) and inclusion (9) and excluded openness.

In contrast, the positive examples in question 4 are not reported as being significantly influenced by manager behaviour. The behaviour from managers results in instances of positive commitment from praise, *"being praised" and* listening to and showing interest in development is cited in five examples as shown in Table 3.7, over page:

1. *When I show an interest in something and it gets discussed and followed up.*

2. *Action taken with my interest, encouragement and commitment to my development.*

3. *Being praised.*

4. *HR knows I am keen to learn and has taken time and extra effort to support me.*

5. *Competitions and prizes.*

Table 3.7: *Comments related to positive commitment and directly influenced by management*

However, self-management and intrinsic motivation principles are also contributors - "*I just know I myself*". Therefore, from this small sample, it could be inferred that even at the level of supervisory duties in the focus group, there is evidence of the individuals taking responsibility for the managerial aspects of their job. Using the conceptual framework for inspirational leadership, the remaining fifteen comments, were correlated with the variables of self-leadership as shown in Table 3.8 below:

Self-leadership	Individual trust	Team trust	Self-efficacy	Team potency	Individual commitment	Team commitment
When I have enough time for training others. *Achieving outcomes*	*When my ideas are taken up*	*Operation running smoothly with standards up and improving.* *Being engaged with people I work with and having fun*	*I just know in myself (sic)* *When I am involved and the operation is running well* *When dealing with regular guests and having "banter" and fun*	*When something is planned and perfectly executed, with everyone pleased.* *Guests saying something about their satisfaction*	*Engaged in success and seeing planning efforts paying off* *Meeting with my manager and exploring some new, good ideas*	*The whole buzz and vibe of the hotel being busy* *Busy service or function being successful* *When something is planned and perfectly executed, with everyone pleased*

Table 3.8: *Influences on positive commitment applied to the inspirational leadership conceptual model*

The original purpose of the focus groups was to explore the influence of leader behaviour on line employees and their level of commitment and the findings from this limited sample suggested that leader behaviour did directly influence the level of commitment in a negative experience, but self-leadership and shared leadership factors influenced the presence of positive commitment in addition to management behaviour.

3.8 Conclusions from Cycle Two

This Cycle provided valuable data required to inform the design and content of the leadership development programme, aligned with the requirements of the client system. Specifically, the questions which had now been answered as a result of the enquiry were:

3.8.1 Question 1: What models of leadership can be drawn upon to identify an appropriate leadership fit?

There was little evidence to support a transactional model or style as constituting a cultural fit for the reasons explained previously. Reviewing the literature revealed a broad range of models under the neo-charismatic genre including self-leadership, neuro leadership and authentic leadership, as well as inspirational leadership. Other leadership styles, for example Servant Leadership and Participative Leadership were deliberately omitted from the literature review based on a practitioner preunderstanding that these would not provide a suitable fit for certain senior executives within the organisation. The relation of the style to the fit in this case consisted of a number of factors, such as the individual and team elements, the service elements of the leadership responsibilities and fact that no one best style exists.

3.8.2 Question 2: To what extent is there a theoretical justification for inspirational leadership?

As an emerging concept in the genre of neo-charismatic leadership theories, Inspirational Leadership was explored in the literature as on the surface it was based on values that were congruent with those of the organisation.

The review of the nature of leadership development had identified the concept of inspirational leadership and where it is currently located as a genre. Although little has been written about it, there was sufficient evidence was a reasonable fit and set of assumptions on which to base the design and content creation for a programme that would develop individuals as leaders, the leadership culture of the management team and align with the strategic requirements of the organisation.

Although not many articles have been written about inspirational leadership, within the neo charismatic domain, there are ample sources on which to draw providing scope to develop my own framework to fit within this case. The work of Joshi *et al* (2009), drawing attention to the relevance of inspirational leadership in creating team identity and developing socialised relationships, was a good fit for this purpose as well as amplifying the concepts of trust and commitment as these were further aligned to the values of the organisation.

Sufficient evidence was found to legitimise it and therefore, both for pragmatic reasons and relevant to the setting, it was selected as the style central to the design of the development programme with modifications.

3.8.3 Question 3: How far can the appropriateness of FIRO dimensions of behaviour to leadership teams and individuals be demonstrated in this setting?

The findings from the focus groups supported the possibility that leader behaviour had an impact on line employees and their level of commitment and the FIRO dimensions of inclusion, control and openness in the context of leader behaviour and impact on direct reports had sufficient relevance in this cycle to be of interest at individual and team level and had been aligned with the DLB of the organisation during Cycle One. Inappropriate levels of control and inclusion created dissatisfiers in incidents related to reduced commitment and appropriate levels and supported my view that the use of FIRO as the behavioural instrument was relevant for this case. As a facilitator, identifying behaviours that could be modified or changed, dialled up or down to benefit the team and individuals and encouraging self-observation to minimise dysfunctional behaviours were also factors to consider for the design, creating the opportunity to improve their understanding of each other through engaging in an open exchange of information and cognitive based trust in developing greater self-efficacy and team potency.

Conclusions from the corroboration of cross mapping FIRO with the SCARF model strengthened the appropriateness of FIRO as a strong theme within the emerging model for inspirational leadership. The emergence of other factors supported the component parts of the meso-level model of inspirational leadership. A further conclusion drawn from conflating the two models was that FIRO had the potential to create an effective vehicle for developing inspirational leadership through increasing levels of affective-based trust, related to the openness dimension, if the programme design allowed for participants to get to know each other better and to form stronger personal links and emotional ties.

From this cycle, sufficient evidence existed to support my choice of FIRO as the core model for the interventions and to validate the paradigm of inspirational leadership as the central theme in the design of the programme.

4) Cycle THREE:

Delivery and evaluation of short term outcomes

4.1 Chapter Introduction

The combined findings from cycles one and two informed the content and methodology for the delivery of the ILP to meet the client requirements at the defined individual, team and organisational level. The synthesis of FIRO with the conceptual framework for inspirational leadership (figure 3.3) arising out of the research created a central theoretical theme and identity for the programme

The programme consisted of a team workshop in the form of a classroom event, followed by a team review session. The workshop was 48 hours' duration, held from 4pm on day one, through to 4pm on day three. This event was residential so that participants had two evenings in which to further engage on a social basis with each other. A decision was made to hold the workshops in non-company venues to allow participants the space and time to focus on the experience and not be distracted by operational responsibilities if their own hotels were used. This added to the investment cost and I was fully aware as the practitioner contracted to deliver the ILP that *team building interventions are expensive. There are always both direct and hidden costs associated with them* (Rushmer 1997, p.244). This created a strong responsibility for thorough evaluation. The review session involved a half-day structured workshop with each team, some weeks following the ILP workshop.

At the core of the ILP was the requirement to provide the individual participants and leadership teams with an understanding of inspirational leadership and to support them in developing a relevant style and awareness of the impact of their individual and collective behaviour in line with the conceptual framework developed in Cycle Two and aligned with the strategic aims of their organisation. The programme style was highly experiential in design (Kolb 1984) and in each workshop, the participants engaged in participatory action learning as teams were brought together in a form of social process to learn from each other's experiences. There was a significant *emphasis on studying one's own situation, clarifying what the organization is trying to achieve, and working to remove obstacles* (Kemmis & McTaggart 2000, p.274). In order to maximise the social process, learning was derived from experiences in the present and *the investigation of actual practices and not abstract practices* (Kemmis & McTaggart 2000 p.277).

This real time investigation also provided opportunities for developing greater awareness and exercising of choice, both of which are core principles of FIRO Theory.

The deployment of FIRO Theory in this situation was intended to facilitate an understanding for participants of their own emotional and behavioural reactions and the connections between them, whilst keeping each individual safe from over-exposure or excessive self-disclosure in a situation where they were present because their employing organisation mandated their attendance. In terms of small group theory it involved working closely with both the manifest and latent aspects of the different dynamic in each group. Native speaking associate facilitators were present where required. This enabled participants in groups to work together, express themselves authentically and react to each other spontaneously in their own language. The key concepts of FIRO Theory were reported as being efficient and appropriate for enhancing these conditions.

The methods involved discursive conversations with FIRO Element B as the psychometric instrument intended to facilitate reflexivity. The tools provided for participants consisted of a comprehensive learning support pack containing a selection of didactic materials including relevant hand-outs from various sources and a bespoke interactive workbook that contained explanations for the FIRO Theory concepts of the programme and the synthesis with their organisation behavioural model, together with interactive content. The interactive content was designed to assist transfer of learning to the workplace for at both individual and the team level.

The outline of the workshop followed the same structure and rationale each time, but adjustments were made according to the dynamic and reactions of each individual group. Therefore within each workshop there was a range of decisions and choices, many made as *reflections-in-action* (Schön 1983) to make the intervention appropriate to the individual participant and / or group.

The final participant population for the programme was the Regional Management team for each of the separate geographical regions followed by the management teams for each hotel in the regions. The most senior position in the organisation workshop participation was therefore at Regional Management level. Senior executives did not take part.

In terms of scope of the programme, in total, 27 ILP workshop events were delivered in four different languages and across three geographic regions within a 6-month timeframe, with the same lead facilitator for each one, in order to maintain consistency of delivery. The number of individual participants totalled 324, representing approximately 16% of the organisation's workforce, with a high saturation at senior operating level within each regional and hotel management team.

As the final stage in a generic ADDIE (analysis, design, development, implementation, evaluation) instructional design framework (Dick & Carey 1996), this chapter describes the practitioner-researcher activities in conducting a four-level evaluation of the ILP and reviews the strengths and limitations of this traditional evaluation framework in the literature.

It concludes with a summary of strengths and limitations of this evaluation framework when applied to this setting, makes recommendations for future practice and leads to a further and final cycle of research into the nature of training transfer.

4.2 Focus of Enquiry for Cycle THREE

The initial enquiry focus for this stage was influenced by practitioner pragmatism in meeting a requirement to evaluate the workshops and provide the client stakeholders with sufficient summative data of outcomes achieved from the ILP. The stakeholder requirement was for a traditional four-level evaluation in line with existing organisation practice. As a framework for evaluation, the four-level approach is widely used by practitioners in the field of HRD. The cycle overview is at Table 4.1 below:

Research cycle	3
Intervention Phase	Evaluation
Research cycle purpose	To evaluate the impact of the programme on participants and identify tangible outcomes of the ILP
Research question	What are the strengths and limitations of the traditional four-level evaluation of an intervention of this sort?
Research method	• On-line surveys to all participants • Observation and semi-structured questions; sample of participant teams • On-line survey; sample of hotel managers
Literature review area	Evaluation of training

Table 4.1: Cycle 3 Outline

4.3 A Review of the Literature on the Evaluation of Training

Evaluation has been defined as the systematic collection of data regarding the success of training programmes (Goldstein 1993). From a systems' perspective, evaluation is a *set of planned, information gathering and analytical activities undertaken to provide those responsible for the management of change with a satisfactory assessment of the effects and / or progress of the change effort* (Beckhard and Harris, 1977, p.86).

Holton asserts that *evaluation of interventions is among the most critical issues faced by the field of human resource development (HRD) today* and suggests that *there is a critical need for new evaluation theory and research to give organisations a more sound methodology for allocating HRD resources* (1996, p.139).

Kraiger *et al* propose that constructive evaluation occurs when specified outcome measures are conceptually related to intended learning objectives and that evaluation is conducted to answer either of two questions:

- *Whether training objectives were achieved (learning issues) and*

- *Whether accomplishment of those objectives results in enhanced performance on the job (transfer issues)* (1993, p.311)

In this case, evaluation was an essential HRD practitioner activity to determine if the training event had achieved its objectives and to gain feedback on the methods and processes used in order to improve the quality of the training and inform practice in the future. However, for any HRD practitioner to fulfil a role and responsibility for designing and delivering interventions that achieve organisational change, then I would argue that answers to both questions are of equal importance. However, proving causality between a programme and demonstrable business results is problematic and it can be difficult to find persuasive evidence that the programme produced results (Ibbetson and Newell 1998). Therefore a basic assumption from the outset of this cycle is that outcomes from training interventions are multi-dimensional and that evaluation should take a construct-oriented approach.

Historically, (Kraiger *et al*) the most popular construct is the four-level evaluation model proposed by Kirkpatrick (1987). Kirkpatrick identified four levels of evaluation: trainee reactions, learning, behaviour and organisational results. The model conceptualises learning as a causal result of both positive reactions to training and a determinant of change in learner behaviour (Alliger and Janak 1989), although an alternative view is that learner reaction

measures are increasingly shown to be insufficient indicators of training effectiveness and impact (Ruona *et al* 2002).

The assertion that *without learning, no change in behaviour will occur* (Kirkpatrick 1987, p.51) is challenged in the literature. The counter argument is that learning is a necessary but insufficient condition for behavioural changes on the job (Noe and Schmitt, 1986).

Various modifications have been made to the original four level evaluation model over the years, such as adding a fifth level to focus more specifically on return on investment (Phillips 1991) or to reflect the value of training to other organisation success criteria such as societal value (Kaufman and Keller 1994) and economic benefits of human good (Hamblin 1974). A six-level model proposed by Brinkerhoff (1987) added two formative evaluation stages.

Although Kirkpatrick's four-level evaluation model and the subsequent modifications have contributed to conceptual thinking about evaluation and become the dominant model, acknowledged by many practitioners as the standard in the field (Holton), Kirkpatrick's model has received considerable criticism since its inception. One criticism is that there is little detail about what constitutes learning and how learning outcomes should be assessed (Kraiger *et al* 1993). They assert that there is a lack of clarity regarding the expected changes as a result of trainee learning and appropriate techniques for assessing the changes. It is also not clear if the learning of skills and facts are treated as synonymous and should be assessed in the same way. Therefore an initial shortcoming of the model is that training outcomes are treated in a simplistic and unidimensional way.

In addition to how the outcomes should be assessed, there is a lack of clarity regarding how the data should be collected. De Meuse and Liebowitz propose that evaluation measures should include a variety of:

- *Anecdotal evidence*
- *Simple reaction measures*
- *Behavioural changes*
- *Organisational changes* (1981, p.364)

A further proposition arises in that, although commonly used by practitioners as a template for evaluation, the original model and later modifications have *received incomplete implementation and little empirical testing* (Holton 1996, p.6). Holton also asserts that rather than models, they are all classification schemes and thus best labelled as taxonomies of training outcomes (Holton 1996). Taxonomies are not validated as, by definition, they classify rather than define and

therefore do not fully identify all the underlying constructs. The models and taxonomies outlined above are generic for a wide variety of forms of learning and training.

Alliger and Janak (1989) assert that the Kirkpatrick four-level evaluation model helps practitioners to think about evaluation criteria through a rough taxonomy and has the advantages of simplicity. However they identify and strongly challenge three implicit assumptions that lead to over simplification and generalisations. These are that the steps are a hierarchical arrangement in ascending value of information, that the steps are causally linked and thirdly that they are positively correlated. I support the view that these assumptions can lead to over-simplification and generalisation and that positive reactions to training are not simplistically or causally related to the effectiveness of learning and note that the implied causal relationships between each of the levels have not been demonstrated by research (Alliger and Janak). *Kirkpatrick's model provides a vocabulary and rough taxonomy for criteria. At the same time, Kirkpatrick's model, through its easily adopted vocabulary and a number of (often implicit) assumptions, can tend to misunderstandings and overgeneralizations* (1989, pp. 331-332).

Although the evaluation of leadership development specifically has received increasing attention over the years (Packard and Jones 2015) in contrast *the proportion of programmes which are systematically evaluated with results published is small* (McCauley 2008 p.25) and *to date, few comprehensive models to guide evaluation research and practice in the field of leadership training and development have appeared in the literature.* (Clarke 2012 p.441).

A further challenge with the evaluation of leadership programmes arises with a key question about what outcomes are actually being evaluated. In a summary of a series of reviews of leader development books, Arbaugh suggested that *the study and practice of leadership development appears to be in the process of defining its domain* (Arbaugh 2006, p.524). Day proposed that leadership development includes not only the development of human capital, where the focus is on developing individual knowledge, skills and abilities but also the development of social capital with the building of relationship networks, enhancing cooperation and resource exchange within the organisation (Day 2001).

A further conceptualisation is that leader development should create transformative changes in the leader's meaning structures and world view, and the theory of practical intelligence and tacit knowledge as expertise to be developed in leaders is the focus for Antonakis *et al* (2004) In their study conducted in the public sector, Packard and Jones (2015) propose assessing changes in self-efficacy and job performance of programme participants. Self-efficacy can be defined as beliefs in one's abilities to mobilise the motivation, cognitive resources and courses of action needed to meet situational demands (Hannah *et al* 2008).

McCauley suggests that evaluation of leadership programmes should go beyond the common focus on individuals and *their impact at the group, organisation and even industry and society levels* (2008, p.29). Therefore evaluation of leadership development programmes transcends the issues of measurement and design for individual achievement of learning outcomes and becomes one of measuring training effectiveness.

Other aspects of the literature suggest an identification of three broad themes of development outcomes: behavioural, affective and cognitive, with each of the three themes occurring at the individual, relational or collective level of analysis (DeRue & Myers 2014). Four distinct categories of requirements at the individual level are identified in a leadership skills strataplex proposed by Mumford *et al* (2007) as cognitive skills, interpersonal skills, business skills and strategic skills.

Meta-analytic reviews have been conducted, summarising the available research that examines the effectiveness of leader development programmes. One meta-analysis conducted by Collins and Holton (2004) studied 83 leadership development programme studies and identified possible outcomes including knowledge, expertise through performance or behavioural change and system change – for example job satisfaction, commitment to the organisation, group effectiveness reduced costs or quantitative or qualitative improvements.

70 studies conducted from 1951-1982 were included in the analysis of Burke and Day. *The Burke and Day analysis is often cited as empirical support for the effectiveness of leader development programs* (McCauley 2008, p.26). In this study, effects were examined by a set of 5 criterion measures:

(1) Subjective knowledge/learning: Knowledge and skills learned based on judgments of the participant or trainer.

(2) Objective knowledge/learning: Knowledge and skills learned based on objective means, such as number of errors, number of solutions reached, or standardized tests.

(3) Subjective behaviour: Changes in on-the-job behaviour as perceived by participants, or global perceptions by peers or a supervisor.

(4) Objective behaviour (Collins & Holton 2004 only): Observed changes in on-the-job behaviour or supervisor ratings of specific observable behaviour.

(5) Objective system results: Tangible organisational results, such as reduced costs, improved quality and quantity, and promotions. (Burke and Day 1986)

In the field of leadership development, *future research needs to continue examining the role of individual differences and situational variables on the leader's developmental path, to take a more comprehensive look at the total path, and to focus more attention on the process of learning from developmental experiences* (McCauley 2008, p.2).

4.4 Conclusions from the Literature

In summary from the review, it was clear that the scope for evaluation of leadership development programmes is complex and multi-level and the literature is equally diverse. How it informed the methodology for collecting the data is explained in section 4.5.

Amongst the conclusions from the literature is a proposal that training evaluation remains relevant for HRD practitioners in order to assess the effectiveness of training design and delivery and that the four-level framework provides a simple and rough taxonomy for criteria. It therefore has an arguable strength in helping practitioners to think about the areas that may be explored as part of an evaluation exercise. However, there is a corresponding lack of clarity about what to evaluate and how to do so or what specific changes are required and how to assess them. Therefore it has severe limitations in being over-simplified and generalised. This is especially relevant as a limitation in the field of leadership development training where complex outcomes are required.

In addition, the assumptions it is based on may pose risks in the field as the steps are not hierarchically organised in ascending value, causally linked or positively correlated. If the practitioner is guided by the same assumptions, then they risk collecting evaluation data that does not translate into meaningful findings, for example a positive response at reaction level, through use of the notorious "happy sheet" given at the end of training, but no tangible effect at other levels. Or being simply unable to prove causality or attribute any change to the training given.

Other conclusions drawn from the literature on the four level evaluation model were that levels one and two are concerned with reaction to the training, short term impact and whether learners have achieved the individual or collective learning outcomes. Data for these levels are relatively simple to design and collect as they can be assessed before the learners leave the training environment, or indeed can be tested shortly after. Limitations to evaluation effectiveness may arise if time and attention are paid to these at the expense of considering training effectiveness at other levels. In a 2009 research summary, the American Society of Training and

Development (ASTD) reported that 92% of respondents said that they measure at level 1, but the evaluation activity and use of the model reduces dramatically with each consecutive level.

Levels three and four are then concerned with a level of longer term application of learning and the issue of training transfer. The requirements for measuring training transfer are complex and multi-level and my conclusion is that it is inadvisable to rely on one single model for evaluation, especially in a complex setting such as leadership development.

My further conclusion is that the four-level evaluation model, whilst offering a basic and simple framework for beginning evaluation, is really only suitable in situations where simple skills are being taught and expected to be transferred. For a physical skill such as construction or manufacturing in a regulated system of operation, it is possible that the four level framework would be sufficient. An example would be in the training of using Personal Protective Equipment (PPE). Evaluation of a simple training session could be tracked through the four levels to a level three change in behaviour in the work place, with trainees visibly wearing and using their PPE and a level four impact could be a reduction in personal injuries as a result of PPE. The paradox is that level one, reaction is less relevant when evaluating a legal requirement such as the use of PPE. In training situations requiring changes in attitude and more subjective knowledge and behaviours, then the single model is highly unlikely to be sufficient for a rigorous evaluation. There is also an apparent absence of conceptual models for the evaluation of training beyond those related to the traditional four-level evaluation model, even though it receives considerable criticism.

Of further interest was that the evaluation models are based on the entire training experience and do not differentiate between a pre or post training activities and how they might contribute to the quality of experience. This was included as a feature of the data collection at individual level.

For the purposes of evaluating the ILP in this case, a conceptual model was created through the synthesis of aspects in the literature. Firstly, utilising the Burke and Day analysis criteria for effective leadership development (1986) as cited in the literature, that suggests a consideration of subjective and objective knowledge and behaviour, combined with the levels of impact derived from Cycle One led to the second iterations of an intervention impact model as seen at figure 4.1, over page:
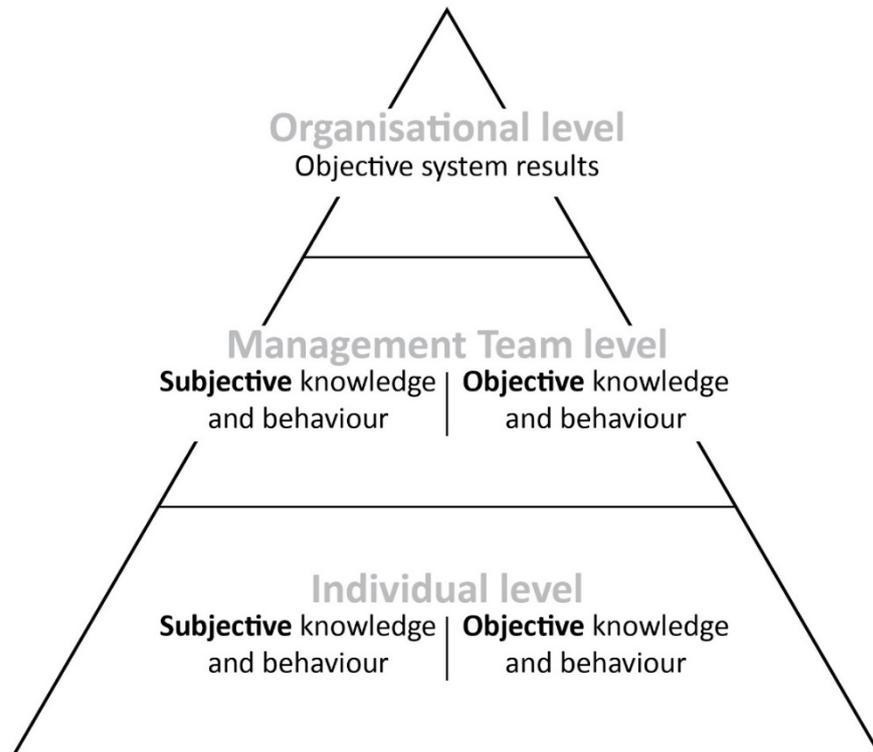
Figure 4.1: Intervention impact model 2: Evaluation outcomes

In taking account of the different level of requirements of this case and combining the dimensions of behaviour and knowledge, it provided a basis for the design of the data collection methods in order to be able to evaluate outcomes at each level.

It was intended that this simple model would provide a framework for considering the design of the evaluation methodology in this case and described in the next section.

4.5 Data Collection for Cycle THREE

In order to meet the evaluation criteria required to populate the conceptual model described in the previous section, the data were gathered using three methods for each of the required levels:

- At individual level: An electronic survey

- At team level: Observation and semi-structured questions with a sample of participant teams at their follow-up event, followed by a summative survey for General Managers (GMs)

- At organisational level: Results from the employee engagement survey and other organisation metrics.

The individual survey was closely related to the four-level evaluation framework, as requested by the client. However, as a result of the literature review conducted, the other methods were designed to strengthen the evaluation process and counter-balance the limitations of the four level model. In addition to the levels of analysis, the conditions suggested by De Meuse and Liebowitz (1981) were also considered in the design of the collection method:

- *Simple reaction measures and reports of behavioural changes*: were collected via an electronic survey to all participants immediately following the workshop to collect data on reaction measures, reports on initial behavioural changes and accounts of intended changes.

- *Anecdotal evidence and reports of behaviour changes*: were gathered through direct questions, observation, anecdotes and reports collected at the follow up event after the ILP workshops.

- *Organisational changes,* a review of outcomes via a managers' survey and key metrics and results identified from the beginning of the project.

The next section provides further detail about each of the data collection methods:

4.5.1 Data Collection: Individual level

On their return to work and during the week directly following the workshop, an invitation to complete the survey was emailed to all participants of the ILP. The aim of this survey was to collect simple reaction measures and evaluate the effectiveness of the intervention within the immediate and short term period following the workshop. It was also intended that completion of the survey would provide participants with an opportunity to reflect on their own learning and to assist with transferring learning back to the workplace through specific questions about behavioural changes, future intentions, levels of confidence in using new skills and the value of the experience to them.

The electronic participant survey was relatively easy to administrate and distribution via email provided a solution for the geographic spread of the participants and made returning responses a simple process for them. The survey design was loosely based on Kirkpatrick's (1987) four-level evaluation model with a view to assessing the four levels of trainee reactions/participant satisfaction, skills and knowledge acquired, changes in behaviour and changes in organisational outcomes. This was a decision influenced by the organisation politics as it was a construct understood and requested by the client. For organisation political reasons, the trainee reaction was also a significant element of evaluation.

The survey consisted of twenty-one questions designed to collect data about three key aspects of their ILP experience:

1. **Pre-Workshop:** Including the communication process and quality of information received prior to the workshop. This section contained questions designed to explore the effectiveness of communication before the workshop and also to gain some insight into some of the feelings and concerns that people may have had at the point of entry. This information was partly procedural so that feedback could be gained on how effective the pre-workshop processes of communication had been. It was also an opportunity to explore how people felt about attending related to pre-training motivation and how this might impact on their training experience. The interest to explore the participant's feelings before attending the workshop was in case this might inform my practice for preparing participants for this type of intervention in future. In a meta-analysis conducted by Colquitt *et al* (2000) anxiety produced negative correlations with transfer and every training outcome examined. Naquin and Holton (2002) found trainees with positive feelings to have higher motivation to improve their work performance through learning and Quinones (1995) found that motivation to learn was a key variable linking pre-training characteristics and training outcomes.

2. **Workshop Experience:** Equivalent to levels one and two of the four level evaluation framework, this section of the survey asked for information about satisfaction levels with the workshop experience including content, style and support materials, facilitator style and presentation, overall learning experience and knowledge including principles attitudes and skills learnt during the training.

3. **Change as a Result of the Workshop:** Including free-text opportunities for subjective anecdotal descriptions of behavioural changes for individuals in the workplace or relationship and performance improvements as a result of the workshop experience and related to levels three and four of the four-level evaluation framework.

A copy of the survey can be seen at Appendix 2

The style of the survey was a mixture of Likert-type scales (1932) and semantic scale responses to certain questions and free-text boxes to capture further details. The final section of the survey provided scope for participants to make suggestions, comments and respond to a net promoter score question (Reichheld 2006) asking if they would recommend the programme to others, based on their experience.

The survey was produced in English, with a version translated in the relevant languages. Where free text boxes were completed in the native language, they were translated back to English for analysis. Freedom to respond in their own language was intentional to avoid responses from impoverished or restricted linguistic code (Bernstein 1961). It was important to collect what they really thought and experienced, rather than what they had the language to describe. Anonymous data from these surveys were shared with the key stakeholders in each region as an interim project review and as summative evaluation, with participant anonymity maintained throughout.

In terms of validity of data, I was aware of potential limits posed by the fact that it was me as the facilitator collecting data on the effects of my own intervention, maintaining objectivity and avoiding polite and positive responses. For this reason the requests to participants and the analysis of data were managed by a colleague not known to the respondents, so that they did not feel pressured to respond positively and the data could be analysed objectively. The electronic survey was sent to everyone who attended the workshops. The response rates are shown in Table 4.2 below:

Region	Numbers Attended	Responses Received	% of Total Participants
Region A	170	113	66.4%
Region B	67	43	65.1%
Region C	87	67	77.0%
Total	324	223	68.8%

Table 4.2: Response rate from participant electronic survey

In total, the aggregate response rate for all three regions was 68.8%. One of the gaps in the research that should be considered for future studies is that data was received only from those who chose to complete the survey. Therefore there is a question of response bias, particularly if those who chose to respond to the survey were the individuals that were most engaged in the content and experience. I accept these as limitations in my data collection.

4.5.2 Data Collection: Team level

As described earlier, part of the programme design was for each team to re-convene for a follow-up event some weeks after the ILP workshop. The follow up event was in the form of a half-day facilitated and semi structured meeting where each management team was gathered back together and tasked to discuss their progress, changes and achievement of action plans

since the workshop. Any new members of the team could also be brought into the process and share some of the experience.

The sample of follow up events at the time of collecting data for this study was as shown in Table 4.3, below:

Region	Number of workshops	Follow-up completed
Region A	10	6
Region B	7	7
Region C	8	7

Table 4.3: Completion of follow-up events

The follow-up sessions were held in their own hotels. The manager of each team was contacted beforehand, and in most cases a preliminary telephone dialogue was held to re-establish connections, discuss any developments or key changes in the team, business or personnel issues and define short term objectives. Using learning gained from the individual survey and experiences before attending, bespoke joining invitations were sent to each participant in advance, customised for each team and detailing the content and aims of the follow up sessions. These invitations informed them of the possibility of a research agenda. The stated aims of the follow up event were to:

- Review and reflect on the ILP workshop and report on changes since attending
- Revisit the key Inspirational Leadership principles and connect them to experience in the working environment in order to further transfer the DLB into their practice
- Create a plan for further development and future action

The planned content and outcomes were shared with each team via the joining invitations and as a visual display during the introduction phase of each follow up event. After brief inclusion activities, agreement on the aims and outline of the session and orientation, the participants were divided into smaller groups and tasked to discuss and answer the first questions: *Since returning to work after the workshop:*

- *What changes in behaviour or knowledge have you noticed in yourself?*
- *What changes in behaviour or knowledge have you noticed about other ILP participants in the team?*

Responses were discussed in the small groups and later combined in a plenary session with the whole group.

During the plenary session, groups were asked for their permission to record what they were reporting for the purposes of research and confidentiality boundaries explained. Consent to do so was given in each case. Field notes were taken of their discussions and reflected back to the group to check accuracy of recording, interpreting and to allow further questions for clarification. Key points were also reflected back to the manager in the subsequent Managers' Survey.

Agreed outcomes from the follow-sessions were recorded in the form of an action plan for the team for the remainder of the calendar year, with personal and team commitments made and recorded by the manager for each team. As well as being a pragmatic activity, the intention was to create a basis for further and longer term evaluation if required.

Solansky (2010) noted that evaluation *based only on self-reports may be subject to bias*, so to address this potential limitation the participant reports of workplace outcomes were corroborated by their General Managers with a confirmation survey.

The starting point for the survey was to remind the managers of the desired outcomes for their teams expressed during the diagnostic phase and reported in cycle one. The outcomes and reported changes from each follow up event, as explained in the previous section, were incorporated and reflected back to the team managers. The sample surveyed was all General Managers in two out of the three regions. The survey included questions in the areas of:

- Overall programme outcomes related to meeting original needs
- Satisfaction level with programme outcomes for their team
- Changes in performance (behaviour and knowledge) in individual participants within their team
- Rating of importance in any changes of performance (behaviour and knowledge)
- Commercial outcome results that could be attributed to the ILP
- Feedback / satisfaction level with the follow up session

In total 9 responses were returned. 5 responses were received (out of 8) from Region C and 4 (out of 7) from Region B, representing a 60% return rate from a very small sample.

Data were collected from regions C and B only and this survey was not issued in region A because of timings and completion of follow up activities at the time of submission.

4.5.3 Data Collection: Organisation Level

The success criteria at organisation level for the ILP had been agreed with the client and key stakeholders during the diagnostic stage as identified earlier in cycle one.

These were refined further with an organisation level set of metrics devised by using the six statements from the employee satisfaction survey as explained previously (47). The employee survey metric allowed for a consistency of measurement across all regions of the organisation.

The survey data were analysed as a desk review and compared year on year for the whole organisation, but this data and the collection method is outside the scope of this account.

4.6 Findings

Because of the time between the different methods of collection, each set of data was analysed individually:

> 4.5.1 The individual level with the participant electronic survey
> 4.5.2 The team level with the follow up event and General Managers' survey
> 4.5.3 At organisational level with the employee engagement survey

4.6.1 Findings: The Individual level

The individual survey data were analysed in three separate sections:

- Pre-Workshop Experience and Communication
- The Workshop Experience
- Workshop Outcomes

The Workshop Experience section of the participant survey asked about the workshop experience: Questions 8-12 were concerned with the logistics, arrangements, facilitator and materials provided. Question 13 was asked with the purpose of ascertaining overall satisfaction levels in selected areas and using a scale from strongly agree, agree, disagree and N/a in six areas. Whilst this information was helpful at a practical level, I have chosen not to include these within this study because the main focus of my enquiry was to evaluate the impact and not satisfaction with delivery.

The key questions remaining from the survey were related to how individuals were planning to use the learning back in the workplace, expressed as workshop outcomes. The response to the net promoter question (21) on the individual participant survey showed an average of 96% of

respondents confirming that they would recommend the workshop to others. In some ways, this final aspect of improvement in the employee satisfaction results could have been sufficient to satisfy my own internal questions about effectiveness of the ILP.

Pre-Workshop Experience and Communication - the responses in the free-text boxes relating to feelings before attending were coded into four categories:

1. Excited
2. Curious
3. Anxious / Apprehensive
4. Other – *for any comments that did not fit the other categories.*

Some comments scored in more than one category. For example:

- *Not sure what to expect of the course, but looking forward to it and to connect with my colleagues* (interpreted as curious and excited)

- *With appropriate nerves looked forward to the training* (interpreted as anxious and excited)

- *Excited about what we were going to do, learn and to get to know each other in the 3 days. A little sceptical as well as we have had more team buildings in the past.* (Interpreted as excited and apprehensive)

Whereas with others, it was easier to interpret their meaning and allocate to a single category:

- *Due to my situation I was very nervous and stressed. I was not sure if I could manage to participate all days in full. Furthermore I did not know in full what to expect.*

- *I felt a little nervous because of a negative experience during a previous teambuilding.*

In these examples, the category allocated is anxious / apprehensive.

In the *other* category comments were included that did not fit the first three groups, for example:

- *Before attending my attitude was a little sarcastic because of the term 'inspirational'. I normally have my own preferences on how and who inspires me.*

In this category there were also comments about workload, timing and sceptical views about previous training attended. The final coded data results are shown below in Table 4.4:

Region	Excited	Curious	Anxious	Other
C	31	18	7	6
B	25	12	7	5
A	56	16	44	5
Total	112	46	58	16

Table 4.4: *Coded responses for Question 5 and feelings before the ILP Workshop*

In order to explore the participants' intentions, outcome hopes and motivations before attending the workshop, comments in the free-text boxes for the related question were analysed and the content coded into four categories:

1. Comments related to self, self-knowledge, self-learning and receiving feedback
2. Comments related to others in a relationship context
3. Comments related to improving team process of functionality in some way
4. Other comments, including no expressed hopes, not knowing what to expect etc.

Some comments related to more than one category. For example, desired outcomes at both individual and team level:

- *To build better relationships with my colleagues and understand more about my nature in decision making and working in an office environment*
- *Find out about myself and get to know my fellow colleagues.*
- *I was hoping to get to know the team better and also take it as an opportunity to learn more about myself and think about personal work goals for 2012.*
- *Improving my leadership skills and interpersonal relationship with my fellow colleagues.*

Whereas others were straightforward in their meaning and category:

- *To get to know the team better.*
- *Unity, to get to know my colleagues better.*
- *Increased communication between Heads of Departments and departments.*

The category of *other* included any comments that did not fit the first three groups, for example:

- *Hard to say without knowing what to expect.*
- *To be honest, prior to the workshop I did not have any hopes and expectations to achieve anything. I went there with an open mind.*

The final coded data results as shown in Table 4.5 were:

Region	Self-Knowledge and learning	Team issues Relational /Social	Team issues Functional/ Procedural	Other / unsure
C	16	23	32	1
B	9	11	23	2
A	55	41	33	9
Total	80	75	88	12

Table 4.5: *Coded responses for Question 6 and hopes for attending the ILP Workshop*

For a question asking about concerns before attending, all verbatim comments from the free-text boxes of the survey were analysed and correlated with the FIRO behavioural dimensions of inclusion, control and openness in order to inform future practice and the preparation of pre-course information in a similar setting. Responses were interpreted as to whether the root for concern, where reported, might be:

- *Related to inclusion and significance*
- *Related to control and competence*
- *Related to openness and likeability*
- *No concerns expressed*

Examples of concerns interpreted as relating to significance and inclusion:

- *Perhaps slightly nervous regarding working in such a large group.*
- *The size of our group. I was concerned that with us being so many that it would result in some people being able to fade away into the background and not really get that involved.*
- *Being almost 24/7 around colleagues.*

Examples of concerns interpreted as relating to competence and control:

- *I thought we would have to face some uncomfortable sessions and that we would be TOLD how to work better together.*
- *WHAT I WAS GOING TO BE ASKED TO DO! (in capitals).*
- *Slight nerves and anxieties around not knowing what was going to be expected.*

Examples of concerns interpreted as relating to likeability and openness:

- *Some ex-colleagues have attended this sort of courses before and informed me that sometimes the courses might create frictions among colleagues! (which never happened).*
- *Worried about opening up and showing emotions in front of people.*
- *I was concerned that some exercises may get too personal which is something I feel rather uncomfortable with.*

The overall number of comments recorded and assigned to each category is shown in Table 4.6 below:

All Regions	Inclusion and Significance	Control and competence	Openness and Likeability	No Concerns Expressed
181	10	35	41	95

Table 4.6: *Coded responses for Question 7: Concerns about attending the ILP Workshop*

Responses to these questions may be related to levels of pre-course anxiety and post-group euphoria phenomena (Marsh *et al* 1986) as the potential for pre-course anxiety begins at the first point of contact and at the point that learners are first informed about attending and not when they enter the room for training.

I realise that the questions in this section of the survey that were asked after the event was finished may have rendered very different responses to those that may have been identified if they were being asked as a precursor and before the workshop began. However, asking them before the event may present different issues of validity, such as whether people will be honest about how they are feeling at that stage.

The findings from this section were pragmatically useful to facilitate reflection as a practitioner and consider more carefully the range of emotions that may be present when participants first learn that they are to attend a leadership programme with the rest of their team colleagues. The importance of providing sensitive, informative joining information that attempts to acknowledge

the range of needs of excited, anxious, sceptical and disaffected participants is a factor that will influence motivation to learn.

I was also interested to discover how the various concerns expressed about attending were identifiable as FIRO-related issues of inclusion and significance, control and competence, openness and likeability. It suggests that these issues are present from the moment a participant is informed about attending a leadership development workshop and that it may be of benefit to prepare joining information in a way that acknowledges these anxieties specifically. I consider that this is an area that would benefit from some further research and it has since informed my practice in how I prepare my joining information for workshops in similar settings.

Workshop Outcomes - all questions in this section of the individual survey were designed as free-text boxes to encourage thought and reflection and included eight questions:

The question selected for analysis for the purpose of this study was **Question 14: How has this workshop made a difference to how you choose to behave as a leader in your team?** Because it aligned most closely with the leadership behaviour outcome requirements of the ILP and commitment to changes in behaviour on the job. It was related to the concept of utility and the extent to which trainees felt that the training was useful to helping them transfer their training to perform in their job role. The responses to this question were coded into three topic headings that were aligned to the synthesised model of FIRO Element B dimensions and the DLB explained earlier. The coding protocols related to the behaviour dimensions of FIRO Element B:

The results can be seen in Table 4.7, below:

Response Theme	Responses
Inclusion: More communication and confidence in managing inclusion for myself and others	**30**
Control: More purposeful in making choices, taking control, taking risks and making decisions	**26**
Openness: Increased awareness of self and understanding of others	**106**

Table 4.7: Survey responses Question 14: Workshop Outcomes

The "stop, start, continue" elements of questions 15, 16 and 17 were intended to provide an opportunity for reflection, a bridge for transferring the learning and also a link for the follow-up event so that each individual and team could be reminded of their personal commitments after

the workshop. Question 18 asked for specific examples of performance improvement for the team or the individual so that learners could perceive that the new knowledge or behaviours improved a relevant aspect of their work performance.

Questions 19 and 20 about sharing learning and further development requirements was for the purpose of adding to the internal organisation identification and analysis of future training or communication needs. Aggregate responses were shared with the client in order to further inform their Learning & Development (L&D) plans for each region.

Question 21, as the final question related to willingness to recommend, based on the principle of the Net Promoter Score and the proposal that customers can be divided into three categories: Promoters, Passives, and Detractors (Reichheld, 2006). From 207 respondents answering this question across all three regions, 96% would have chosen to recommend as promoters, providing a favourable and quantifiable measure of reaction to the ILP at individual level.

4.6.2 Findings: The Team level

During the follow up events, anecdotes were freely shared within the teams about improvements in relationships within the team and critical incident reporting about changes in behaviour as a result of their shared experience on the workshop. There were also anecdotal examples of changes in leadership style and behaviours, including greater awareness, increased levels of discussion and communication.

Anecdotal evidence was noted and permission sought to include specific and relevant examples in the evaluation presentation for the senior executives. Because of the time-scales involved in the recording of this cycle, only the data from regions B and C were relevant for this study at this stage. Anecdotal evidence of the types of change noted as they were reported by the groups in two of the three regions included a total of 126 examples.

A sample of these is presented at Table 4.8, over page:

Region B Combined for all teams in region	**Region C** Combined for all teams in region
• *More confidence*	• *Higher level of communication*
• *Increases in direct communication*	• *Noticing reactions and using them to inform behaviour and impact*
• *Quicker routes to conflict resolution due to an increased ability and motivation to "talk about it" at the time and not allow situations to fester*	• *Communication in a different way - it was good before, but this is an even better level that is hard to explain*
• *Reactions to situations becoming less personalised – taking "things" less personally*	• *Things between us are more concrete and clear*
• *More respect within the team – both expressed and received*	• *Communication is easier*
	• *More understanding of each other*
• *The team felt more stabilised*	• *More connection*
• *Individuals feeling more secure within the team*	• *More open communication*
	• *Easier / quicker to get in contact*
• *Team feels more integrated*	• *Decisions*
	• *We think more about the impact of decisions on each other*

Table 4.8: Examples of anecdotal behavioural changes following the ILP Workshop

After the follow-up events in Regions B and C, the General Manager (GM) of each team was provided with an email detailing the list of changes recorded during the follow up event and a summary of their planned future actions for their team. This was intended to provide some practical support and also to confirm accuracy of reporting.

The changes were then correlated with their initiating requirements for the interventions that had been discussed with them at the diagnosis stage. In this way, conclusions could be made about delivery of outcomes of the ILP for each team, by comparing what they had requested during the diagnosis stage in cycle one and the reported outcomes at cycle three.

GMs asked to define whether these reported changes were:

- Important and measurable / tangible (objective)
- Important and not measurable / intangible (subjective)
- Not important

An example of the responses for a team in Region B are displayed at Figure 4.2 below:

These are the same "differences" that your people reported noticing following the workshop. Please rate them in a different way according to whether you consider them to be:Important and measurable / tangibleImportant but not measurable / tangible Not important
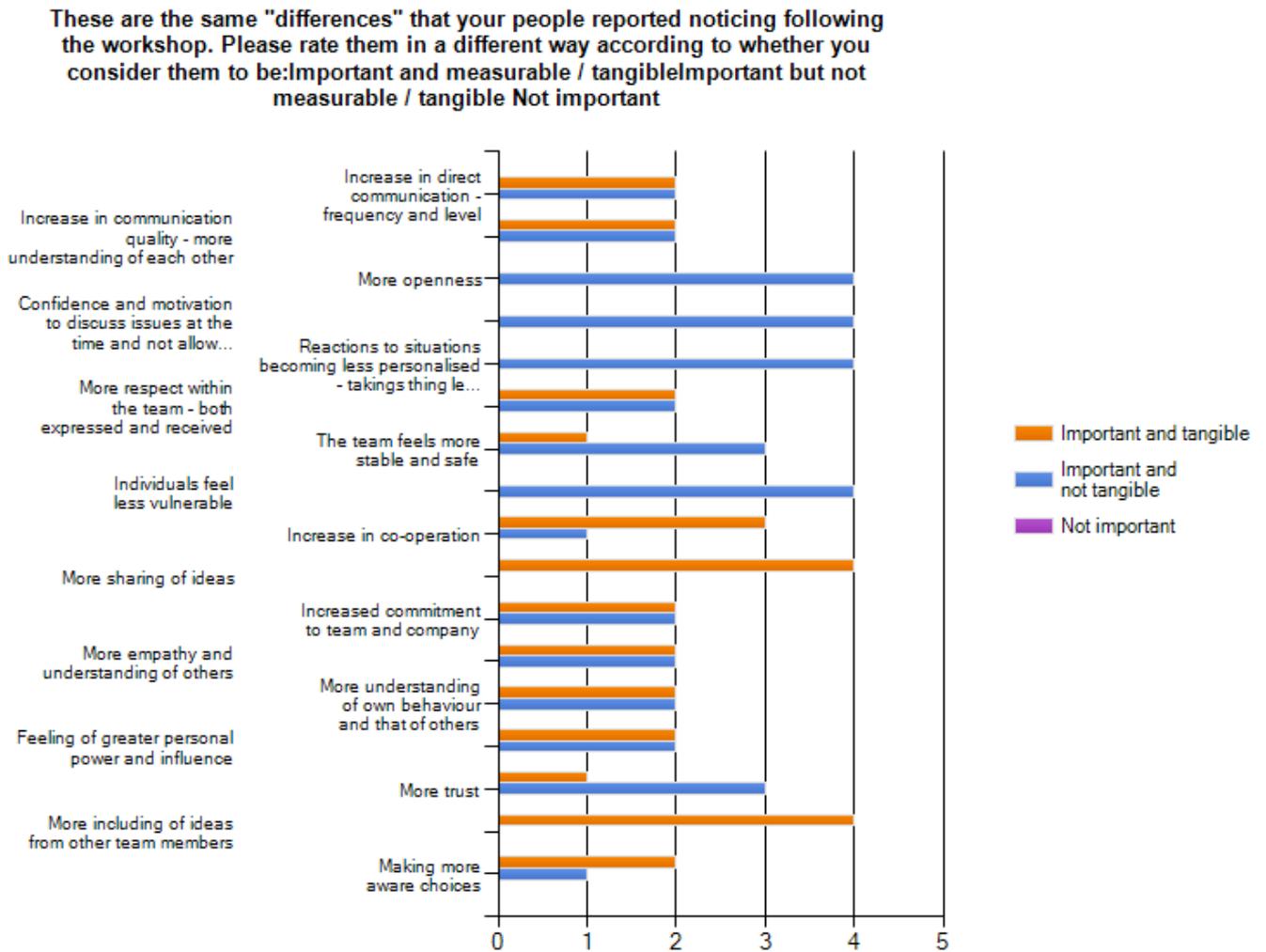
Figure 4.2: Findings from a General Manager's Survey: Region B

The table above shows the outcome requirements for this team on the left hand side, collected during the diagnostic activity during cycle one. The statements to the right of them are the changes reported by the team at the follow up event and the colour coding identifies reported changes on a scale of important / not important and tangible / not tangible. The strength of importance is shown on a 1-5 scale, with 5 being high importance.

The general findings were that all GMs reported either some improvement or significant improvement in communication in all cases. The highest significant improvement in both regions surveyed was *improvement in relationships between certain individuals.*

In support of this finding, I observed during the original workshops, in three of the teams there were certain individuals who had been the focus of considerable tension and anxiety and seemed to have a role as the team or group scapegoat. On my return for the follow-up sessions, two of the individuals reported the workshop as a transformational experience, resulting in them

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becoming fully integrated into the team. In the third case, the relationships had improved for a period of time and then degenerated into conflict and departure from the organisation.

In summary, it was a mostly positive range of outcomes and the ILP experience was supported by the majority of participants with many reporting that they had enjoyed the experience and felt that they had developed as individuals and with their team relationships as a result. I also asked for examples about any negative effects or changes, but none were reported.

In all teams, they reported that directly after the workshop, there was a considerable positive impact and short term effect, but that this had diminished over time, which highlighted a further limitation of the four-level evaluation model in that there is no consideration for maintenance of change.

4.6.3 Findings: Organisation level

During the diagnostic phase, specific organisation level factors had been agreed as required outcomes of the programme. For this level of analysis, objective system results were also studied in relation to the success criteria identified for organisation level outcomes. These included, but were not limited to, the six statements on the employee engagement survey explained earlier.

A four-level evaluation review presentation was prepared and delivered to key stakeholders in the organisation. For reasons of confidentiality, the coding and criteria deployed for this level of evaluation are not within the scope of this study.

Quantitative return on investment (ROI) was not identifiable, but adequate quantitative and qualitative improvements had been made in the major areas identified as required outcomes during cycle one and were capable of being attributed to the IL programme. These included an improvement and target achievement in the six specific engagement with leadership responses from the employee engagement survey. The employee survey results that related to the period of the ILP interventions in all regions and teams within scope of showed a significant improvement percentage overall and in some areas exceeded the target by a considerable margin.

In addition, the DLB were cited as being more recognisable as part of the culture and becoming supported through leadership activities such as performance reviews and recruitment.

Inspirational Leadership as a concept was becoming embedded and forming the basis of development of a robust set of leadership competences for the organisation.

4.7 Conclusions from Cycle THREE

The practical purpose of this cycle was to collect data to enable a full outcome evaluation at individual, team and organisational level to be carried out and reported to the client as a summative assessment of the ILP. This had been achieved as reported through the findings in the previous section.

The research focus for this cycle was to establish the strengths and limitations of four-level evaluation model for an intervention of this sort.

Although the four-level model had been used as a framework for some of the evaluation activity, it was not used in isolation and other data had been collected beyond it. My conclusion was that as a construct, it would have been insufficient on its own for evaluating this intervention to the standard required, but it still provided a logical taxonomy within which to operate.

At levels one and two it provided an adequate framework for testing for reaction and learning. The learner reaction was easy to asses via the survey and could equally have been achieved using a variety of other methods whilst still in the learning environment. Positive reactions and satisfaction are not necessary for learning to take place, but arguably they do provide reasonable qualitative indication of enjoyable learning experiences. Therefore it could be argued that it, in this setting, it may have been a prerequisite for learner-as-customer satisfaction in a service model, but was not an indicator of learning effectiveness. In this case with an external practitioner providing a service in this industry, the practice of evaluating reaction at this level fitted with the "customer service" elements of the client culture. Also, within this organisation, because of their previous utilisation of the four-level evaluation model, there was an expectation that this element would be part of the evaluation process and to omit it may have proved to be counter-productive.

At level three and behaviour change, without the follow up events, this would have been difficult to manage as an external practitioner as there is no guidance within the model for how to achieve this post training delivery. If the four-level evaluation model was insufficient for this purpose at level three, then the question arises as to what possible alternatives there might be.

For this case so far, certain variables had become apparent such as the individual, team and organisation levels and the presence of subjective and objective outcomes relating to this level of evaluation. I developed the conceptual model derived from the literature review by allocating

the data from the follow up events in one of the teams to each of the sections using the following coding protocol:

1. Individual subjective issues interpreted as qualitative changes in feelings, knowledge of behavior for the individual, such as *feeling more confident*

2. Individual objective issues interpreted as changes in feelings, knowledge or behaviour that were quantitative and capable of being measured, such as *no more fear about coming to work*

3. Team subjective issues interpreted as qualitative changes in feelings, knowledge or behavior that affected the team, such as *the team feels more integrated*

4. Team objective issues interpreted as changes in feelings, knowledge or behaviours that affected the team but that were quantitative and capable of being measured, such as *increases in direct communication*

The comments for the team were coded accordingly and the totals in each category applied to the relevant box in the conceptual model. The populated model can be seen at Figure 4.3 below:
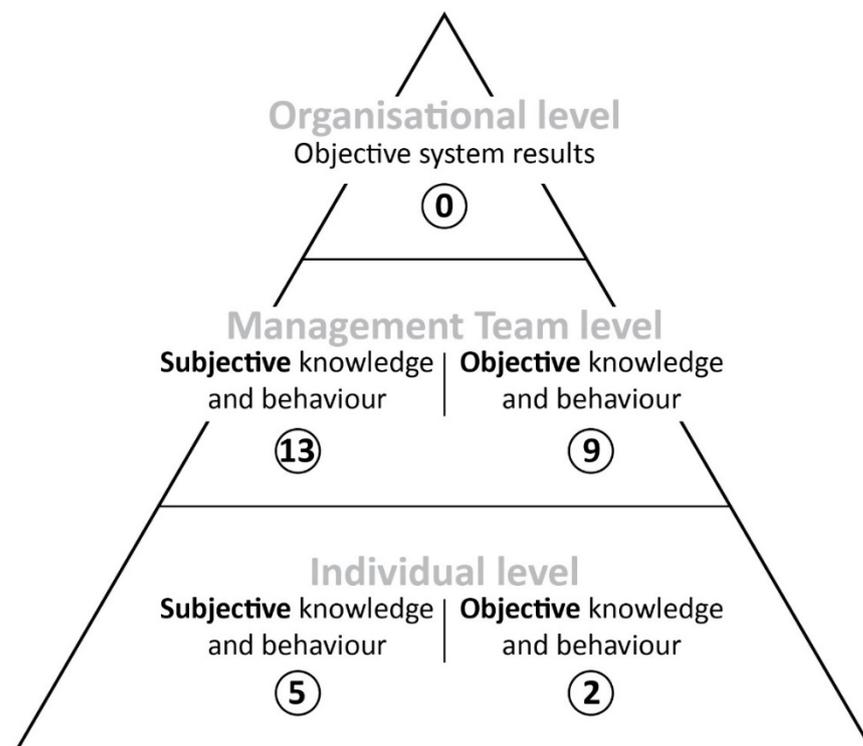
Figure 4.3: *Populated Intervention Impact Model 3:* (Source Cooke 2015)

At organisational level there were no objective system results reported.

Populating the model in this way made me realise that a further limitation of this level of evaluation is that, in this case a missing factor was a definition of the nature of behaviour and knowledge changes required to be transferred back to the workplace and that would be subsequently evaluated. For example, how to evaluate subjective elements of knowledge and behaviour that had no prior definition. I theorised that this conceptual model could be used in my practice in future with clients in a similar situation, primarily as a diagnostic tool to ensure alignment and coverage of key knowledge and behaviour requirements at this level.

Level four and evaluating the organisation results was relatively simple, but this was because the success criteria and targets had been set as part of the diagnostic stage in cycle one. There is nothing in the model that mandates this and a severe limitation of the model arises at this point if the steps are assumed to be hierarchical and in ascending value. Therefore further limitations of the four level evaluation model is that it does not consider time and sequence of the evaluation process, neither does it differentiate between evaluation and effectiveness of training. Furthermore, evaluation is treated within the model as a very generalised concept and does not consider the challenges of quantitative and qualitative issues within training outcome evaluation.

Therefore, training effectiveness and training evaluation should be treated as different concepts and both are complex with many variables to consider. Evaluating training effectiveness is a complex issue with many intervening variables and one requiring further consideration. My conclusion is that the four-level evaluation model, or any of the models based on this structure are insufficient. Effectiveness depends on learning being transferred to the work setting and defining changes that can be attributed to the training.

Training evaluation is necessary in order to test how trainees have achieved learning outcomes and is valid as an activity, but issues of training effectiveness and training transfer in this case of leadership development are broader and more complex and so a single four-level model is not sufficient for this purpose.

The original questions about evaluation were now backgrounded and being replaced by emerging foregrounding issues, bustling to be noticed in the way that Gummesson suggests in the Hermeneutic Spiral (Gummesson 2000, p.71). What began as a practical requirement to research the diagnosis, design, delivery and evaluation of the ILP was evolving into further curiosity and enthusiasm to explore the concept of training transfer and sustainability of learning outcomes from interventions of this nature. I also began deepen my pre-understanding of evaluation and transfer as two separate concepts in achieving training effectiveness and that the questions surrounding the nature of training transfer were very much unanswered.

I was at the central point of my own synthesis as a practitioner-researcher and far from being at the end of my research, I found myself with more questions. I was unprepared for this, as up until this point, I had the naïve idea that as researcher, I was in total control of the research process and able to direct it wherever I wanted it to go and end where I chose. I realised indeed that *the process of conducting auto-ethnography throws down a challenge to this notion of researcher as controller* (Boyle and Parry 2007, p.188). I realised that as time and the project moved on, my research questions and perspective as a researcher were changing and that, very often, there is surprise at the heart of any reflective activity:

> *Surprise leads to reflection within an action-present. Reflection is at least in some measure conscious, although it need not occur in the medium of words. We consider both the unexpected event and the knowing-in-action that led up to it, asking ourselves, as it were, "What is this?" and, at the same time, "How have I been thinking about it?" Our thought turns back on the surprising phenomenon and, at the same time, back on itself.* (Schön 1987:28)

I then focused my search of the literature on training transfer. I was discovering for myself that *there is a growing recognition of the 'transfer problem' in organisational training as concerns are raised that much of what is trained fails to be applied in the work setting* (Ford and Weissbein 1997:22) This transitioned me into the fourth and final cycle of research for this study.

5). Cycle FOUR:

Identifying the nature of longer term training transfer

5.1 Chapter Introduction

Having produced and presented the evaluation findings from Cycle Three and met the commercial and political requirements for the client, I felt liberated to continue my research without the practitioner responsibility for the delivery of a significant commercial project.

In achieving outcomes at an organisational level, the ILP had a purpose as *an intentional entry into an ongoing system for the purposes of initiating or introducing change* (Rothwell *et al* 1995, p.11). In this case, in order to transfer and maintain required outcomes at organisational level, changes in individual and team participant behaviour were required as a result of the leadership development programme. This requirement for permanent behaviour change encouraged me to become curious about any longer term effects, and in doing so to explore what factors might be relevant for leadership development intervention design in the future to enable the optimum level of sustainable and appropriate change to be transferred and maintained.

From my preunderstanding as a practitioner, in models defining the systematic training process and informing instructional design such as ADDIE (Dick & Carey 1996) the process of training ends at the stage of evaluation with very little reference to the concept of training transfer.

The field experiences during the follow up events and findings revealed that the individuals and hotel teams had transferred the learning from the ILP in different ways and in different amounts. A common theme was that it was reported to have had a strong impact immediately after the workshop which then tailed off over time. I was keen to explore the next cycle and explore what level and nature of change occurred once participants left the workshop and returned to the pressures and routines of work and their individual and collective role as leaders.

Questions were becoming foregrounded about the nature of training effectiveness, maintenance of change and transfer of the training from the course environment to the work environment. How could the day-to-day challenges associated with being an individual manager consistently be aligned over the longer term with behaviours and the team leadership style desired by the organisation? How could the gap between training and workplace performance be bridged and the concept of Inspirational Leadership be encouraged to develop and thrive appropriately?

Two issues were emerging as the foreground areas for enquiry:

Firstly, evaluation of this intervention had been carried out using a simple conceptual framework, suggesting that there was an increasing number of variable factors to consider in evaluating training effectiveness beyond the relatively basic requirements of testing reaction and learning. How could the intervening variables influencing training effectiveness be identified before the evaluation stage of an intervention and considered throughout in order to achieve required outcomes and then to maintain them?

Secondly, that the outcome evaluation reports for subjective or soft skills changes outweighed those in the objective or hard skills categories (see figure 4.3). There was little corresponding reference in the literature so far reviewed, regarding the evaluation of subjective or soft skills training outcomes. The leadership development training had been designed to be highly experiential (Kolb 1984) following an underlying Deweyian philosophy that experiential learning treats the learner's subjective experience as being of critical importance in the learning process (Dewey 1938). If subjective experience is of such importance in experiential design, how can the outcomes be best evaluated and the training transferred?

My hypothesis was that if the key factors influencing transfer of training in this case could be identified and arranged in some form of taxonomy, then this might provide a framework to inform practice for creating a transfer strategy for similar interventions.

In this chapter and final cycle of enquiry, the literature on training transfer is reviewed and as a conclusion, the Reddy Intervention Cube is proposed and synthesised to create a multi-level taxonomy for experimental use to code interview data from participants of the ILP about their training transfer experiences some months after the completion of the programme. Thus this research cycle provided a meta-transfer practitioner opportunity where the learning from this case could be taken forward to inform practice in similar situations in the future.

The final conclusion is the proposal for a taxonomy to enhance training effectiveness in the form of the Training Intervention Framework (TIF) presented as a contribution to HRD practice and research, described in full in the final chapter.

5.2 Focus of Enquiry for Cycle FOUR

Through this final cycle, the focus of enquiry was related to transfer of training and the factors affecting it in this case. The key questions informing this cycle are shown in Table 5.1 below:

Research cycle	4
Intervention Phase	Training transfer
Research cycle purpose	To identify the nature of training transfer and the factors influencing training transfer in this case
Research questions	1. What conclusions regarding training transfer could be made to inform practice in a similar situation? 2. How could these conclusions be captured in a theoretical framework?
Research method	Semi-structured interviews with a sample of individual participants from the ILP
Literature review area	Training Transfer

Table 5.1: *Cycle 4 Outline*

5.3. Review of the Literature on Training Transfer

Training transfer refers to the use of trained knowledge and skill back in the job and is defined as the extent to which the learning that results from training transfers to the job and leads to relevant changes in work performance (Goldstein & Ford, 2002). For transfer to occur *learned behaviour must be generalised to the job context and maintained over a period of time on the job* (Baldwin and Ford 1988, p.63).

Ford and Weissbein described training transfer as involving the application, generalisability and maintenance of new knowledge and skills and proposed two primary goals of successful transfer:

1) *That new skills, knowledge and behaviours that have been learned away from the job are migrated and generalised to the job role and that*

2) *They are sustainable and maintained over time in the work context, resulting in improved performance.* (1997, p.34).

The literature is generally supportive of the notion that training transfer consists of these two major dimensions with definitions of a) generalisations as the extent to which the knowledge and skill acquired in a learning setting are applied to different settings, people, and/or situations from those trained, and (b) maintenance as the extent to which changes that result from a learning experience persist over time.

The concept of generalisability in leadership development is important as real transfer happens when people carry over something they learned in one context to a significantly different context (Fogarty *et al* 1992). Their assertion is that training transfer refers to more than the content learned during training and is the evidence that competencies trained are used on the job for which they were intended and that participants undertaking professional training should think, feel, and/or act differently at work. For training to be ultimately considered effective, it must develop competencies that are strategically aligned with an organisation's goals (Noe & Tews, 2012). In other words, though training may be transferred, it is not considered to be effective if it is not aligned to, or disconnected from, organisational needs or if the work organisation is dysfunctional in other areas (Aguinis & Kraiger, 2009).

Royer presented the generalisability issue as a continuum between near and far transfer, related to the degree of similarity between the training and the place of application. Far transfer refers to situations when the application requirements are novel or very different from those in which they were trained and require generalisation of learning to new situations. At the opposite end of the continuum, near transfer is short term or when situations are identical or very similar (Royer, 1979). This concept of transfer distance as a gap between the learning environment and application in the job environment integrates the concepts of transfer and performance in one continuum, which I consider may present issues of over-simplification.

The concept of fidelity in transfer also represents the level of similarity between tasks in the learning situation and those in the real life situation where the learning is to be applied. It is particularly relevant in technical simulations, with high fidelity being a close match between training and real life situations. The higher the fidelity, the closer the match. With leadership

development in this context, the design of the training and therefore the subsequent transfer focused not on technical job skills, but more on self-awareness, changing attitudes, building team relationships and improving interpersonal interactions (Burke and Collins 2005) and a consequent low level of fidelity.

Gagné distinguished between lateral and vertical transfer as two types of generalisation processes. Lateral transfer involves applying trained rules and procedures to similar situations at similar levels of complexity. In contrast, vertical transfer occurs when an acquired skill affects the acquisition of a more complex or superordinate skill (Gagné, 1965).

Near and far transfer can also be considered as a temporal dimension. *For example, near transfer can occur and be studied during the same session as the learning, and far transfer can be studied months or years later* (Blume *et al* 2010, p.1067). This dimension includes a differentiation between transfer initiation and transfer maintenance. Transfer initiation is the degree to which the trainee attempts to apply the training received and transfer maintenance is the degree to which the trainee persists in applying the training received on job. (Laker 1990, p.210). Maintaining change over a period of time is also referred to as training transfer, but Laker argues that transfer maintenance is not the same as training transfer because the retention of knowledge acquired in the training programme is not the same as behavioural enactment or manifestation. (1990, p.213).

As an application of expectancy theory to training transfer, Facteau *et al* assert that trainees' motivation to transfer and maintain their learning will be impacted on the basis that participants will be motivated to attend, learn from and transfer the knowledge, skills and abilities (KSA) from training interventions if certain criteria are present:

- They are confident about using what they have learned

- They are aware that new KSAs are relevant to their job

- They believe that the new KSAs will be helpful in dealing with job demands

- They respect the reputation of the trainer/s

- They value the course and would recommend it to friends (Facteau *et al* 1995).

Baumgartel *et al* (1984) claimed that skills learned in training are more likely to be applied if managers believe in the utility of the training or value the outcomes that will be provided. Similarly, Axtell *et al* also found that trainees who perceived training as relevant had higher levels of immediate skill transfer (1996) and Alliger *et al* found that learner reactions to utility were associated with transfer of learning to a greater extent than their affective or emotional

reactions (1997), although Ruona *et al* argued that perceptions of utility of training provide nominal value in predicting transfer (2002).

In an early study, Baldwin and Ford reviewed the major empirical studies of transfer that were completed before 1987, provided a comprehensive review and critical analysis of the existing transfer literature and suggested directions for future research (1988). They cited specific gaps in the literature at the time, including:

1. A problem of criterion - how transfer is defined and operationalised and when / how it should be measured.

2. A low level of complexity of tasks used to examine the impact of training design factors on learning and transfer and the generalisability of results from studies.

3. A lack of conceptual frameworks to drive the choice of trainee characteristics to examine for impact on transfer.

4. *A lack of attention to clearly conceptualise and operationalise key work environment factors that can influence transfer, such as climate, support and opportunity to perform.* (Baldwin and Ford1988).

Their Transfer of Training model, a frequently cited tripartite framework, was achieved by synthesising systems theory to the concepts of learning and retention. They proposed that the influences on transfer of learning and retention as an output are a function of three sets of inputs or variables:

- **Trainee characteristics** (ability, personality and motivation)
- **Training design** (principles of learning, sequencing and training content)
- **The work environment** (support and opportunity to use) (Baldwin and Ford 1988)

The Transfer of Training model incorporates six linkages between the training inputs, training outputs and conditions of transfer.

Conditions of transfer include the generalisation of skills and knowledge acquired in the training and the maintenance of that learning over time on the job.

Training outputs relate to the learning acquired and to the retention of the training content.
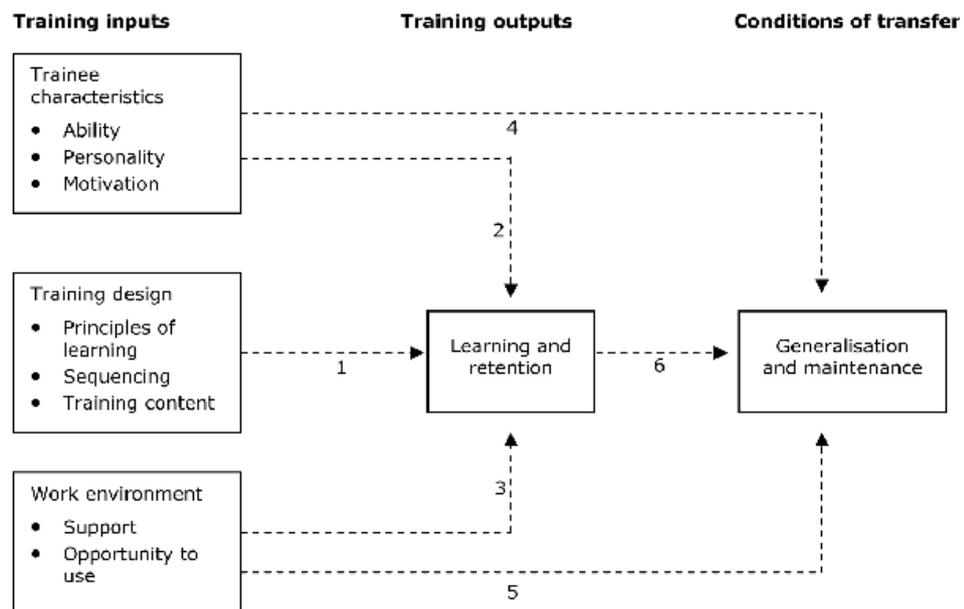
Figure 5.1: *Transfer of Training Model* (Baldwin and Ford 1988)

The primary trainee characteristics are defined within the model as intellectual ability, personality traits, self-efficacy and motivation level. It continues to be widely accepted that trainee characteristics play a powerful role in the transfer of training (Burke & Hutchins, 2007) but transfer effects could be examined at the departmental and organisational levels as well as at individual level (Kozlowski and Salas 1997).

Kontoghiorghes argued that the earlier conceptual transfer framework is over simplistic and focuses too narrowly on trainee characteristics and attributes that are directly related to the training context or training-related outcomes (2004). He further asserts that such traditional approaches to thinking about the work environment generally describe it in the same characteristic terms as a transfer climate and thus risk overlooking variables that directly or indirectly affect performance.

Such approaches *treat training as a non-systemic phenomenon operating independently of other variables that affect work performance and ignore the extent to which processes are dependent on an organisational context* (Kontoghiorghes 2004, p.211).

The work environment can also be referred to as the organisational transfer climate and how the work environment factors influence the transfer of training (Tannenbaum and Yukl 1992) as a definition of a supportive climate or culture of the sponsoring organisation to underpin learning transfer and that the supportive culture or climate depends on having the commitment of senior managers and executives (Phillips 1991).

The term climate may be further defined as a psychologically meaningful description of the work environment (James and Jones 1974) from an individual's perception of the work environment and how this influences the extent to which learned skills can be used on the job. The organisational climate is enhanced when individuals share similar perceptions about salient organisational characteristics and attributes as cognitively-based individual-level variables and with a sense of imperative (Schneider and Rentsch 1988). Based on social learning theory, a learning climate can also be described as those situations and consequences which either inhibit or help to facilitate the transfer of what has been learned in training into the job situation. Features of a positive transfer climate include *adequate resources, cues to remind trainees what they have learned, opportunities to use new skills, timely feedback and positive consequences for using new training* (Rouiller and Goldstein 1993, p.379). Van den Bossche *et al* used a social network perspective to explore the role of feedback in fostering a motivation to transfer and *underlined the importance of feedback in turning the workplace into a learning environment, fostering the transfer of training* (Van den Bossche *et al* 2012, p.81).

Holton *et al* suggest that *the work environment can affect the transfer of learning to the job through its transfer of training climate. The transfer climate is a mediating variable in the relationship between the organisational context and an individual's attitude toward the job and behaviour on the job* (1997, p. 96) and Clarke states that the two key factors necessary in the climate to support and influence transfer are an opportunity to use and the presence of social support (2002).

A transfer of learning organisational climate refers to organisational members creating shared patterns of meaning about specific organisational elements, but is based on an individual frame of reference (Tracey *et al* 1995). I interpret a meaning of individual frames of reference that members of the organisation may pay attention to, such as policies, reward systems and managerial behaviours as salient organisational characteristics, but the meaning they attach to them will be a result of their general individual characteristics, personal values, needs and belief system.

Considering management support as a factor of the work environment, the need for management support and providing opportunities to put training outcomes into practice are highlighted, and an additional important factor in effecting any change back in the workplace is the amount of control or autonomy that a person has in their work role (Huczynski and Lewis 1980 p. 239).

There may be a need to change certain things in the work environment if new behaviours adopted through training courses are to be encouraged, then senior managers should extend their

commitment to changing counter-productive organisational structures or practices (Bramley 1991).

> *Features of the work environment may be particularly important because, whilst employees may be highly motivated individuals who have attended excellent training courses and are keen to use their new skills, constraints in the work environment may prevent them from applying what they have learned back in the workplace* (Axtell, *et al* 1996, p.309).

The literature suggests that in addition to a climate that is conducive to transfer, a culture that is conducive to learning is also an influencing factor. A continuous learning culture is *one in which organisational members share perceptions and expectations that learning is an important part of everyday work life* (Tracey *et al* 1995, p.241). In this definition, culture is based on an organisational frame of reference and refers to shared meanings about a broad set of elements that relate to the organisation. They identified three elements of a continuous learning culture as:

1. **Social support** – the extent to which supervisors and co-workers encourage the acquisition and use of any new relevant skills and behaviours. There are four major sources of social support: subordinate, peer, supervisor and top management

2. **Continuous innovation** – the extent to which an organisation promotes ongoing efforts to be innovative and progressive

3. **Competitiveness** – the extent to which an organisation promotes an image of being the best in its field through high levels of individual performance. (Tracey *et al* 1995)

Massenberg *et al* assert that social support is particularly important where whole team interventions have taken place, and propose that *an integration of the team level in the training transfer process is rare, yet still needed* (Massenberg *et al* 2015, p.161).

Kontoghiorghes's Systemic Approach (2004) treats transfer as an integral part of work, not an isolated concept and highlights the central role of motivational processes in effective transfer as illustrated in Figure 5.2, over page:

Trainee characteristics
• Ability
• Personality
• Motivation

Training design
• Principles of learning
• Sequencing
• Training content

Training transfer climate
• Supervisory support for new skills and knowledge
• Coworker support for new skills and knowledge
• Task cues
• Job utility
• Career utility
• Training accountability
• Opportunity to practice new skills and knowledge
• Opportunity to use new skills and knowledge
• Intrinsic and extrinsic rewards for using new skills and knowledge

Motivation to learn

Motivation to transfer

Training transfer

Individual and/or organizational performance

Work environment

• **Sociotechnical system design**
- Organizational commitment
- Job motivation
- Participative organization
- Flat organization
- Employee involvement
- Information sharing
- Multiskill work environment
- Company satisfaction
- Advancement opportunities
- Support for development
- Team environment
• **Job design**
- Task autonomy
- Employee has opportunity to do what he/she does best
- Job importance
- Job takes advantage of talents and abilities
• **Quality management**
- Employees committed to quality work
- Job contributes to quality mission
- Customer focus and loyalty
- Emphasis on doing things right the first time
- Excellence commitment
• **Continuous learning environment**
- Continuous learning is a priority
- Learning is well rewarded
- Employee has learning and growth opportunities
• **Other organizational factors**

Figure 5.2: Kontoghiorghes's (2004) Systemic Approach

The more holistic approach of the model also characterises Holton, Bates & Ruona's (2000) Learning Transfer Systems Inventory (LTSI). Intended as a diagnostic tool it comprises 16 factors grouped into different motivational, environment and ability elements, that jointly affect learning, individual performance and organisational results. Therefore, in addition to the cognitively-based individual level of definition, according to Kontoghiorghes and others, there is also a mediating variable related to the organisational context.

A more recent and comprehensive systems model by Burke and Hutchins (2008) and illustrated at Figure 5.3 below combines aspects influencing transfer and ultimately job performance as; work design job content, training content and organisation size and structure. The five major influences in the model include the original three learner characteristics, together with design and delivery and work environment suggested by Baldwin and Ford (1988) with trainer characteristic and training evaluation. The model is not time bound, but does differentiate between "before, during and after" training and identifies five key stakeholders:
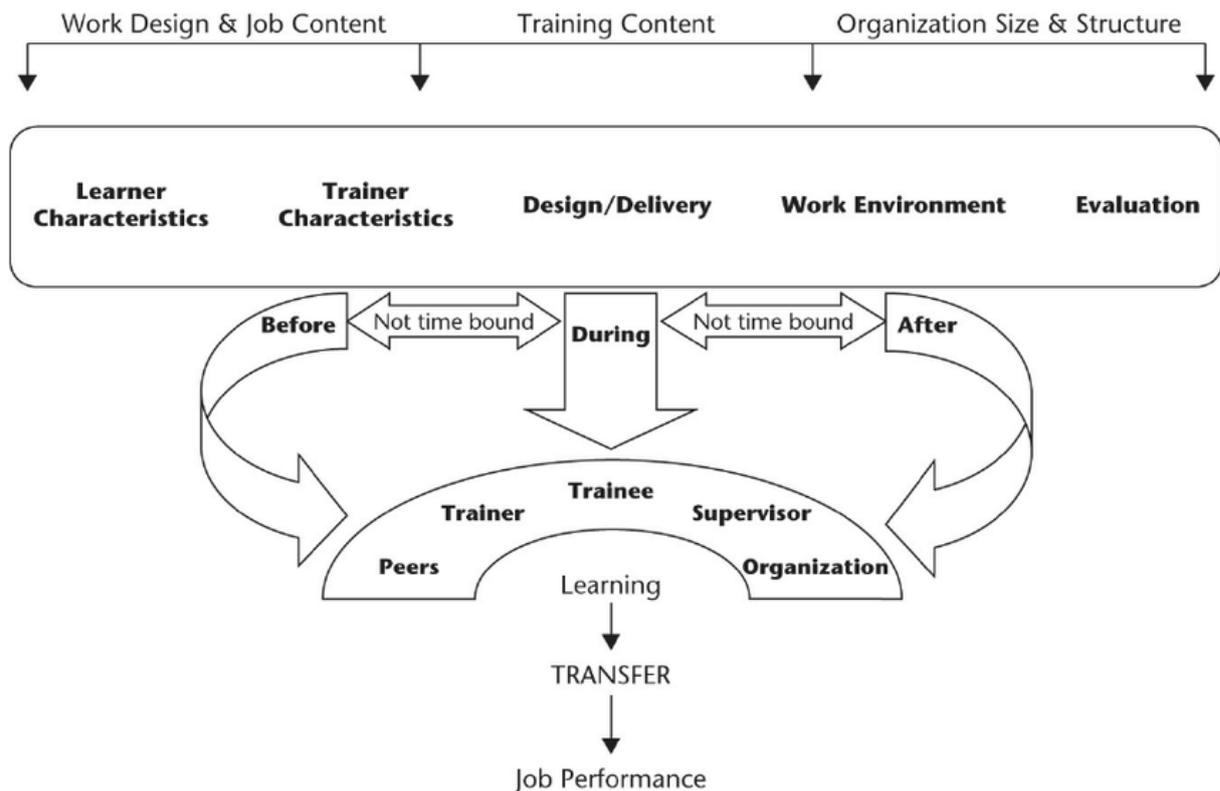
Figure 5.3: Burke & Hutchins' (2008) model of transfer

The various direct and indirect effects between these factors and elements highlight the fact that the transfer of training is a complex multi-faceted phenomenon and this model in particular highlights the number of variables between training and performance.

Job performance as the outcome is also a complex variable as there are many ways in which it can be assessed and changes can be measured. Other studies reported by Baldwin and Ford (1988) in their comprehensive review used transfer maintenance curves, supervisor discussions or peer judgements to evaluate transfer and the development of specific measures to capture transfer of key knowledge or skills. Tracey *et al* advocated the use of a self-report that was specifically related to the training content and expected outcomes (Tracey *et al* 1995).

Other literature highlights the importance of objective transfer measures such as faster performance (Swezey *et al* 1991) or increased accuracy of performance (Kraiger *et al* 1995). The Burke and Hutchins model at figure 7 above itemises the various stakeholders involved in transfer as: peers, trainer, trainee, supervisor and organisation. This raises the further question of accountability for transfer and how the responsibility might be shared.

Accountability is defined in this context as the degree to which the organisation, culture and /or management expects learners to use trained knowledge on the job and holds them responsible for doing so (Brinkerhoff & Montesino, 1995; Kontoghiorghes, 2002). By taking the most

significant factors of training transfer from some of the models reviewed in the literature, it seems that the responsibilities are mainly apportioned between the individual, the organisation and the training designer. For the HRD practitioner the concept of accountability for effective transfer raises significant questions about the extent of responsibility and there remains a research-to-practice gap in this area (Hutchins & Burke 2007).

Burke and Saks highlighted the critical role of accountability for transfer applied to the roles of the trainer, trainee, immediate supervisor and senior managers in the organisation and assert that:

> *Decades have been spent studying training transfer in organisational environments in recognition of a transfer problem in organisations. Theoretical models of various antecedents, empirical studies of transfer interventions and studies of best practices have all been advanced to address this continued problem. Yet a solution may not be so elusive.* (Burke and Saks 2009, p.382).

Firstly, they propose that *the transfer problem is not as complex as it has been portrayed.* (2009, p.383). For enhancing training transfer, or contributing to the lack of it, Kopp (2006) holds the trainer as *primarily accountable* (p353). Esque and McCausland agree with this argument to some extent, but propose that *the responsibility for effective transfer of training falls into a grey area between trainers, trainees and management* (1997,p.116). Therefore, it seems that although models and taxonomies of the intervening variables required for effective training transfer exist in the literature, the key question of who should do what remains a knotty problem for HRD practitioners. *Accountability, though strongly underpinning many contemporary management practices, has only more recently surfaced in the training literature* (Burke and Saks 2009, p.384).

In considering the work environment factors, Baldwin and Ford (1988) and Ford and Weissbein (1997) include supervisor support as a predictor of transfer and intervention strategy. However, the level or nature of support is not quantified and there is no mention of accountability for facilitating training transfer. Broad (2005) and Broad & Newstrom (1992) suggest that performance standards for supervisors should include an expectation that they will support training and be held accountable for its results. This means building specific mechanisms for training transfer accountability into supervisory performance standards, including transfer action planning, contracting for commitment, assessments, evaluation and feedback.

Similarly, much is mentioned about learner motivation, ability and self-efficacy as factors in training transfer, but the literature is sparse on the nature of trainee responsibility for their own learning and accountability for transferring what they have learned back to the workplace. With

leadership development as the context of the training in this case, there may be a case to be argued for a stronger personal obligation and motivation for transfer over trainees with less senior positions and responsibilities.

For the trainer and HRD practitioner, in the Baldwin & Ford (1988) model, the trainer influences on transfer are listed as *principles of learning, sequencing and training content* (Baldwin & Ford 1988). Burke and Hutchins also contend that a more robust model of training transfer must consider training content (2008). Similarly Yelon and Ford differentiate between the training of open skills, where there is more than one way to act, and content related to training closed skills where there is one correct way. They assert that *the measurement issues of transfer are even more complex when dealing with open skills* (Yelon and Ford 1999. p.62).

A view argued by Laker and Powell is that *the singular perspective that all training is the same when it comes to issues of training transfer is misguided* (2011, p.111). They hypothesise that transfer can actually be hindered by a singular perspective if no differentiation is made between hard (technical) and soft (interpersonal and intrapersonal) training. Soft skills generally encompass interpersonal abilities for how people interact with others, including communication skills, negotiation, change resilience, flexibility, relationship building and listening skills (Chaudhry, Khoo, Wu, & Chang, 2008).

Laker and Powell assert that soft skills training is less likely to be transferred from training to job than hard skills training, citing reasons such as prior learning and experience overriding what has been trained, resistance from the trainee, organisation resistance, less management support, the presence of softer or less specific objectives, fewer consequences and either less feedback or feedback that is rarely salient or timely. (Laker and Powell 2008, p114). Since the ILP was primarily concerned with soft-skills development of individuals and teams, this presented a challenge for transfer. This is a regular challenge in my practice – and I suspect within the HRD field.

5.4. Conclusions from the Literature on Training Transfer

When discussing training transfer a number of articles reviewed have drawn upon simplistic models that mask the multi-dimensional nature of the construct. Different aspects tend to be presented as lists, with limited explanation of how they may be inter-related and inter-dependent. The simplicity does not take account of the complexities of training transfer in general and the training of teams and soft skills in particular.

The Baldwin and Ford Transfer of Training model (1988) presented a more sophisticated perspective as it provided an initial systems theory approach in identifying inputs and outcomes that were congruent with the flow and process of the case study intervention. Subsequent studies confirm a triangulation of factors with learner characteristics, training design and work environment having an influence on positive learning transfer. However, despite the apparent simplicity of the model, there are many intervening variables to consider. The Burke & Hutchins' (2008) model of transfer added a vital dimension with the presence of different stakeholders, raising the key questions around accountability and adding a before-during-after time dimension for consideration.

A further observation is that much of the literature focused on training as the only method of learning input. A limitation was that many training design studies used short term retention of simple motor and memory skills as the outcome measure. This literature, by limiting evaluation to learning from classroom-based training, misses considerations of far transfer requirements as a vital part of the design phase of learning interventions. As an HRD practitioner, a requirement exists to consider a range of L&D intervention methods in addition to training in order to create a blended learning offer. The process of on-job or work-based learning is an important consideration in this case as much learning in a hotel environment is achieved in this way and transfer from this training method is also of great importance for enhancing performance. Therefore, as an extension of the relative simplicity of training transfer, the concept could be extended to encompass a wider definition of transfer and become contingent with a range of learning methods and inputs. In practice, this would potentially enable one framework to be utilised.

For this case in particular, training transfer was desired in the work environment at multiple levels by individuals and teams in each hotel and then at organisational level. This issue of levels had become foregrounded in earlier cycles and is described in previous chapters. Although the ILP had been designed to develop awareness and leader behaviours for individuals, the delivery model of whole teams in each business unit attending together had the additional outcome of developing relationships between team members and serving as a team-building exercise, using FIRO Element B as the interpersonal model and as a tool for raising awareness.

5.4.1 Transfer climate and culture

The literature and models presented on transfer climate and culture suggested that these were simple constructs with one organisational climate and a single, homogenised culture.

They also implied that organisational culture would be automatically be fed from the top down. The reality of this case study for me was that neither of these basic assumptions was true. Firstly, the case study organisation itself did not have a strongly established culture in relation to leadership behaviour; and the senior management team was divided at the time about whether this intervention was of value in relation to the investment. There was no evidence of shared understanding at executive level about creating organisational change, or indeed if change was required; and even what the new or emerging culture should be. Secondly, this was an international intervention in four different European countries. Not only did the countries have specific cultural and national differences, but within each, there were cultural variances.

The hotel teams presented a range of different cultures influenced by a multitude of factors such as whether the hotels were situated in urban or provincial locations, were large or small, upscale or budget, new or old and not least who they are managed by, as the values and culture of the General Manager has influence on the culture of the team.

The composition of the management team in terms of age, experience, gender mix and ethnicity also influenced the culture of each hotel. Lastly, even within each hotel, different departments had their own cultural variances. Influences on the departmental culture include all the factors outlined above, plus whether they are employed in front of house positions or back of house, profit centres or cost centres and general factors that influence the traditional hierarchical nature of the industry.

Even within these departments there were further sub-divisions as the habitually rostered late shift culture and climate may be different to the early shift and different again from the night shift teams. The weekend culture will be different again from the weekday culture as the change in business, from corporate visitors to leisure guest affect the service style and ethos and the 24 hour a day, 7 day a week, 365 day a year operation continues. In short, my experience suggests that the organisational culture has to be strong, well-developed and fully communicated and embraced in order to counter-balance these factors. My practitioner preunderstanding leads me to propose that learning design and consequent transfer in the hotel industry should consider and integrate this multi-cultural reality of operation in order to be effective.

5.4.2 Before – During – After time dimension

With so many factors potentially impacting training transfer and a wide choice of models to use, a further conclusion is that of considering the time dimension as an integral factor of transfer influence. One of the first points of reference in any HRD intervention design is to clearly define the back-to-work performance outcome expectations from the very beginning, ensure that these are aligned with the initiating needs analysis and integrate the transfer strategy into the

design. Defining the transfer requirements in this way may then enable a matching of the factors that influence transfer with the type of transfer achievement that is required. Although the alignment with organisation strategy is given importance in the literature, the connection and alignment of the transfer outcomes with the original needs analysis was missing. My interpretation was that this matching might enable intervention-specific transfer tools to be designed and provided as part of a bespoke transfer strategy. This consideration may also influence design of training method and content, providing a temporal consideration equivalent to before, during and after. Transfer is presented as being a product of the training, but the connection of the training to the originating needs analysis is either assumed or omitted. This is particularly relevant for transfer in this case, where the intervention took place over time, in a dynamic hotel environment where things were constantly changing and it was imperative to connect required transfer to original needs analysis as it was different in each team, and yet still needed to be aligned to organisational strategy.

5.4.3 Individual versus team focus

A further limitation is that the majority of literature tends to imply transfer at individual trainee level and very little is connected to the social support elements of team training interventions where transfer may need to be supported and concepts are shared by others.

In preparing to test for transfer in this case, I was also mindful of the challenges of achieving transfer of soft skills highlighted in the literature.

5.4.4 Construction of theoretical model

In familiarising myself with the nature of training transfer in the literature I was hoping to identify a theoretical model that could be utilised for this cycle of research.

For the reasons outlined above, no one model from the literature was entirely appropriate for deployment in these circumstances and so I worked on developing the Intervention Impact model 2 (Figure 4.3 Chapter Four) This already took account of the individual, team and organisation levels; and also differentiated between hard and soft training outcomes.

I experimented with further populating the same framework with subjective and objective factors, drawn from the literature as influencing transfer, to form another version as shown at figure 5.4, over page:
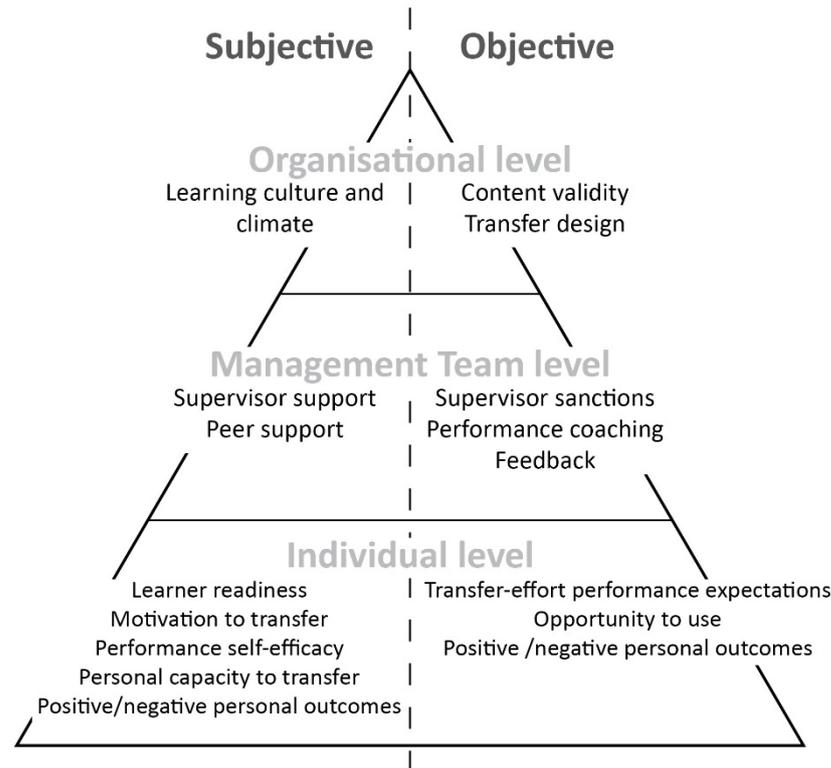
Figure 5.4: *Intervention Impact Model - 3*

However I realised that this framework, although taking account of individual, team and organisation levels and hard and soft outcomes, was insufficient for my needs in this case as there were more variables to consider that were not taken into account. The concept of time was missing and the focus was on outcomes with no attention paid to the hard or soft nature of the training content. Consequently the proposed conceptual model was over simplistic in missing these facets. I began to consider that the transfer dynamic is not one process, but a complex set of processes.

The requirement to add further facets and include the nature of the training, utilised a consideration of multi-level models relating, not to transfer, but to intervention based on practitioner preunderstanding:

First in consideration was from *The Critical Incident in Growth Groups*, in which Cohen and Smith proposed a three dimensional model for interpreting and classifying the level, type and intensity of an intervention (1976). Its purpose was to provide a model to observe, categorise and analyse interventions by group leader*s* (Cohen and Smith 1976). The three dimensions are intended to provide a system for the classification of interventions and provide a system of twenty-seven combinations defined as:

- The **level** of intervention – whether at group, interpersonal or individual level

- The **type** of intervention – whether it was conceptual, experiential or structural in its intention and design and

- The **intensity** of the intervention – measured on a rating of low, medium and high intensity.
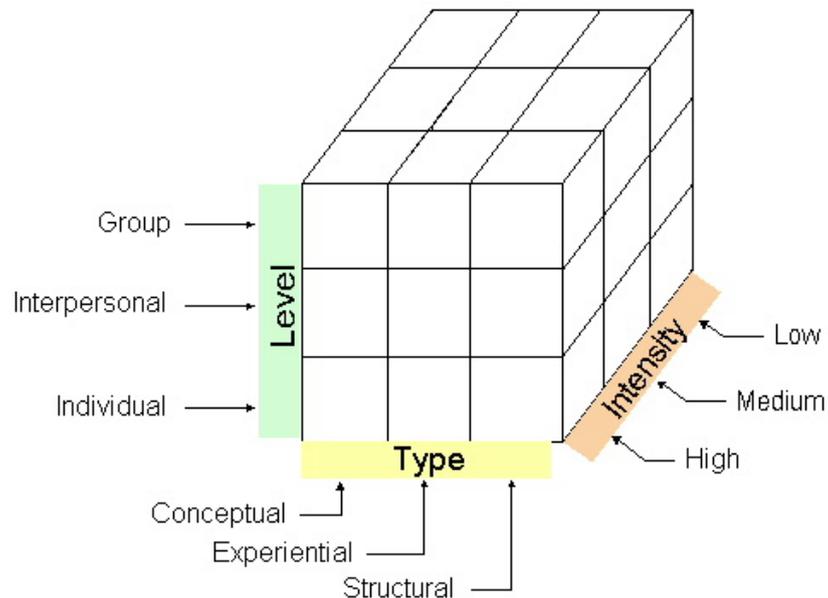
Figure 5.5: *Intervention Cube.* Cohen & Smith (1976)

The original intention for the Intervention Cube was to allow any intervention statement to be described and categorised, regardless of the group leader's orientation (Cohen and Smith 1976). It is atheoretical in that it is not biased towards any particular model of group-work and neutral as it does not have value-oriented prescriptions for interventions. Its purpose is to serve as a systematic observation and content analysis technique.

The Intervention Cube was further expanded and adapted to provide an extended version of the original intervention typology matrix to fit a group process consultation model in Reddy's Intervention Cube (Reddy 1994: p.82). Reddy's hypothesis was that any intervention is the product of choice of these variables by the facilitator or group process consultant. He further proposed that skilled facilitation and group process consultancy requires awareness, in the moment, of the location on all three dimensions of any intervention.

Reddy's Intervention Cube (Reddy 1994), as illustrated at Figure 5.6 below, categorises interventions according to the dimensions of type, focus and identity:
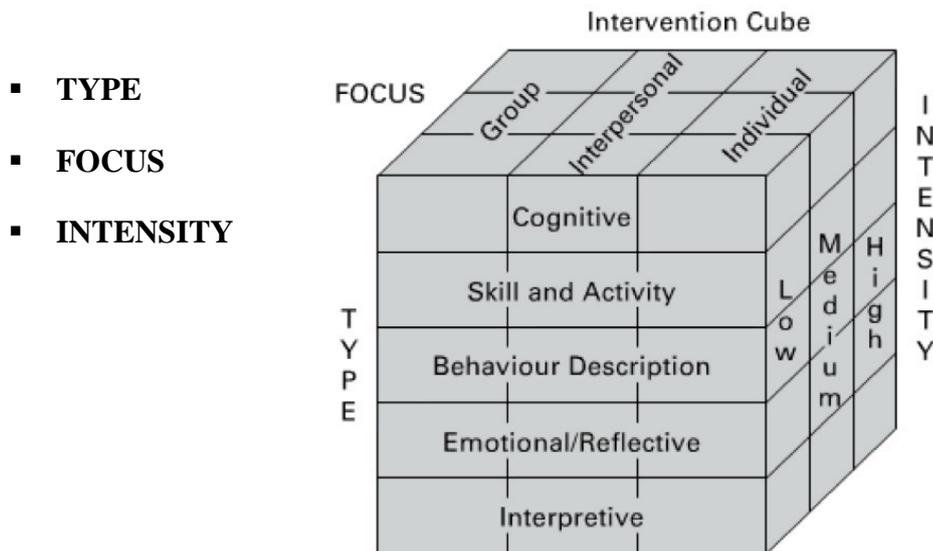
- **TYPE**

- **FOCUS**

- **INTENSITY**

Figure 5.6: Reddy's Intervention Cube (Reddy 1994)

TYPE: The type dimension describes five different types of intervention provided by the facilitator or group process consultant:

1) **Cognitive** interventions are abstract, intellectual or idea-oriented.

2) **Skills and Activities** indicate an intervention requiring some sort of skill learning or sequenced activities.

3) **Behaviour Description** relates to an intervention that where the consultant describes observed behaviour

4) **Emotional / Reflective** interventions are where the consultant describes the emotional and feeling components of their observation

5) **Interpretive** interventions are the consultant hypothesis or understanding of the dynamic and intended to prompt discussion and awareness of what might be transpiring.

I hypothesised that in addition to describing the type of intervention, this facet may also have value in defining and categorising transfer outcomes. Furthermore, the categories could be viewed as a hard-to-soft continuum from the acquisition of cognitive and technical skill and ability to the level of emotional, reflective and integrative outcomes.

FOCUS: The focus of any intervention may relate to the whole group, the relationship between two or a small number of individuals in an interaction together or may be on just one individual.

This dimension could be argued to have value in assessing transfer in a team situation such as the ILP, and the flexibility utilised through the inter-relatedness of the two facets of focus and type.

INTENSITY: In Reddy's model, his published intention is to use the intensity dimension in the same way as Cohen and Smith intended by defining the strength, power or impact of the intervention as the consultant intended, rather than the strength of reaction as it is received. In this situation, the intensity facet could potentially be utilised as the strength of transfer as high, medium or low.

5.5 Data Collection for Cycle FOUR

This final cycle of research was carried out in a single hotel in Region A of the case study organisation some six months after the original ILP workshop was completed and evaluated. As stated in the introductory section of this cycle, my purpose was to obtain data that would test my hypothesis that Reddy's Intervention Cube might provide a valuable interpretive model for analysing the training transfer effectiveness of the ILP.

5.5.1 The Sample

The field research for Cycle Three was conducted with ten semi-structured interviews. The sample of volunteers was from one single hotel in one region. This population was purposively chosen for a number of reasons:

- Because of the size of the hotel, a large number of managers comprising two layers of the operational management team had taken part in the workshops. Therefore people taking part would be a representative sample of the range of leadership roles within the organisation who had been participants in the ILP.

- The senior management team of this hotel expressed an interest in continuing with the programme, doing more with FIRO Theory and were interested in contributing to and collaborating with my research.

- The geographic location was convenient and practical

- The interviews could be conducted in English and not require translation or interpretation.

The ten people interviewed were all volunteers. At the close of their follow-up event, some weeks following their ILP, I asked for volunteers to take part in the interview. As a result of this request, many more than the ten people eventually interviewed volunteered, indicated by a show

of hands in the room and subsequent offers of support by individuals. I am aware of the possibility of further data being collected from people who did not volunteer, but I was not in a position to encourage or extend the goodwill of the hotel any further, so decided to proceed with the volunteer population. The final selection for interview was made on the basis of availability, shift patterns and work requirements for the two days allocated for interviews. This meant that the interviewees were randomly selected from the volunteers by the HR Manager in the hotel and I was provided with a list of willing volunteers and a timetable.

The gender mix of the sample was 2 female and 8 male participants. The length of interview ranged from 16½ minutes to 32 minutes. The average time for all ten interviews was 21½ minutes. Of the sample, three were members of the Executive Team, one was a head of department and the remaining six were assistant heads of department. This provided a good cross section through the structure of the management team.

The interviews were held on a one-to-one basis in a private room and timed at 45 minute intervals throughout two consecutive days. All interviews were electronically recorded and subsequently transcribed in full length and detail. No verbal data were excluded from transcripts but my recording did not include non-verbal data. Informed consent from all interview subjects was gained via a written agreement designed to facilitate understanding of all relevant details about the research. An information sheet / leaflet was also prepared to provide a record of the purpose and nature of the research, the risks and hoped for benefits with details about the researchers and participants' rights. This was used on two occasions: Firstly when asking people if they would be prepared to be interviewed in the first instance, so that they knew the nature of what they were agreeing to, and secondly, before the actual interview began.

At the time of research, this hotel was a completely new business, having opened just over a year previously as a newly built property. Consequently the team had been together for just over a year, but prior to the ILP, had carried out very little work or considered focus on the team culture or relationships. Following the original ILP workshops there was a significant level of motivation and an explicit requests for some support to help them to continue to transfer what they had learned on the programme back in the work environment and to use it to strengthen their management culture. Many members of the management team had joined from other larger international hotel companies with good reputations for integrated and aligned learning and development and people management practices. Therefore, my assumption was that members of this team were likely to be able to identify some of the organisational aspects that contributed to transfer, or that were missing or insufficient to create and sustain a level of change. Because of the size, style and nature of the selected hotel, the management team members were operationally experienced, career focused and most had held managerial roles in the past.

Therefore, their characteristics, intellectual ability, personality and motivation were likely to be sufficient for the requirement of gathering reliable data regarding transfer. These managers had joined from other major hotel organisations in the industry, many of them well-established companies with strong cultures. As a result of their previous experiences, they were able to identify and report on a phenomenon that they themselves termed a *culture vacuum*. I also experienced this same phenomenon when working with them.

Their desire for effective transfer of outcomes from the ILP was supported by reports and anecdotes regarding their interpretation of the corporate level of organisational culture being insufficiently developed or aligned to provide a strong leadership culture and influence. This view was supported by the fact that some of their senior managers reported in to a leadership level that was not in scope for participating in the ILP and consequently had limited understanding of the taught principles within the programme. Lack of alignment was apparent in other organisational procedures related to their people processes. The senior management team of this particular hotel realised that the Inspirational Leadership style, together with a strong alignment to FIRO Theory and the behaviours of inclusion, control and openness were aligned to organisation strategy and could be utilised to assist them in the development of a strong culture that was sufficiently individual for their scale and uniqueness of operation but also aligned to their own organisation's strategy.

5.5.2 Collecting the Data

A pilot interview was conducted in order to test questions and refine researcher technique. For this pilot interview, I prepared my questions, interview guide, consent form and protocols and created an opportunity with a view to:

- Test an interview conducted to trial protocol, process and equipment.
- Give me some practice of conducting the interview
- Refine the questions for future data collection interviews
- Test how long it would take me to transcribe the recording

The questions asked included the areas of:

- General memories and lasting impressions from the original workshop
- The application of any key concepts afterwards
- Examples of critical incidents where those concepts were used
- Noticing changes in others
- Ideas and suggestions for enhancing transfer of learning

From this pilot, questions were refined and the interview protocols and interview guide prepared. The purpose of this was to guide me to the topical domains for which I required narrative and answers to my research questions. The topical domains were selected based on a mixture of my preunderstanding, existing data from the previous cycles and analysis of the training transfer literature. The guide was developed to support a methodology of one to one semi-structured episodic interviews, asking for narrative of relevant situations from a variety of regular or everyday experiences and using the critical incident technique as *essentially a procedure for gathering certain important facts concerning behaviour in defined situations* (Flanagan 1954, p.8).

The use of critical incident technique was designed to guide the interviewees to give specific examples of any changes that had been implemented as a result of their experience and learning on the programme. By planning to probe for specific incidents, my intention was to avoid generalised responses. I also engaged with episodic interview techniques (Flick 1997) by phrasing my questions in the interview guide to elicit and probe specific examples and episodes to accesses depth and personal context and attempt to *bring out the affective and value-laden implications of the subject's responses, to determine whether the experience had central or peripheral significance* (Merton and Kendall 1946, p.545). The interview guide was designed to focus questions on situations that were positive, unexpected and effective as well as any problematic situations. The planned areas for the interview guide included:

- Introduction to the interview, greeting, rapport and general information, gaining and clarifying consent for signature, giving of one copy, instructing the interviewee as to the style of questions and explaining the principles of the questions.

- General questions to gain a subjective definition of the issue of the enquiry, sharing their understanding of the purpose of the ILP workshop and looking back to remember their experiences of the event.

- Questions probing examples of changes in behaviour or awareness since the workshop. The section focused on collecting narratives of critical incidents and any changes in they had adopted themselves and that they had observed or experienced in others.

- A set of questions designed to elicit their thoughts and ideas about what could have been provided to assist in their transfer of training from the ILP and facilitate firstly, the migration of new skills, knowledge and behaviours and secondly to ensure that they were sustainable and maintained over time to assist in improving performance.

- A final section indicating that the interview is drawing to a close, including and enquiry in case of any questions that respondents wanted to ask, if there was anything else that they wished to add and repeating thanks for their time and input.

A consent form was produced, signed by both parties and filed according to the London Metropolitan University guidelines. A copy can be seen at Appendix 3. The content of the consent form included information on their rights to participate, decline or withdraw, data protection information including guaranteed security, privacy and anonymity of all personal records held during the research and contact information of the researcher and signatures for informed consent. Costs and compensation were not applicable in this instance. I transcribed the interviews myself during the week following the interviews. Although this took a considerable amount of time, it meant that I was immersed in discovering a deeper level of the context and meaning of the narrative as it was being recounted. I found the starting, stopping and re starting the recorder enabled me to catch nuances and recall the interview situation as episodes for myself. It also had an unplanned side effect of providing me with further learning and an opportunity to review my own interview skills in a researcher context.

Following the completion of the transcripts, each respondent was provided with a copy of their own interview transcript and any interpretations resulting, in order to give them the opportunity to consent, reject or correct them. All interviewees confirmed consent that the transcripts were an authentic record of their experience and reporting.

5.6 Coding the Data

I adapted the conceptual framework offered by the Reddy Intervention Cube (1994) with the purpose of utilising it as a post-hoc interpretive model for analysing the interview data relating to the outputs and reported impact of the ILP experience for the respondents. As explained in the previous section, I hypothesised that deploying it as a coding device might also meet a requirement for analysing the data in a sufficiently situationally responsive way. For the analysis of the interview texts, the following categorisations combining two dimensions were used and tabulated on a matrix using a number sequence (1-25) for each cell as displayed at Table 5.2, over page:

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Individual	5	10	15	20	25
Role	4	9	14	19	24
Team	3	8	13	18	23
Inter-team	2	7	12	17	22
Organisation	1	6	11	16	21

Table 5.2: Coding Matrix

5.6.1 Dimension 1: Type of Reported Activity

Using this facet of the framework, the dimensions were used to categorise any activity respondents reported having noticed or done since their ILP workshop.   This dimension defined the level of reported activity in the categories as follows:

- **Cognitive** = Knowing
- **Skill/Activity** =Doing
- **Behaviour** = Description of change in behaviour
- **Affective** = Emotional / Reflective
- **Interpretive** = Integrated into regular practice

Examples of coding against these categories:

1 - 5 Cognitive = Knowing: A description of knowledge gained as a result of the workshop. Code range: depending on the combination with the level of activity 5,4,3,2 or 1. For example:

- Interview L5: Lines 27-29: *In terms of my peers and other Heads of Departments a bit more, you know their personalities. That came across and I understood them much better than before that session*

The coding for this statement is assigned to the area of cognitive/knowledge as the respondent is describing a new level of understanding. It does not indicate any change in behaviour, reflection or interpretation.

- Interview L12: Lines 3-5: *I think the bit about awareness and the bit about being aware of our own reactions. I think that was in the session about different stages of reaction – what is instinctive and what we can control.*

This response is coded in the cognitive category because the respondent describes his/her understanding of the theory of awareness, rather than the experience of enhancing it.

6-10 Skill/Activity = Doing: A description of some activity or doing something as a result of the workshop. Code range: depending on the combination with level of activity: 10,9,8,7 or 6. For example:

- Interview L7: Lines 172-173: *I think for my team, for the financial team, what we have started to do differently is that we've got the xxx models on the wall, so in the team meetings...*

A clear statement of activity related to physical and tangible changes in the environment and management of team meetings

- Interview L10: Lines 4-6: *I think the biggest learning that came immediately into the business and I'm still using it was the way – you know the red and green zone and controlling your emotions with the aspect of the business.*

Although this could be defined as a change in behaviour, the content of this explanation suggests a development of a skill in being able to control emotions. Therefore, it is coded in this category.

11-15 Behaviour = Description of change in behaviour: A description of behaviour change as a result of the workshop. Code range: depending on the combination with level of activity: 15, 14, 13, 12 or 11. For example, a description of a new behaviour and addition to behaviour range for these individuals:

- Interview L5: Lines 147-48: *So now I'm a bit more aware of these things so I don't just give them feedback but tell them what else I can do for them.*

- Interview L9: Lines 41-45: *I was probably a little bit more controlling and protective of my own sphere of influence – very protective - almost to the point of aggressively so in some cases and was not very inclusive, I would say would be the description. I've recognised since the programme that probably is not of benefit to anyone – including myself so I've been very actively inclusive in some of the decisions I make.*

In this extract, the respondent describes a specific change in more inclusive decision making behaviour:

- ▪ Interview G1. Lines 15-16: *…and I'm trying to think more about what I am trying to say because I sometimes come across as…*

16-20 Affective = Emotional / Reflective: Description is on an emotional or reflective level. Code range: depending on the combination with level of activity: 20, 19, 18, 17 or 16**.** For example:

- ▪ Interview G1. Lines 7-8: *So after the workshop, I really came back and I sat down and I really thought about all the impressions I got in this workshop.*

This statement is interpreted as a reflective process "really thinking" about the workshop past experience and impressions gained.

- ▪ Interview L10: Lines 32-35: *So that pushed me almost into red zone and I thought "Ok I need to control myself and my emotion and I need to manage this business and not to protect but I need to manage the expectations and stakeholders to bring it back in line to how it should be".*

In this fragment, the respondent describes a level of reflection about controlling emotions around a critical incident.

21 - 25 Interpretive = Integrated into regular practice: In this area of coding, the respondent description is about interpreting in a different way or integrating into practice through a level of new understanding or new level of understanding. Code range: depending on the combination with level of activity: 25,24,23,22 or 21. For example:

- ▪ Interview L5: Lines 214-16: *I think it's become more of a habit now and I am very conscious of being approachable, openness, being open and things like that so I think it's become embedded in me.*

In this example, the text has been coded in this category because of the quality of integration "embedded" being described.

- ▪ Interview L7: Lines 117-118: *…then what do you think that does for their employees? They'll be thinking, "Well my manager doesn't really care".*

In this example, there is a level of interpretation about what other people may be thinking about their manager.

5.6.2 Dimension 2: Level of Reported Activity

This dimension describes at what level the reported activity occurs in the following five categories;

- **INDIVIDUAL**
- **ROLE**
- **TEAM**
- **INTER-TEAM**
- **ORGANISATION / EXTERNAL**

The descriptors applied to each level of activity are:

INDIVIDUAL: A description in the first person about the individual or self and not relating directly to their work role. Code range, depending on the combination with type of reported activity: 5,10,15,20 or 25. For example:

- Interview G1. Lines 7-8: *So after the workshop, I really came back and I sat down and I really thought about all the impressions I got in this workshop* is coded as 20 as a Level: Personal (using *"I"*) / Type of Activity: Reflective (*…really thought..*)

- Interview G1: Line 9: *…. and when I came back I talked about it* is coded as 15 Level: Personal (using *"I"*) / Type of Activity: Behaviour (*talking*).

Both statements are made in first person and contain clear "I" statements about the self.

ROLE: A description involving their own work role, or the role of someone else. Respondents either use "I" in relation to a work context, or about another individual in a work or other role.

Code range, depending on the combination with type of reported activity: 4,9,14,19 or 24, For example:

- Interview G1. Line 66: *but there are always a few people who tried to keep on it and make it happen so it stays alive.* This description is about other people and what they are perceived as doing

- Interview L7. Lines 18-20:*…that's what made it such a big difference and a big change for me in terms of managing the team underneath me.*

These descriptions are about individuals, but in a work role situation. I considered that this distinction between the role and the individual was important in analysing changes to the professional and / or personal self.

TEAM: A description of activity within their own team and /or span of control. Code range, depending on the combination with type of reported activity: 3,8,13,18 or 23. For example

- Interview L5: Lines 22-23: *this was a great opportunity to just get on and gel well together as a team and understand each other.*

- *Interview L7: Lines 172-173: I think for my team, for the financial team, what we have started to do differently...*

INTER-TEAM: A description of activity between their team and another within the same hotel or region. Code range, depending on the combination with type of reported activity: 2,7,12,17 or 22. For example:

- Interview G1: Line 9: *because I'm working in the (team), everybody was really on a high and you could really see that everybody (across the teams) tried so hard and you could see that it lasted for quite some time.*

ORGANISATION / EXTERNAL: A description of activity involving others outside the individual hotel environment. Code range, depending on the combination with type of reported activity: 1,6,11,16 or 21. For example:

- Interview G1: Line 165: *who won't necessarily have a customer facing role and not actually meeting a guest* and

- Interview L13: *I was just talking to (new corporate senior HR person) and we were discussing on her show round – and she said "what do you call your people?"…it's just that lack of joins and joined up thinking at each stage (of corporate organisation) that carries it through.*

Further examples of the coding and each cell are provided in Table 5.3 over the next pages.

Table 5.3: *Coding Examples*

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Person	**5** *I think the bit about awareness and the bit about being aware of our own reactions. I think that was in the session about different stages of reaction – what is instinctive and what we can control.* L12: Line 3-5	**10** *I find myself using words and phrases that I haven't used previously but I find are incredibly effective when I'm talking to people.* L7: Line 105	**15** *…. and when I came back I talked about it.* G1: Line 9	**20** *I sat down and I really thought about all the impressions I got in this workshop.* G1. Lines 7-8	**25** *…but I think it is still an underlying sub conscious thing – I can still feel it and especially when I talk to other people.* L12: Line 41
Role	**4** *Yes I really do that a lot and I think it's something I learned on the leadership course that I try to reflect the business.* L10 78-79	**9** *First of all I had a few conversations with the assistant manager and with the supervisors because they are running the day to day operation.* L10 50-53	**14** *I've also enjoyed challenging some of my reports who have been on it and one of the things that I did…* L9 Line 61	**19** *In regards to making my own choice and how I progress with my day to day work and how I continue managing my department.* L10 18-21	**24** *So all those things that were kind of unconscious are now more of a conscious state for me – so I've enjoyed that.* L9 Line 61-63
Team	**3** *But we did a lot of work together and realised understanding each other's preferences on inclusion, control etc. - it makes our lives easier.* L10 195-5	**8** *I think for my team, for the financial team, what we have started to do differently…* L7: Lines 172-173	**13** *…everybody was really on a high and you could really see that everybody (across the teams) tried so hard and you could see that it lasted for quite some time* G1: Line 9	**18** *So the whole scenario was a completely emotional situation.* L10 94	**23** *…but with both of us being aware because we have both been through it, it means that we can effectively manage that* L7 72

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Inter-team	**2** *…when I meet them there is still the memory of what happened and I think, not that anything happened, but I think it's very much still alive I must say.* L12: Line 45	**7** *That whole side of it is very different this year as all the heads of department have been involved with lots of openness and lots of discussion with people about the figures and getting them actively involved.* L7: Line 154	**12** *Within F&B yes but I think I hear it when we are talking to each other too – with HR, accounts…* L12 Line 25	**17** *All in all it was fantastic because being a new team it was important – that's my personal opinion.* L5 Line 19	**22** *So that to me in terms of what's happening in the whole 'welcome environment' is that change of mind-set.* L13 Lines 130-132
Organisation	**1** *…because (at corporate level) there isn't a recognition that you need to take this bull by the horns and give it a good shaking and accept and do what you need to do.* L13: Line 263	**6** *…who won't necessarily have a customer facing role and not actually meeting a guest – but their customers are internal customers how that then impacts on them in terms of interacting with each other – because you know it makes a difference.* L7: Line 265	**11** No evidence gained in this category.	**16** No evidence gained in this category.	**21** *I detect that in terms of the working relationships with some of those people is that it has vastly improved.* L10 56-57

5.6.3 Dimension 3: Level of Intensity

A third level was added to the coding to complete the adaptation of Reddy's Intervention Cube for this purpose. For this dimension, the level of impact refers to the transfer of behaviour through identifiable elements of the content, especially the taught model of FIRO Theory or the experiential activities of the programme. This was an attempt to measure the transfer of the learning from the programme design and content as *training outcomes include the knowledge, skills and affect acquired as a function of the training and the retention of the training content* (Kraiger *et al* 1993, p.313). In this dimension there are 3 categories:

A. **High Impact** – where the learner reports improved performance as a direct result of the training, so the attribution of training transfer influence is high.
B. **Medium Impact** – where new knowledge or a new behaviour have been experienced, but not directly attributable to the training.
C. **Low Impact** – where change happened and is attributed to something other than the training, or performance is worse in some way.

A **High Impact** statement was assigned a letter **H** and directly identified a reported positive transfer signified by a change in behaviour directly attributed to a taught element of the programme and/or FIRO model.

For example:

Interview L12: lines 2-5: *the main thing for the workshop I attended – was that when I was there it was very evident… you know the word you used was "collusion" and the lack of honesty that we had between us.* This is a direct application of a taught element from the programme in the area of surfacing collusion and increasing levels of openness in the team dynamic.

Interview L7: Lines 15-20: *I think the workshop, explaining the inter-relationship between inclusion, control and openness and how that then affects my behaviours and why I make the decisions that I do* is analysed as a high impact statement because it uses the specific language of FIRO Theory.

Interview G1: Lines 102-104: *What I found very interesting was the FIRO charts just to see where you are, where you stand and I find that very helpful, especially for the teams.*

Interview L7: Lines 15-17: *I think the workshop, explaining the inter-relationship between inclusion, control and openness and how that then affects my behaviours and why I make the decisions that I do.*

A **Medium Impact** statement was assigned a letter **M** and denoted a statement of positive transfer of learning signified by increased awareness or change as a direct result of the programme experience, but not overtly attributable to FIRO Theory or the taught elements of the programme.

For example:

Interview L6: Line 39-43: *The other thing that I took away from the course is that you actually can, in a fun way, point things out to other team members or colleagues and say that's what we talked about – yeah some kind of mechanism where you can actually point out things but you have some kind of backup for it.*

This statement is suggesting that as a result of the programme experience, there is a framework for challenging the behaviour of others, but is not a reference to the programme specific content, or an example of specific behaviour.

A **Low Impact** statement, assigned a letter **L** was a low impact statement and coded in examples such as Interview L12, Line 13-15 where the respondent explains an awareness of his/her own reaction and potential to change behaviour as a possible result of learning transfer: *I can't remember and I think I didn't fully get it then, but some things sink and I think it's sinking in because I just blame.* This is a statement that implies an awareness of the individual reaction to certain situations, but is not explicitly explored or explained as an impactful experience or change in behaviour as a direct result of the ILP.

Or Interview L5: Lines 26-28: *In terms of my peers and other Heads of Departments, you know their personalities a bit more – that came across and I understood them much better than before that session* which is directly linking a change to the programme experience, but is not a statement about the impact of the content.

5.6.4. The Coding Methodology

Each interview transcript was divided into numbered sections, allowing for lines to be easily located within each paragraph. The coding methodology and guidance notes were produced as a coding manual to ensure consistency of application of the assigned headings. Each transcript was anonymously coded. An example of a coded transcript can be found at Appendix 4 and the Coding Manual can be found at Appendix 5.

The responses to questions referring to transfer of learning and changes in behaviour were all individually coded according to the coding manual. For example as shown in Table 5.4:

Line	Contributor	Narrative	Theme
7-11	Respondent	Yes – and I think to be able to evaluate if the way I respond is the best way 20 H	**20 Person Reflection** **H** is assigned as a high impact statement of positive transfer because the response is directly related to the content of the programme
		and I think the red zone and green zone behaviours also have become pretty much part of our working culture now. 24 H	**24 Role Integration** H because the behaviours mentioned were part of learned content, providing evidence of positive transfer with high impact

Table 5.4: An example of coding the transcript

For research question 2 and an inquiry into what would have assisted further transfer, the texts related to researcher questions and respondent answers were highlighted in a different colour to allow for easy identification and extraction of the data relating to this question. For example as shown in Table 5.5, over page:

Line	Contributor	Narrative	Theme
145-149	Respondent	I would say that in some areas, but that's only an assumption. I would say that there needs to be more strict guidelines and more consequences if you don't use.	Consequences

Table 5.5: Further transfer

Finally the coding manual and a sample of blank transcripts were circulated to two independent colleagues to test the consistency of the coding. The coding was also approved by my supervisors.

5.7 Analysis and Findings

The number of responses in each category were collated onto a spreadsheet and then aggregated across all interviews. The results of the coding produced the following results, as shown in Table5.6:

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Individual	5 22	10 14	15 34	20 50	25 25
Role	4 20	9 20	14 67	19 16	24 10
Team	3 12	8 3	13 24	18 1	23 4
Inter-team	2 3	7 3	12 29	17 2	22 7
Organisation	1 3*	6 1	11	16	21 3*

Table 5.6: Numerical results of the coding

The ranges were then colour coded to aid simple analysis:

50 + Individual Affective Reflective and Role Behaviour

30+ Individual Behaviour

20+ Individual Cognitive, Individual Interpretive, Role Cognitive, Role Activity , Team Behaviour and Inter-team behaviour

10+ Team Cognitive, Role Affective /Reflective and Role Interpretive.

Scores under 10: Team Skill/ Activity, Team Affective, Team Interpretive, Inter-team Cognitive, Inter-team Skill / Activity, Inter-team Affective, Inter-team interpretive are shown without colour coding and the two red scores* represent reports of a negative transfer effect in terms of reporting something that is not happening at organisational level.

Overall findings were that nearly every box on the grid was populated and the model proved itself to be a relevant tool with which to code the data. The most commonly reported changes are at the top of the grid at individual level and diminish in number as it progresses through to the level of the organisation.

The highest impact area in this group is in the Behaviour in the Role (67) and Affective / Reflective changes at individual level is the second highest area of reported transfer and change with 50 responses. Another way of interpreting the findings was to total the responses across the types and through the levels as shown in Table 5.7, over page:

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated	Total Level
Individual	5 **22**	10 **14**	15 **34**	20 **50**	25 **25**	**145**
Role	4 **20**	9 **20**	14 **67**	19 **16**	24 **10**	**133**
Team	3 **12**	8 **3**	13 **24**	18 **1**	23 **4**	**44**
Inter-team	2 **3**	7 **3**	12 **29**	17 **2**	22 **7**	**44**
Organisation	1 **-3**	6 **1**	11	16	21 **-3**	**1**
Total Type	**57**	**41**	**154**	**69**	**46**	

Table 5.7: *Total results of the transcript coding*

From this analysis it is clear that the highest number of reported changes was in the individual level with a total of 145, followed by the role level with 133. As these are both changes related to the individual, the total of changes at individual level was 278 out of a total of 367 reports of changes.

This represents over 75% of all reported changes as being at their strongest at the individual level and diminished through the levels to practically no evidence of any change at organisation level.

The highest type of change reported across all levels was behaviour and descriptions of changes in behaviour with 154 out of 367 responses, representing nearly 42%. At individual level, the highest impact was in the cell relating to affective and reflective transfer.

In conclusion, the data suggests that within this sample population, the ILP programme did have a reported impact and some transfer of training was apparent at individual and team levels. Each element of this definition had a corresponding coding category and provided evidence of training transfer and the application of increased self-knowledge

and awareness of inter-personal impact, and maintenance of new behaviour to enhance personal and/or professional effectiveness.

Therefore, if the aim of the ILP had been to impact individuals and result in behaviour change, then of the transfer reported, the training could be argued to have been effective. However, transfer was not reported to have occurred at the level of the organisation and the impact was weak at inter-team level.

On a temporal dimension related to transfer, reports were that it had a high impact at first, but that this diminished over time and that the maintenance of transferred behaviours and skills was challenging with busy operational responsibilities and pressure of work, but this dimension was not part of the analysis.

During the interview, each respondent was asked to contribute their ideas for factors that would have helped them to transfer the training and then to maintain any changes. In my original coding protocols, responses to this question had not been assigned any code, but answers were highlighted in a different colour in the text in order to assign a cell within a grid derived from the adapted Reddy's Cube to see if the transfer of learning data could be similarly categorised:

The suggestions made by interviewees for transfer tools or support are categorised in Table 5.8 over page and assigned to each individual transcript by the interview identification L1 – L11 and G1. Some suggestions are relevant for more than one cell in the table. For example: *Have some way of making it daily routine (*L6) could apply to person and role level and be relevant as a type within behaviour, integration and activity.

Table 5.8: *Suggestions from transcripts for transfer tools and support*

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Person	**5** L6 Provide a text book L6 Provide some pre-reading on the theory L7 A book designed as more of a take-away	**10** L6 Provide some pre-work to be completed before the programme L8 Provide some sort of template giving information on behaviour, choice, effect on others etc. *"if you are this, then that and experiment by doing this…"*	**15** G1 Engage in more straight talking L10 Encourage dialogue and forum for discussing changes, sharing progress and capturing benefits gained	**20** L11 Mechanism for recording and reflecting on feedback L8 A guide for reflective activity after the programme	**25** G1 Use of FIRO scores to encourage further interpretation L11 Personal objectives framed and desired changes in behaviour defined L7 Some practitioner guidelines for applying it to people
Role	**4** L12 More hard copy material to support L12 More training in understanding behaviour in organisations L8 Some sort of short reminder as with other models on the basis of *"to get the best from me"*	**9** L6 Have some way of making it part of daily routine L6 Refresher training L6 Follow up activity L9 Provide a structured process with activities and exercises L9 Provide follow up activity L7 Day to day structured framework for implementing	**14** L6 Have some way of making it part of daily routine L13 Some easy steps to follow L11 Objectives agreed and required changes in behaviour defined	**19** G1 A poster as a visual reminder L12 Material to encourage reflection L7 More visuals and perhaps reminder cards, cube or other visual artefact.	**24** L6 Have some way of making it part of daily routine G1 Visual stimulus and reminders of principles L7 Situational activities and scenarios to act and practice when back at work.

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
		L9 Use tangible metrics for change and measure day by day until it becomes routine L10 Follow up with an action plan and review the action plan L10 Ensure action plans are managed and have consequences L10 Provide structured project work to continue with implementation plan and timings L10 provide more back to work activities in a workbook or similar L10 Create a model for plotting progress for professional development as well as personal			L7 Some activities to help interpret a situation *"if this, then try that"…* L9 Use tangible metrics for change and measure day by day until it becomes routine
Team	**3** L8 Provide an easy communication piece to take back to rest of team to share knowledge and raise awareness	**8** G1 Organise some team sessions or events L11 More group work to encourage us to bring it back L11 Structured group activities L11 Facilitated group activity	**13**	**18**	**23**

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
	L9 Clarify expected outputs, set expectations and attach consequences	L8 Activities to encourage dialogue within the team			
Inter-team	**2**	**7** L6 Do some cross-functional activity	**12** L10 Set up some sort of competition between teams	**17**	**22**
Organisation	**1** L9 Clarify expected outputs, set expectations and attach consequences	**6** L13 Align behaviour requirements and objectives to performance review process. L9 Incorporate behaviour changes into performance review process L10 Ensure next level of leadership is included.	**11** L13 Pull it together from the top and be clear about the message and the action required L13 Ensure corporate alignment L10 Ensure that leadership strength is on the corporate agenda	**16**	**21** L13 Pull it together from the top and be clear about the message and the action required L13 Ensure corporate alignment

Arranging the data in this way provided some insights in that the responses revealed clues to individual learning preferences and served as a reminder to take this into account when designing tools for training transfer in providing a range to suit all types and also being mindful of my own practitioner preferences.

As the data had been coded against an untested conceptual model, findings were also coded against a framework based on the model of Baldwin and Ford (1988), using the traditional categories of learner characteristics, training design and work environment. These are shown in the table 5.9 below. Items in italics are additional potential solutions taken from the literature related to this cycle and added to the data from the interviews.

Learner Characteristics	Training Design	Work Environment
L11 Personal objectives framed and desired changes in behaviour defined	L6 Provide a text book	G1 Engage in more straight talking
	L6 Provide some pre-reading on the theory	L10 Encourage dialogue and forum for discussing changes, sharing progress and capturing benefits gained
Learner Readiness – encourage self-responsibility and also in selection	L7 A book designed as more of a take-away	G1 Use of FIRO scores to encourage further interpretation
Motivation to transfer –self responsibility	L6 Provide some pre-work to be completed before the programme	L12 More training in understanding behaviour in organisations
Performance self-efficacy –engage in self-assessment and awareness	L8 Provide some sort of template giving information on behaviour, choice, effect on others etc. "if you are this, then that and experiment by doing this…"	L6 Have some way of making it part of daily routine
		L6 Refresher training
		L6 Follow up activity
Transfer-effort performance expectations – clarify expectations and what they want to achieve at personal and individual level	L11 Mechanism for recording and reflecting on feedback	L9 Provide a structured process with activities and exercises
	L8 A guide for reflective activity after the programme	L9 Provide follow up activity
	L7 Some practitioner guidelines for applying it to people	L7 Day to day structured framework for implementing
	L12 More hard copy material to support	L9 Use tangible metrics for change and measure day by day until it becomes routine
		L10 Follow up with an action plan and review the action plan
Explore *personal capacity* to transfer		L10 Ensure action plans are managed and have consequences

Learner Characteristics	Training Design	Work Environment
and support required	L8 Some sort of short reminder as with other models on the basis of "to get the best from me"	L10 Provide structured project work to continue with implementation plan and timings
Positive personal outcomes and clarify positive benefits for self	L10 provide more back to work activities in a workbook or similar	L9 Clarify expected outputs, set expectations and attach consequences
Negative personal outcomes and clarify negative outcomes for self	L10 Create a model for plotting progress for professional development as well as personal	G1 Organise some team sessions or events
	L8 Provide an easy communication piece to take back to rest of team to share knowledge and raise awareness	L8 Activities to encourage dialogue within the team
		L6 Do some cross-functional activity
	L11 More group work to encourage us to bring it back	L13 Pull it together from the top and be clear about the message and the action required
	L11 Structured group activities	L13 Ensure corporate alignment
	L11 Facilitated group activity	L10 Ensure that leadership strength is on the corporate agenda
	Content validity – Check at all stages of the process to affirm content validity	L13 Align behaviour requirements and objectives to performance review process.
	Transfer design – build into programme design from the beginning and identify/ diagnose *transfer inhibitors*	L9 Incorporate behaviour changes into performance review process
		L10 Ensure next level of leadership is included.
		Clarify Performance outcome expectations
		Create and highlight opportunity to use what has been learned
		Provide structured supervisor support pre and post intervention
		Clarify potential supervisor sanctions
		Create opportunities for *peer support* – learning sets, dialogue, sharing, discourse, feedback opportunities
		Provide p*erformance coaching*
		Supportive culture and support with resistance to change

Table 5.9: Considerations for training transfer activities

In the main, respondents reported about their own outlook and what they would have liked from the perspective of the individual. Senior managers tended to be more organisationally focused and all comments in the organisation level of the grid were provided by the senior managers.

The junior managers requested more prescriptive and directive solutions, opportunities to practice and tools for transfer provided at work environment or organisation level. In this case, the meta-cognition required to transfer training from a personal development process to create professional change in the workplace would have been enhanced by the provision of more direction and support. The requests were to do more, not less, with the learning and to be held to account with objectives and action plans.

This table provided a rich selection of ideas from which to further develop a range of activities, techniques and tools to inform my practice in the future and to enhance transfer of learning at key stages in a similar setting or situation.

5.8 Conclusions from Cycle Four

A key question remaining from this cycle was how this data could be used to inform future practice and how to incorporate transfer into the design of an intervention and not as a post-hoc rationalisation.

5.8.1 What conclusions regarding training transfer could be made to inform practice in a similar situation?

The first impact for my practice was to consider how to work closely with my client organisations in future to put training transfer clearly on the shared agenda from the beginning and use transfer objectives to inform the intervention success criteria. This means defining specific and overarching strategies for transfer from the conception of any intervention and assigning accountability for them to encompass organisational, team and individual levels. The design is then an opportunity to craft transfer strategies for achieving them and clear tactical methods and tools must be delivered to help the client organisation and learners to initiate the required transfer and, more importantly, to maintain it over time.

From an ethical perspective, the client is investing in the achievement of outcomes and results; not the intervention itself, but the longer lasting effects of the intervention. In the majority of the literature studies, the researchers are available to test the transfer whereas in practice, the practitioner may not be still within the organisation or client system and so a need emerges to create a rigorous and robust framework to ensure that any intervention has a maximum chance of being successful. This is vital for me as a consultant practitioner because the transfer stage usually occurs after I have exited from the system. *Attention to the needs of the individual learner and the organisation require balancing, so that the transfer outcomes benefit both and enhance development* (Leberman *et al* 2006, p.3).

The flow for intervention is then a sequence of defining transfer objectives at the stage of training needs analysis, followed by transfer strategies incorporated into the design and then transfer tools and solutions delivered at a tactical level. In this case, the temporal dimension is also significant as training transfer should be considered at various stages of an intervention and that the development of various tools to assist transfer may enhance the chances of it happening more effectively.

Whilst some tools for transfer had been created within the ILP through action plans and follow up interventions, because these were not aligned closely to clear transfer objectives and no one was accountable for them, their utilisation and subsequent efficacy was varied. Therefore accountability, or lack of clarity about it, was a strong influence on training transfer in this case. Further tools to aid transfer could have been utilised back in the workplace, for example some form of self-assessment process, a feedback form or some nature or report for peers to complete, or a checklist for an independent observer. Change could be maintained over time by some form of testing at prescribed intervals. Other behavioural transfer tools, including coaching, observation, salient and timely feedback, self-assessment, peer assessment, 360 reviews etc. could be scheduled at the design stage. However, designing and providing the tools is only one issue as the quantity and quality of their utilisation will largely depend on the state of the organisational transfer climate. The multidimensional nature of the work environment including such factors as support, transfer climate and opportunity to transfer are considerations for constructing a clear set of transfer objectives from the beginning, supported by an intelligent transfer strategy and finally underpinned by carefully designed learning experiences. This suggests a possibility for another facet of

a theoretical framework prompting questions for the outset of an intervention, such as how the transfer tools will be used, who by and what, if any, are the consequences of neglecting their use.

A firm conclusion and learning regarding training transfer to inform practice in the future is to incorporate transfer considerations at the diagnosis, design and delivery stages. A further conclusion from this final research cycle was that effective transfer can probably be best encouraged and enhanced through a holistic and integrated approach that involves a number of people with accountability at various times, including before, during and after the intervention and most importantly contingent with it in a specific and generalised way.

As a complex set of processes with many intervening variable affecting it, training transfer appears to be situation specific and therefore should be inquiry-led rather than applied to a fixed model of operation.

Therefore, one conclusion is that transfer should be pragmatically considered as specific to the case in hand, rather than generalising. This then infers that the nature of required transfer needs to be considered from the outset of training and during each time frame of diagnosis, design and delivery in order to achieve the desired near transfer in the short term and maintain far transfer over a long term. This strongly suggests that transfer objectives need to be defined from the very beginning of an intervention. Therefore, key questions should be asked right from the outset of a potential intervention to identify at the very least: the specific nature of transfer required, how it will be measured or evaluated and how it will be executed and supported.

5.8.2 How could these conclusions be captured in a theoretical framework?

These conclusions can be captured in a theoretical framework and my early proposal was that the framework devolved from Reddy's Intervention Cube (1994) and used to code the data, could provide a practical matrix or template for aiding diagnosis in the future and serve as a guide to establish the level of depth and particular outcomes that are required to be reached. It serves to provide some answers to questions of where in

the organisation and at which level the transfer is required, and the nature that transfer should take.

As a diagnostic tool for the future, this matrix provides a range of 10 inter-changeable variables answering questions regarding the "what" and "where" for required transfer. It may have relevance for similar settings in the future for indicating the required level of transfer and also to provide a useful reminder to ensure that each stakeholder level or individual is assigned appropriate responsibility and accountability.

Using the matrix for coding the data had been valuable for this cycle of enquiry and provided rich data about the nature and level of impact of the ILP, providing some answers to the transfer-related questions of what and where, but it had limitations as a two axis model. A further facet was required to take account of a time dimension and my findings indicated that there were many possible methods, processes and models for transfer solutions. Findings had also indicated that in this case, the affective and reflective dimension had been the most reported area of transfer for ILP individual participants and this raised a further question regarding the possible intensity or impact that had been required. As a practitioner, the level of impact requires purposive consideration and planning in order to design and deliver an intervention appropriately.

I am aware that these insights had limitations because they came from a small number of personal perspectives in one single setting. However, my conclusions are that the theoretical framework deployed was of value, but could be further enhanced for use in a similar setting by adding further questions to the what and where, using when, how and who to provide a bigger range of intervening variables to the matrix.

The result of this thinking in a form of morphological analysis is shown in Table 5.10, over page:

Area of Enquiry	Where	What	When	How	Who	Why
Dimension	Level in the organisation	Nature of transfer	Intervention stage	Method	Relationships and responsibilities	Strength of impact
Variable factors for consideration	Individual Role Team Inter-team Organisation	Cognitive/ Knowing Skills Behaviour Affective / Reflective Interpretive/ Integration	Diagnosis Design Delivery Evaluation (Before, during & after)	Process Method Model	Group / multiple Interpersonal / one-to-one Self / Intrapersonal	Low Medium High

Table 5.10: *A theoretical framework for enhancing training transfer*

Consolidating and interpreting the data, ideas and insights that were created from this fourth cycle led to the further development of this conceptual matrix into the Training Intervention Framework presented as the contribution to HRD practice in the next chapter of this study.

6). The Training Intervention Framework and its contribution to HRD research and practice

6.1 Chapter Introduction

The effectiveness of any training intervention is ultimately measured by its ability to produce the intended result and achieving success is reliant on a number of contingent variables. A complex intervention such as a leadership development programme is not a single category typology and therefore in this case, a conclusion is that it would have been invaluable to have a framework with which to cross reference and consider the many significant variables at all stages of the intervention.

At the conclusion of Cycle Four, a theoretical matrix was proposed as a result of the findings regarding training transfer and the factors that influence it. A further outcome from this cycle was a confirmation of the need to define the nature of required transfer from the outset of an intervention, with a clear strategy for transfer created at the forefront of the intervention design.

Transfer is a complex set of processes and the proposal is that it could be enhanced by maintaining an iterative line of consistent enquiry throughout an intervention. My interpretation of the number of factors, structures and norms is that in order to manage an intervention that can bring about the intended transfer result, certain question categories need to be asked and answered at various stages which integrate transfer requirements into the diagnosis and design stages of a training intervention:

- How? / Method
- When? / Timeframe
- Where? / within the organisation
- Who? / Target population
- What? / Learning outcomes
- How much? / Strength of impact

These are important questions for HRD practitioner and researcher considerations and should be amongst key factors featuring in dialogue with the client at all stages of training. Accordingly, as a form of morphological analysis in its current matrix format, the proposed framework at Table 5.10 incorporates a temporal dimension considering the stages from diagnosis and analysis of training needs, through to design, delivery and subsequent evaluation and assessment of training transfer.

In doing so, it combines the before, during and after considerations of intervention design and delivery and my hypothesis is that as a holistic framework, this may provide answers for achieving increased effectiveness in a similar setting in the future.

In this chapter, an integrative and analytical taxonomy in the form of the Training Intervention Framework (TIF) is presented and proposed as a contribution to the field of HRD research and practice as a result of this entire study. In doing so it challenges some existing models and adds to existing conceptual frameworks relating to different aspects of leadership development interventions

6.2 The Training Intervention Framework (TIF)

For each cycle of analysis during this leadership development programme, various existing theoretical models were utilised, and new ones created, for organising and analysing the data. However, each model or framework was applicable only to each cycle or to certain stages, and relevant to a specific time or aspect of the intervention.

For example, in Cycle One the framework utilised was related to the required outcomes for the intervention at individual, team and organisation level. Consideration of these levels was a consistent requirement throughout the intervention, but not always included as a factor in the existing models for various stages. In Cycle Two, the levels were incorporated into the meso-level model at figure 3.2 and the introduction of the nature of leadership dynamics both for team and individual consideration but also for objective (potency) and subjective (trust and commitment) factors. This model also introduced the dimensions of knowing / cognitive, doing / task complexity and being / self-leadership into the considerations of effectiveness in this case.

The four level evaluation framework in Cycle Three had some strengths but severe limitations in a lack of clarity about what should be evaluated and is related only to the time periods following the end of the training. The conceptual model created as a result of findings in Cycle Three accounted for levels (organisation, team and individual) and nature of impact (subjective or objective) but had no time dimension or consideration for accountability for transfer or other responsibilities.

The Reddy Intervention Cube (1994) shown at Figure 5.6 is relevant at the point of contact with participants and during the training experience. It was originally intended as a tool to help manage the intervention in the current time (the now), but does not connect to the requirements of diagnosis (before) or transfer (after). It is related to an intervention occurring in real time and

therefore at its most relevant during delivery, as it was intended to be used to observe, categorise, and analyse interventions by group leaders, regardless of theoretical and/or practitioner orientation. Whilst providing a very useful model for the intervention itself, my practice in this case started at the point of entry to the client system.

Considering this study with hind sight and from a meta-position, I realise that there are limitations in the models when used in isolation and correlated with the entirety and scope of the intervention.

Transfer is related to any level of change that is required and needs to be considered from the outset of the intervention, during planning and design through to the end with maintenance of the transferred change. Achieving this is a consideration before, during and after the intervention and also involves various people in accountability at each stage. My ideal requirement as a practitioner would to be able to refer to a single flexible framework or model to guide my practice, that is non case-specific but relevant for each stage of an intervention of this nature, from diagnosis, through design and delivery, evaluation and leading to desired changes through effective transfer. It should take account of relationships between as many of the intervening variables as possible and also provide an opportunity to match final outcome evaluation against initial diagnosis and illustrate opportunities for future improvements.

The models used and created previously, although useful for part of the intervention duration, were flat, uni-level and un-dynamic in their ability to connect the relationships between a large number of multi-level intervening variables. My final proposition is that, as transfer was revealed to be a multi-dimensional issue with relationships between several intervening variable factors, then it needs a corresponding multi-dimensional approach to help the practitioner navigate the complexities. In short, like a crystal, it is multi-faceted and may benefit from being presented as a 3-dimensional construction.

I developed the conceptual matrix framework from the previous chapter to consider the creation of a model that would help to define transfer objectives and guide the transfer strategy and tactics, drawn up at the early stages of diagnosing requirement and designing an intervention so that transfer is the guiding principle and everything else is created round it. Its function is to guide practitioner questions and areas of enquiry around the "who, what, when, where, how and strength of impact" headings of the morphological analysis framework from Cycle Four. My proposal is that it could be used to aid the diagnosis of requirement and craft the transfer strategy at the planning and diagnostic phase of an intervention. It could also be utilised to inform the design of an intervention, highlighting any opportunity for practice during the intervention and in designing work-based activities after the intervention on return to work to

assist transfer to take place. Using the Reddy Intervention Cube as a model, although it is illustrated and titled as a cube, only 3 faces of a three dimensional model are populated, so there is capacity for extending the concept of a cube to populate the remaining three faces.

The combination of considering the transfer of learning literature and supplementary theories, the various theoretical models utilised through this study, analysis of data created and reflection on learning through this case led to the consideration of a composite approach that reflects the dynamic interaction between a number of the possible intervening variables that had been identified. The relationships between these particular distal variables are reported through what has been discovered and experienced in this case and further research or utilisation in another setting may uncover other intervening mechanisms.

The resulting 3-dimensional cube presented as the Training Intervention Framework (TIF) at Figures 6.1 below and 6.2 over page outlines the structured levels of system intervention variables relevant to this case that may be considered for the creation of an effective training intervention with a clear transfer strategy in a similar case in future:
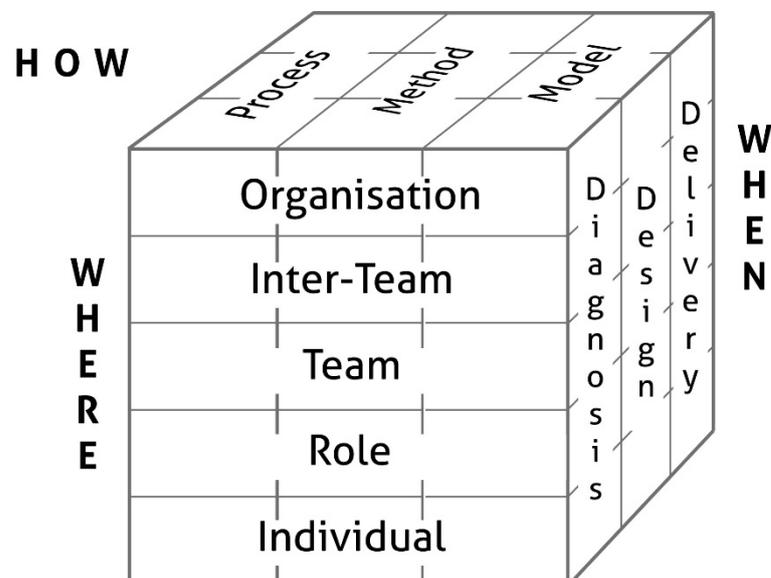

*Figure 6.1: Training Intervention Framework View 1* ©Cooke 2015
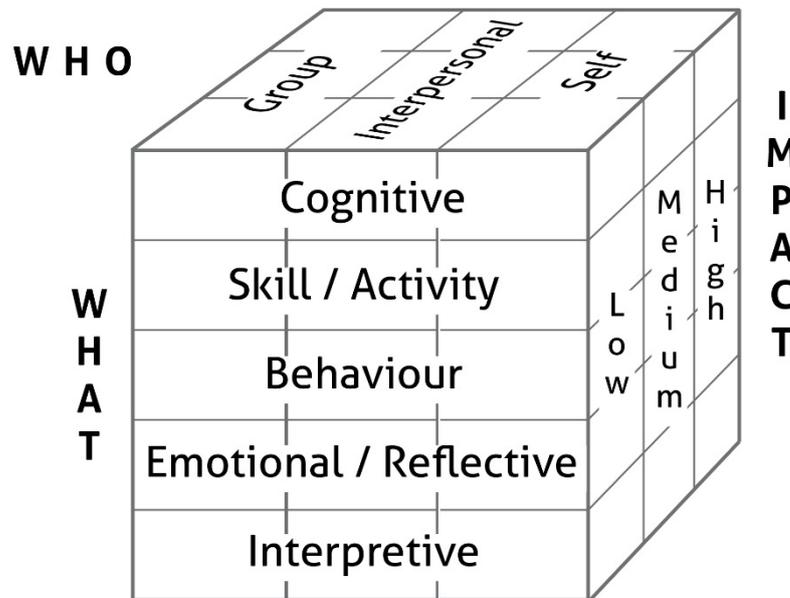
Figure 6.2: Training Intervention Framework View 2 ©Cooke 2015

The TIF is atheoretical in nature and presented as a taxonomy. It makes no claims to be a model where all constructs and variables have been tested. The six faces provide classifications for consideration and no assertions are made about proven causal relationships or that the TIF offers all six components proposed as necessary for established theories or models, asserted by Kilmoski as:

1. Elements or units, represented as constructs, are the subject matter
2. There are relationships between the constructs
3. There are boundaries or limits of generalisation
4. System states and changes are described
5. Deductions about the theory in operation are expressed as propositions or hypotheses
6. Predictions are made about the units (Kilmoski 1991).

The TIF is composed of dimensions that provide an exhaustive system for the classification of practitioner considerations for before, during and after training interventions of this nature. It is not biased toward any single approach to group work, it is not theoretical, and it is neutral in not having specific value-oriented prescriptions for any aspect.

It could be used as a systematic diagnostic or content analysis technique and requires a relatively low level of inference. Like Reddy's Intervention Cube, it can be applied to an intervention occurring in real time and used by group facilitators to observe, categorise, and analyse interventions, regardless of the preferences and orientation of the practitioner. Whilst

providing a very useful model for the intervention itself, my practice in this case started at the point of entry to the client system and it is proposed that it can be used as a research tool to develop understanding of requirements for the group composition, situational characteristics, purpose and goals, or in certain cases be applied to an individual learner.

Each face has the purpose of addressing a different area of enquiry with a purpose of stimulating enquiry about the specific case for which it is being deployed. A range of contexts for each face provides a total of 22 individual elements, providing a multivariate range of possibilities to consider about the complex and situational relationships that exist between the intervening variables.

Traditionally, scientists concerned with building and testing theories have used path-analytic procedures in which models are compared with correlations observed from empirical testing. However, many questions cannot be answered by a matrix of meta-analysed correlations (Colquitt *et al* 2000) and no claims are made for variables that are anticipated to have higher independent relationships with each other in different settings.

The TIF is not intended to be path-analytic and was not created from this basis. It is a simplistic representation of the system and provides a basic consideration of some of the key features affecting training effectiveness by offering a rich mixture of inter-relationships between variables.

The faces of the framework and elements within them are not assumed to be hierarchically dependent. It is therefore capable of being accessed in any order and in line with the chronological structure of any case.

As it is being proposed as a contribution to practice, the next section has the intention of validating and explaining how each face of the TIF adds to, develops or challenges existing models and conceptual frameworks that are current in the scholarly literature.

6.3 Assessing each face of the TIF through the Literature

This section reviews each face and content elements of the TIF against the relevant literature and theoretical aspects in order to provide evidence of its legitimacy as part of the framework. It concludes with a presentation of the TIF as a contribution to HRD practice.

At the core of this case study has been the thread of engaging in evidence-based practice in order to diagnose, design and deliver a leadership development programme that was effective

for the client and for the participants. My assertion is that the end measure of effectiveness for an intervention of this nature is in the far transfer of training, evidenced in this case by changes in individual leader behaviour and development of the collective leadership culture.

This brings a requirement to provide a more complete picture and there is indeed *a lack of suitable models with which to investigate the relationships among factors known to affect learning transfer* (Kirwan & Birchall, 2006, p. 253). This is particularly relevant for the concept of leadership development as, expanding Baldwin & Ford's approach, Broad and Newstrom (1992) argued that it was also necessary to explicitly consider the role of key stakeholders and time in affecting training transfer.

The synthesised requirement in this case is the transfer of training from a leadership development programme and from a systemic, rather than linear multi-level perspective, incorporating variables that have been found to have consistently strong relationships with transfer. *Research should theorise and assess training transfer as a multidimensional phenomenon with multilevel influences* (Burke and Hutchins, 2007, p. 287)

Leskiw and Singh concluded that six key factors were found to be vital for effective leadership development*: a thorough needs assessment, the selection of a suitable audience, the design of an appropriate infrastructure to support the initiative, the design and implementation of an entire learning system, an evaluation system, and corresponding actions to reward success and improve on deficiencies* (Leskiw and Singh 2007: 444).

Although the faces are not presented as a hierarchical structure, perhaps the logical place to commence the explanation of the TIF is at the beginning of an intervention and with the face related to the diagnostic stage of the intervention and a thorough needs assessment.

6.3.1 WHEN: The stage of the intervention
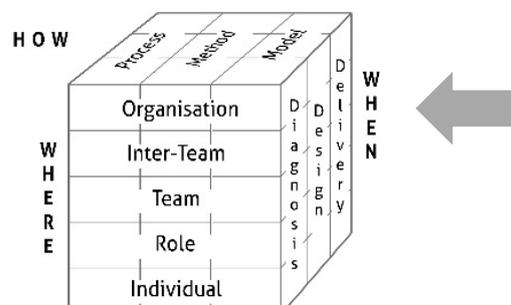
Figure 6.3: *The WHEN face of the TIF*

This face matches the chronological stages of development of the intervention through this study through diagnosis, design and delivery. Its purpose as a face within the TIF is to direct questions and enquiry at each stage of the process.

Diagnosis: Thorough and accurate diagnosis is necessary as optimal training design requires an understanding of the influences and issues that occur before, during and after training (Salas & Cannon-Bowers 2001).

The studies in the literature tend to focus on a single stage of an intervention with the result that *there is a shortage of empirical support linking the use of needs assessment to transfer outcomes* (Burke & Hutchins 2007, p.272). They also suggest that additional research is *warranted to substantiate the vast anecdotal evidence supporting the relationship between needs assessment and training transfer* (Burke & Hutchins 2007, p.273). Therefore a through needs analysis is required and there are subsequent implications for the needs assessment phase of the training process in practice.

Although vital to the effectiveness of training, from my preunderstanding, the diagnostic analysis frequently needs to be efficient because clients generally do not wish to spend time and resources on this stage. Because of the scale of the intervention in this case, I was granted levels of access and research resources that are not normal within my practice. As a consultant my preunderstanding is that proposals for resources for research and diagnosis prior to action may not be well received in all cases. With interventions of a smaller scale, the diagnosis stage can be reduced to a short meeting to gather the brief for the requirement, followed by a proposal submission and then a further meeting to confirm logistics. Even in the most rigorous of procurement processes, the time for diagnosis is limited. This creates an imperative for the required change and desired outcomes to be defined in order that evaluation and transfer objectives can be identified, to aid the creation of a transfer strategy from the outset. This in turn forms part of the consultant contracting boundaries.

By having a physical model of the TIF in the initial meeting with the client, this face of the cube helps to guide a rich dialogue about the nature of the requirement, the required training transfer, the responsibilities for creating the optimum conditions for it to occur and perhaps most significantly of all, avoids the superficiality of relying on satisfaction scores and "happy sheets" as an outcome evaluation or indicator of effectiveness of training.

Questions to the stakeholders of the proposed intervention using the remaining five faces of the TIF will generate a rich and semi-structured process to explore the level, scope, content, method and outcome requirements. Brinkerhoff & Montesino (1995) suggest that stakeholders are included in the design of training and the presence of the physical cube at a diagnostic or

planning meeting provides an inclusive and collaborative activity with which to engage the other stakeholders in a wide variety of aspects of design.

In their meta-analysis of 83 leadership programme studies, Collins and Holton (2004) concluded that practitioners can attain substantial improvements in both knowledge and skills if sufficient front-end analysis is conducted to assure that the right development is offered to the right leaders. By using the other faces of the TIF at diagnostic stage, it encourages a rigorous front end analysis to be conducted to answer questions about the success criteria including transfer requirements for the intervention, the participant population, the level of impact required, the nature of the development for the leaders and the nature of support within the working environment for the desired transfer to take place. Once the nature of the transfer has been established, then a transfer strategy can be crafted as part of the needs analysis and diagnostic phase.

Considering specific behavioural objectives and goal setting at this stage will lead to a higher likelihood of it being incorporated in design and delivery, resulting in better transfer and maintenance. Preparing for the transfer climate from the beginning has distinct advantages as research has identified features of a positive transfer climate, such as adequate resources, cues to remind trainees what they have learned, and opportunities to use new skills, timely feedback and positive consequences for using new training (Rouiller & Goldstein, 1993; Tracey *et al*., 1995).

 Kraiger *et al* (1995) found that transfer outcomes were higher for participants who had received learning objectives in advance of the training programme. The nature of the training requirement and the outcomes desired will determine the most appropriate selection of methods and content to achieve the objectives and influence the design.

Design: Following the diagnostic stage explained above, the findings will influence the design of the intervention. Gagné *et al* assert that *the best way to design instruction is to work backwards from its expected outcomes* (1988, p. 39). Axtell *et al* (1996) and other studies have found that the content validity of the training information was highly correlated to immediate transfer, suggesting that trainees must clearly see a close relationship between training content and work tasks in order to transfer skills successfully.

The design considerations should also include instructional strategies and methods conducive and relevant to the nature of transfer required. By applying this element to other elements on the other faces, a wide variety of design permutations begin to emerge. For example by relating the time frame of design to the "how" face of the process, method or model, or the "who" face and focusing on whether the design is for a group, or individuals, and if the outcome required is

about acquiring general skills, or a specific set of behaviours. Other factors of design such as logistical issues affecting delivery and the requirements of the organisation.

Focus on this phase will also consider the design of the transfer activities and highlight a need to prepare the right people to be accountable for the right things in order to aid transfer. The area of transfer design is particularly important as a causal factor in failure to transfer may be in the design of the intervention if the design does not provide the ability to transfer the learning. For example, in the case of cognitive learning, even though cognitive learning may occur, the opportunity to practice or apply the learning may not be included in the design and so limit the likelihood of transfer back in the workplace. Numerous studies cite the importance of considering the transfer of learning at the stage of instructional design and this is consistent with all intervention design and not limited to the instructional.

As a practitioner, I consider a significant strengthening of my practice as a result of this study is that the transfer strategy is now an integral part of the intervention design. It is also now part of my practice to utilise the TIF to consider methods of transfer at the design stage and recognise that it is unique and situational. It varies greatly according to the specific requirements of each case and affects pre-work, introductions, post-intervention strategies and communications throughout the life of any intervention.

Delivery: Finally, during delivery, the TIF can be used in the same way and with the same intention as Reddy's Intervention Cube as a method of observing and analysing at the time of delivery.

The delivery phase of any training intervention is important and the TIF encourages me to pay attention to the delivery element and its relationships with all the other areas, enabling me to check it is on track and appropriately aligned. For example the level of impact face is a crucial one to pay attention to in the delivery of soft skills and leadership training where facilitation choices may arise in the moment to pursue or develop a particular area with a team or an individual.

Because it is a model that has connections to both the needs analysis of the past and the transfer strategy of the future, it may prove to be a useful model to have at hand so that other trainers are able to stay on track and augment the activities likely to contribute to transfer.

During the delivery phase it is important to keep the transfer strategy in the forefront and actively engage in the building of motivation and expectation for transfer on the participants' return to work.

As a function of formative evaluation, it is also important to allow for changes and re-alignment where necessary with the transfer strategy, rather than making changes based only on feedback about satisfaction.

6.3.2 WHERE: Levels of the intervention
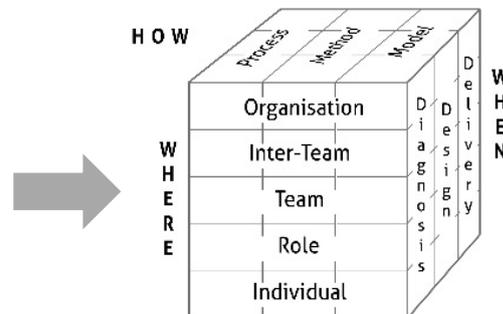
Figure 6.4: The WHERE face of the TIF

This face enables a dialogue to be held about *developing strategies for actively intervening in changing work environmental factors and examining their impact on learning and transfer* (Ford and Weissbein 1988:33). Schmuck and Miles (1971) and Blake and Mouton (1986) include the organisation, group, inter-group and individual in the classification of units that may be the targets for change. The key questions generated for this face are about the level of change target and the level in the organisation most relevant for active learning, intervening and transfer activities and accountability to take place.

This "WHERE" face prompts thinking for the practitioner and discussion with the client at diagnostic stage with a purpose to encourage exploration about the level of integration required for the training itself and for transfer considerations:

- Organisation
- Inter-Team
- Team
- Role
- Individual

At organisational level, it is also important to consider the work environment variables that are relevant before, during and after training and how issues such as support cues, transfer climate, supervisory and peer support, opportunity to perform, accountability and consequences for transfer will be managed. *Research is needed to explore transfer, not just from an individual programme perspective, but also from a departmental, subunit or organisational perspective* Ford & Weissbein (1997, p.38).

Dalakoura proposes a number of items that determine the aspects of developing leaders at all levels from the organisation to the individual including:

- *Leadership development practices - the organisation has a steady focus on developing leaders at all levels, teaching is hard-wired into everything that people do and training for developing leadership is systematic*
- *Leadership development culture – desired leadership behaviours are explicit to everyone in the organisation, the organisation has a culture that values leadership behaviour at all levels and explicitly stated values and principles concerning leadership behaviour.*
- *CEO involvement – leadership development is a priority of strategic importance*
- *Line managers' involvement – line managers are personally committed to developing other leaders and actively put time in to activities such as training, coaching and mentoring,*
- *HRM systems – leadership behaviour is encouraged and rewarded and structures facilitate leadership behaviour at all levels*
- *Self-leadership – opportunities are offered to exercise leadership at all levels* (2010: p.436)

The element of *role* in this face is present in order to classify it separately from the individual because the findings from the interviews in Cycle Four offered a description involving their own work role, or the role of someone else. Respondents used "I" in relation to a work context, or about another individual in a work or other role. The relevance of role development in leadership may also bring a requirement for a job or task analysis to contribute to design or transfer strategy as historically, job/task analysis has been used to identify the information necessary to create the learning objectives (Goldstein 1993). A job/task analysis results in a detailed description of the work functions to be performed on the job, the conditions under which the job is to be performed, and the knowledge, skills and attitudes (KSAs) needed to perform, so attempting to create a transfer strategy for leaders in some contexts may prove fruitless without such analysis or formation of KSAs.

Cognitive Task Analysis refers to a set of procedures for understanding the mental processing and mental requirements for job performance. For example: Interview L7. Lines 18-20: *…that's what made it such a big difference and a big change for me in terms of managing the team underneath me.*

In the hotel industry, where certain behaviours are adopted in order to fulfil a role or for utilitarian reasons, I considered this concept of the role to be an important distinction.

It may also be that the level of change is to improve task performance involving role only, or to improve a level of self-awareness or self-confidence, which I interpret as being about the individual person and at intrapersonal level, irrespective of their role. This aspect is linked to the Impact face of the TIF.

At a macro level, the change might be system-wide, or at micro level concerned with one individual. Cummings and Worley (2001) suggested four broad types of classification of interventions:

1. *Human process issues, including communicating, problem-solving, decision-making, interpersonal and intergroup interactions and leadership*
2. *Technology and structural issues including horizontal and vertical differentiation, coordination technology, production processes and work design*
3. *Human resource issues including attracting, selecting, developing, motivating and retaining competent people*
4. *Strategic issues including managing the interface between the organisation and its environment, deciding which markets to engage in, services and products to produce, how to gain competitive advantage and the values that should guide the organisation's development* (Cummings and Worley 2001, p.105).

The key work environment constructs include support, climate and opportunity to practice after Ford and Weissbein (1997) but there are continuous and multidirectional interactions between the learner and the characteristics of each situation. Many work environments are multidimensional in nature with complex structures, performance requirements and interactions. Certainly this is so within the hotel industry as outlined in an earlier chapter.

It is possible, though untested, that transfer may be more effective if the work environment constructs were related to the needs of the individual. For example a performance oriented learner may be motivated by reward cues in the climate, whilst a mastery oriented learner may be motivated by more intrinsic elements. This brings to the forefront an issue of the relevance of helping individuals to understand their own style and preferences for motivation to learn, so that they are able to be self–sustaining and independent, supported by the climate but not reliant on it for transfer to occur.

It also surfaces a requirement for managers at each level of this face of the cube to support learning transfer and performance enhancements with their people by having a basic understanding of motivation theories and the interactions between intrinsic and extrinsic, process theories and content theories. This would enable them to create a form of personal motivation menu for transfer to be managed for all participants of an intervention.

This is a tall order for managers in a busy commercial environment such as a hotel, but my interpretation is that an understanding of the impact of their leadership behaviour in the FIRO dimensions of inclusion, control and openness (Schutz 1994) could be beneficial for this purpose. Therefore in a learning spiral model, the creation of motivation for transfer of learning for their own managed teams could, in itself, be a transfer activity from an intervention in the future, if modelled in a similar format to the ILP in this case. This requires some preunderstanding on their part, but the managers within the scope of this study were capable of performing this activity by utilising knowledge from a previous and unrelated course experience.

It may also be viable to design some pre-intervention assignments for learners to help the motivation to learn and the motivation to transfer as suggested by Quinones (1995). Therefore the proposition related to this face is that it is rarely one level on this face of the TIF that is the target, even though it may appear to be so at early briefing stage,

For larger scale interventions, a framework for supporting transfer should be considered from the outset and diagnosis phase, so that it informs design and flows naturally back to the work environment. If done early on, it also enables time for any process gaps to be filled and for other levels in the system to be accessed. For example, a significant gap in this case study, that became obvious with hindsight, was that the desired leadership behaviours were not fully aligned to the Performance and Development Review (PDR) process and there was no competency framework to support them. Therefore, at performance review, there were no rewards for transferring and maintaining the desired behaviours or consequences for not doing so.

Depending on the nature of the intervention required and the needs driving it, some levels of this face will be more relevant than others. For example for a series of individual coaching sessions, it may be that the transfer is sufficient at individual level only. If it was financial awareness training, then the transfer may be most relevant if targeted at role level.

In addition, for a greater understanding and measurement of the work environment, pre-existing metrics such as the extensive transfer climate survey by Rouiller and Goldstein (1993) could be utilised to identify some of the required situational cues such as goals, social, task and self-control cues. These can then be correlated to the level of relevance from the levels of transfer face of the TIF.

In terms of how this informs my practice, from the outset of any intervention, I now realise that it is important to define the level at which transfer effects should be experienced and that this may be different from the level of entry into the client system (Kozlowski and Salas 1997).

For a large scale intervention such as the ILP, with organisation measures of effectiveness in place, the ideal would have been to engage at every level of this face. Therefore, using the TIF for diagnosis stage would have led me to identify the level of organisational support required at top level and incorporate increased opportunity to practice in to the design. I would also have paid more attention to considering the work environment factor of supervisory support at each level, with pre and post workshop dialogue structures in place as part of the design (Brinkerhoff and Montesino 1995). In the hotels that embraced the Inspirational Leadership principles, this structure was evident from GM down through the team. If the GM or team leader was not engaged in transferring changes in behaviour from the programme, then any reported benefits tended to disappear quite quickly.

The levels on this face of the cube help to increase my own understanding and also to explain to my client the importance of work environment constructs and linking the working environment to desired or required transfer outcomes.

Finally, we might assume that learning outcomes at the individual level will emerge to influence higher level outcomes, so vertical transfer of training becomes an item for the practitioner agenda. Vertical transfer may be a leverage point for strengthening the links between learning outcomes and organisational effectiveness (Kozlowski *et al* 2000).

6.3.3 HOW: The planned methodology
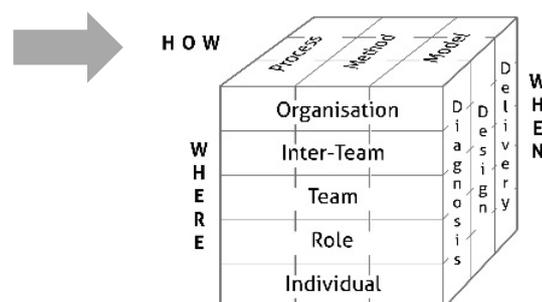
Figure 6.5: The HOW face of the TIF

This face presents the practitioner choices to be considered at each stage of the intervention for the aspects of: Process, Method and Model.

Process: My interpretation of the process aspect covers items such as the planning of intervention logistics at design stage as well as the overall process methodology required to achieve the required outcomes and level of change. This may be concerned with identifying the optimum learning process, for example utilising the experiential learning process, or defining

the change process required. According to Golembiewski *et al* (1976) there are three conceptual clarifications of change results:

- An Alpha (α) change is the difference in measurement of any factor before and after the intervention
- Beta (β) change involves a reassessment, or shift in understanding or perception
- Gamma (γ) Involves a complete redefinition, change of state or re-conceptualisation (Golembiewski *et al* 1976)

Therefore, in practice, defining the level of change process required may be beneficial in informing design, delivery and transfer factors. Through the evaluation survey and the follow up workshop reported in Cycle Two, I could claim evidence of change at all three levels, for example from a sample of the comments collected:

1. **Alpha:** *Understanding each other's reactions and preferences through the FIRO scores*

2. **Beta:** *Improve openness towards new ideas - being more creative*

3. **Gamma:** *Not being a victim when business slows down, but move forward and beat the competition*

However, with hindsight, I realise that in interventions in the future, the level of required change must be identified through the utilisation of this face of the cube from the outset and as part of early diagnostic activity.

Method: The second area on this face prompts an enquiry about possible methodology and exploring the best fit for the context of the intervention. For a training intervention, defining the methodology is an integral part of design and subsequent delivery.

Much research exists on instructional strategies and methods linked specifically to transfer, such as *active or experiential learning, adequate practice and feedback, mental rehearsal, behavioural and repeated practice* (Burke & Hutchins 2007: 274).

It is important that the methodology is also defined and aligned with the transfer objectives, because aligning them gives a greater chance of achieving them. For example incorporating an activity to provide an opportunity to practice during delivery.

In the holistic context the TIF, the area of method encompasses more than the delivery methodology however, and should be applied to each stage of the intervention: diagnosis,

design and delivery. In that case, for example it may include defining the method by which one or more of the following will take place:

- Evaluation and measurement methods – how evaluation is being planned, how it will be conducted, what will be measured and how.
- Collecting data at any stage of diagnosis, design and delivery – what data is required for planning and / or review and how it will be collected.
- Supporting learning on return to work – specifying in advance how the learning transfer will be supported back in the work place, for example using an organisational mentor network, goal setting or any other post-training transfer intervention
- Executing the intervention –including the method for delivering the intervention, whether on-site, off-site, classroom, venue requirements and logistics etc.
- Communication supporting and surrounding the intervention – including the method of inviting people beforehand to limit anxiety about attending (Colquitt *et al*. 2000) and encourage motivation to learn, pre-course briefings, deciding what communication from the work place might be provided during the training, post-course briefing and what will be the messages and media following the training.
- Project management of the intervention – methods for recording milestone dates, reviews, administration etc.
- Delivery options, for example the group composition and size, management of the population, cross functional groups, lateral slice of layers of the organisation etc.
- Delivery methodology – choice of methodology and supporting material required, through group activities, experiential learning, other methods or a blended learning approach

This list is intended to be indicative and not exhaustive.

Model: The third element of this face encourages consideration and discussion about the underpinning models or theoretical concepts that may be most relevant in each case, *or are practitioners still prone to latch on to the latest training craze?* (Salas and Cannon-Bowers 2001, p.492). In the ILP context, the model deployed and aligned was FIRO and in other cases it may be another model selected from a wide range of those available, depending on the consultant / facilitator and their depth of knowledge, preferences and expertise.

For example, other psychometric instruments and different leadership or team models could have been deployed in this instance. The choice of model is contingent with the best fit for achieving the learning outcomes, aligning with the organisation, situation and meeting the requirements of the transfer strategy, together with other related issues such as desired level of impact.

Matching the model to the required transfer outcomes will also stretch the consultant's practice and ensure that, as a profession and a*s the pressure grows to show an impact on the bottom line, training practitioners will do well to employ sound principles, guidelines, specifications, and lessons learned from the literature, rather than relying on a trial-and-error approach* (Salas and Cannon-Bowers 2001, p.492).

Offering a range of models for client consideration may sometimes be appropriate, so that new interventions can be connected and aligned with previous work carried out by other practitioners within the same organisation.

6.3.4 WHAT: What learning outcomes are required?
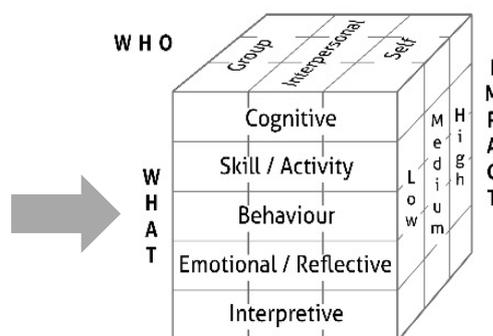
Figure 6.6: The WHAT face of the TIF

The multidimensional nature of learning outcomes may be evidenced from changes in knowledge, skills and attitudes (KSA) or cognitive, skill or affective capacities. *Learning constructs are derived from a variety of research domains, such as cognitive, social and instructional psychology and human factors* (Kraiger *et al* 1993:311). This face of the TIF is from the original model provided by Reddy's Intervention Cube (Reddy 1994) and fits with the three categories of learning outcomes proposed as:

- Cognitive – Verbal knowledge, Knowledge organisation, cognitive strategies
- Skills based – Compilation, proceduralisation, composition, automaticity
- Affective – Attitudinal, motivational, motivational disposition, self-efficacy, goal setting (Kraiger *et al* 1993)

If further clarification was required in practice, then pre-existing taxonomies of learning outcomes can be utilised such as Bloom's Taxonomy (Bloom 1956) or Gagne's Categories of Learning Outcomes (Gagné 1984). In practice, I find this face very helpful in providing a construct-oriented approach to identifying the specific nature of what is required to be firstly

learned, and subsequently transferred to the work place. For example, exploring each level determining whether it is:

Cognitive – knowing something and transferring that knowledge back to the work place. In leadership development terms it may be the knowledge of a particular leadership model or theory of leadership or knowledge about how to do something. Knowing how to perform something is defined as procedural knowledge (Anderson 1982). Knowledge in this categorisation includes dynamic processes of declarative knowledge acquisition, organisation and application, providing a foundation for processes such as understanding some general rules or constructs to guide their leadership behaviour.

Skill / Activity – the development of technical or motor skills, or the ability to be able to do something. For this category, it is relevant to also consider the issue of fidelity and the extent to which tasks in the learning situation are similar to those in the real-life situation. High fidelity implies a close match between the tasks in both settings.

Behaviour – developing or changing behaviour, in the context of this case in line with the desired leadership behaviours. For the ILP, this face included the development of both verbal and non-verbal behaviour and the awareness of rigid defensive and rational flexible behaviours.

Emotional / Reflective – engaging in affective learning and transfer, for example increasing consideration of impact of own behaviour on others or reflection on key relationships, how they are formed, considering attitudes as a learning outcome. An attitude, defined by Gagné as *an internal state that influences a choice of personal action* (Gagné, 1984,p.383).

Interpretive – integrating inductive and experiential learning, using both intuition and data to solve problems and create solutions.

Understanding the specifics of this face and defining specifically what is to be learned and transferred will help in effective design and delivery to meet the requirements and create a greater opportunity for training effectiveness. This definition of required learning outcomes will inform the intervention design and methodology may be purposively deductive, traditional and instructional in style, or more inductive in approach, for example in the case of discovery learning. In addition, the evaluation method and transfer strategy can be determined from the learning outcomes required.

Considering the learning outcomes required by assessing the options provided by this face is critical at diagnosis stage, will inevitably inform the design and should be considered at the forefront of delivery to allow sufficient time for learners to explore and experiment, even to make mistakes in the style of error-based learning (Ivancic and Hesketh 1996) They contend that making mistakes leads to a better mental model by gaining attention and creating alerts to

incorrect assumptions, thereby engaging cognitive or skill levels with emotional/reflective and /or interpretive learning.

The levels on this face can be approached separately or in combination, creating a learning strategy of developing metacognitive skills. The concept of metacognition is an executive level cognitive function and relates to one's awareness and control of cognition and learning strategies (Nelson and Narens 1990). It combines an understanding of the relationships between individual capabilities, learning tasks and control functions of planning and regulating learning strategies.

In my experience, my practice frequently involves developing people, from the individual to organisation level described above, in improving their metacognitive function, for example in learning to learn, or in thinking about their thinking process.

This is particularly pertinent to leadership development specifically in this case, and executive coaching, senior management and professional development in general. In informing my practice, this face guides the facilitation style at delivery on a continuum from teacher to facilitator and the optimum methods, models and processes from the relevant faces of the TIF to achieve maximum training effectiveness and transfer performance.

6.3.5 WHO: The population
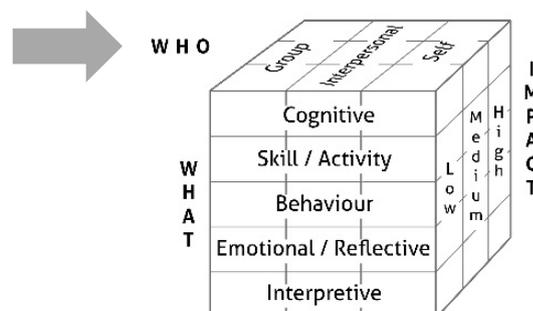
Figure 6.7: The WHO face of the TIF

This face defines the population identified to take part in the intervention itself and who will have a role in the transfer, or any other form of responsibility or accountability. It also defines whether the desired learning and subsequent change is required for groups or teams and is interpersonal or intrapersonal in nature.

In the case of the ILP, all three elements on this face were relevant:

Group or teams - for the ILP, the participants were in their operational teams and there was an element of learning requirement at group level. Other examples may arise in situations where there are changes in operation or strategy and a number of people are required to achieve a collective level of learning and transfer. This may apply to a whole organisation, certain teams or work groups or any part of a business where change is experienced or required.

Interpersonal – for the ILP there was a major requirement for interpersonal learning and training transfer within the teams in order to strengthen relationships. In addition, the transfer requirement was to consider and maintain the quality of interpersonal exchanges within their team, but also to consider their interpersonal relationship and responsibilities for their employees and line management reports. Their interpersonal relationships were expected to change or adapt to meet the requirements of inspirational leadership and the DLB, aligned with the values of their organisation. This aspect was key in the selection of FIRO as the theoretical model as it is has a purpose as an interpersonal construct.

Self / Intrapersonal – where the learning and desired transfer may require a level of self-awareness and understanding. This was very relevant for the ILP as the development of awareness of the self, impact on others and understanding the basis of own behaviour and choices was a strong learning theme within the workshop. This element will as a result of personal development activity.

A significant factor consistent through the literature is the extent to which the individual or collective learner characteristics will influence training outcomes. Burke & Hutchins summarise the learner variables influencing transfer as including: cognitive ability, self-efficacy, pre-training motivation, motivation to learn, motivation to transfer, negative affectivity, conscientiousness, openness to experience, extroversion, perceived utility, organisational commitment, external versus internal locus of control (2007). Therefore, this face is important to consider in relation to cognitive and instructional psychology influences on design and delivery, and the ability of learners to be able to adapt to new and changing situational demands.

Close to the concept of near and far transfer, Holyoak makes a clear distinction between adaptive and routine expertise, (1991) proposing that routine expertise is similar to the concept of training generalisation in that the learner can react to similar or familiar situations and contexts related to the training. In contrast, adaptive expertise is the ability to apply solutions or strategies to new and different situations or contexts (Holyoak 1991). The strongest form of

adaptability occurs when trained knowledge and methods are used effectively in the transfer setting to generate new strategies and approaches.

This relies on individuals and groups recognising when trained details are not effective and new ways of doing or being must be learned in order to produce a high level of performance (Patrick 1992). In this case, for the hotel industry with its ever-changing situational requirements, importance of service and product innovations, this adaptability is an important element to build in to intervention and transfer design and to consider for all levels of the population. The level of motivation to transfer is an important consideration, and as part of the diagnosis, design and delivery stages and consideration should be given by the practitioner as to how levels of motivation to learn in the first instance and then transfer the learning might be enhanced using established motivation theories deployed before, during and after training.

The extrinsic and intrinsic aspects of motivation have been linked to training outcomes and research has found influences of both factors on transfer (Rouiller & Goldstein, 1993; Tracey, Tannenbaum & Kavanagh 1995). Facteau *et al* (1995) favoured intrinsic factors as higher levels of motivation to attend and learn as precursors of transfer were reported by trainees who perceived intrinsic reasons to attend training.

In a meta-analysis of behavioural modelling training methods, Taylor *et al* (2005) found that transfer outcomes were greatest when extrinsic components were integrated in the work environment of trainees, including transfer being noted in performance appraisals. Goal theory, as a motivation factor can be categorised as mastery and performance. Mastery orientation is apparent in individuals, groups and teams who wish to focus on developing new skills, understanding their learning and determining the most effective learning strategies. Performance orientation is the belief that ability is demonstrated by out-performing others.

My practice now is to consider more proactively how motivation factors can be utilised before, during and after training to enhance transfer at each level of this face: (group, interpersonal and the intrapersonal) that support a mastery orientation and / or a performance orientation.

In terms of group motivation, for this particular situation, and with the benefit of hindsight, the simple production of a league table between hotels related to achieving transfer goals from the workshops might have been a quick and easy enhancement to levels of transfer, especially in consideration of findings suggesting that some of the personality characteristics of the hotel managers are shown to be more assertive, venturesome, competitive, tough minded, more independent and have lower levels of anxiety (Worsfold, 1989).

6.3.6 IMPACT: How much?
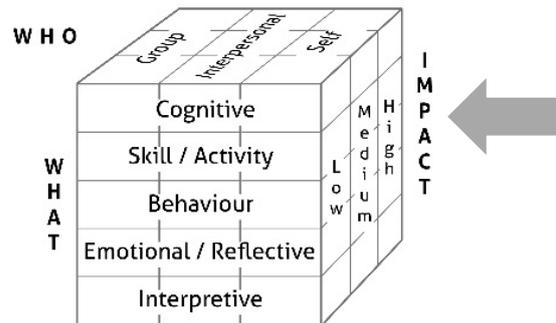
Figure 6.8: *The IMPACT face of the TIF*

In Reddy's Intervention Cube this face is labelled intensity and his meaning defined as the *strength, power or impact of the intervention as the consultant intends it* (Reddy 1994, p.83). This face is possibly most applicable to the requirements of soft skills training and transfer.

The term intervention, as used by Reddy in the context of his model, is contingent with group process theory and conceptualised as *entering an ongoing system of relationships, between or among persons, groups or objects for the purpose of helping them* (Argyris 1970, p.15). Harrison introduced the concept of depth of intervention and proposed that the first level of intervention involves the consultant or adviser helping the client to find a solution to an issue from the role of expert (1970). The helping element of intervention involves engaging participants in issues at varying levels of personal and interpersonal depth in order to help them and facilitate change.

For the TIF I changed the focus of this face to replace Reddy's term intensity (Reddy 1994) with impact, because as an outcome, impact can be more easily qualified or quantified. I considered that it is also a more relevant term to use in the case of leadership development where impact was being measured through qualitative evaluation.

This face prompts the enquiry and dialogue with stakeholders at the beginning and participants during the intervention about the depth or strength of impact required (low, medium or high). In my experience, it is important to be explicit about the readiness, and capability of the organisation or individuals to take a risk, their level of comfort in working at a particular level, the relevance of a particular level of impact and how the level has been legitimised in the norms of the organisation, group and group members.

Burgoyne and Cunningham suggest that the concept of depth of intervention involves exploring values and emotions. A deeper level of intervention will involve engaging with issues of self-

concept or sense of self and requires a consideration of balancing strength of confrontation and combination of experience-based learning with concept or skills-based learning (Burgoyne and Cunningham 1980,).

It is important to consider this from the outset of any intervention, as the level of depth can have long lasting impact for participants. If it is insufficient in depth, then the result may be that the intervention is superficial and will not achieve lasting results. However, too strong or deep and it risks exposing people or creating damage if participants or the system are not ready or capable of coping with the impact of inappropriate depth or poorly managed strength. Harrison proposed that the depth of an individual's emotional involvement can be a key determining factor in intervention effectiveness (1970). He defines the concept of depth as the extent to which core concepts of self or personality are the focus and suggests a dimension that runs from deep to surface levels (Harrison 1970).

Surface levels are those that focus on external and observable aspects and those that engage at personal or private perceptions, attitudes, beliefs, values and feelings are located towards the deeper levels. This was a significant element within the ILP and one which had great consideration at each stage of diagnosis and design, as well as in-the-moment choices at delivery. However, this consideration was as a result of extensive practitioner preunderstanding about the use of FIRO element B in this setting

This is a further reason why in the "where" face that defines the target level, I chose to separate the role from the individual. My interpretation is that the role category is likely to be at the surface end of the continuum for individuals because it is subject to rational analysis without needing to become involved with the personal characteristics or feelings of those people occupying those roles. In contrast, as in the case of the ILP, working with teams to help them understand their own interpersonal processes that have impact on other people or to share personal information about themselves in the FIRO dimension of openness is moving towards a deeper end of the continuum.

Harrison also maintains that the surface level data is relatively easily obtained, but as the level of intervention becomes deeper, the necessary information needed for the intervention becomes less available. He suggests that change agents should intervene at a level no deeper than that required to produce an enduring solution to the problem at hand, and then suggests a second criterion that practitioners should intervene at a level no deeper than that at which the energy and resources of the client can be committed to problem solving and change (Harrison 1970).

Schein suggests that the key to moving people in a change process is to recognise that change, whether at the individual or group level, as a profound psychological dynamic process and that three factors need to be present to create movement:

- Disconfirmation of the validity of the status quo

- The induction of guilt or survival anxiety

- Creating psychological safety (Schein 1996.)

Therefore, as a facilitator during delivery and as a consultant during diagnosis and design stages of an intervention, it is vital to create and maintain an appropriate level of psychological safety in a balance with challenging thoughts, feelings and beliefs. This is not only applicable to the participants but, in my experience, also relevant for the whole client system. This face of the TIF informs my practice by encouraging me to think about the strength of impact during diagnostic and design stages and to re-visit it during delivery. It is always contingent with the other faces and the concept of impact is a dynamic one.

In terms of the delivery stage, my experience of the ILP using FIRO as the model and Element B as the instrument provided a flexible continuum for adjusting the level of impact according to the group and the individuals. With some teams, the level achieved was deeper than with others and I was conscious of the level as part of my facilitator process with each group, as described through my accompanying portfolio of evidence. In the case of the whole client system and the larger picture of the intervention within the organisation, during diagnosis and design, I realise that the level of impact that I was comfortable with was reduced because my access to the senior executive team was restricted.

With hindsight, and through working with this TIF framework and considering my own practice, I recognise that at times I felt a lack of psychological safety in the early stages of this intervention. As a result of scrutinising and exposing my process through constructing this study, a significant contribution to my practice will be to recognise this in future, because it is familiar, and to find the courage to confront and explain the potential consequences and possibilities of achieving a weaker than intended impact if senior team is not supporting the intervention or becoming invested in the transfer. In the client organisation in this case study, the ILP was a significant aspect of the overarching L&D strategy for the organisation and as such, was part of a programme of sequencing interventions. Therefore, there was even more reason with significant investment involved, to create a robust transfer strategy.

6.4 Contribution to HRD Practice

In presenting the TIF as a contribution to HRD practice, I return to consider the audiences; for me, for us and for them (Reason and Marshall 1987) as explained in Chapter One.

For u*s* in this context refers to practitioners and scholars in the field of HRD and this action research study provides genuinely new insights into the debates on leadership and training transfer and the TIF as a viable framework for similar settings in future. Furthermore, I consider that the findings make a contribution in focussing on intended outcomes for clients and commissioners of leadership development interventions in similar organisations in the future.

Kuchinke (2001) drew a hierarchical distinction between the basic sciences, disciplines and fields and argued that HRD is decidedly not a discipline, describing it instead as an *emerging professional field* (Kuchinke 2001, p.291) For us then relates to the extent that it responds to concerns for our praxis, is relevant and timely, and so produces the response *that works!* (Reason and Marshall 1987) for those who are struggling with problems in their field of action.

6.4.1 HRD Research

HRD research has been defined as *the production of actionable knowledge which intellectually curious managers and HR practitioners might use to leverage individual, group and organizational learning in order to solve their pressing organizational field problems and thereby change situations from how they are now to how they ought to be* (Sadler-Smith 2014, p.130) Together with other professions, such as accounting and medicine, in recent years the application of research to practice in HRD has emerged as a strong requirement and the need for HRD research to influence HRD practice in meaningful ways.

Within the literature, many human resource development (HRD) scholars agree, at least partly, with the assertion that HRD research is barely *scratching the surface of practically important problems* (Ardichvili 2012, 267). I would argue that leadership development and the level of training transfer from similar interventions are examples of practically important problems for HRD and as such that it is important to *develop general knowledge to support the design of solutions to field problems* (van Aken & Romme 2009.p.7). As Holton asks: *Where is this happening in HRD? For example, where are the providers that are creating leadership development interventions, testing them in experimental studies, publishing results, and documenting scientific evidence of effects?* (Holton 2004, p.188)

Rahyuda *et al* (2014) focus on relapse prevention (RP) and goal setting (GS) as specific post-training transfer interventions and highlight gaps in the research that characterise transfer

intervention studies as *the over-reliance on simulation-based research, the over-use of students as participants, the lack of explanation on the distinction between RP and GS and the lack of studies on mediating mechanisms* (Rahyuda *et al* 2014: 432). They call for these gaps to be overcome so that training scholars and HRD practitioners *may be able to develop and use robust interventions that help individuals in enhancing their transfer ability, making the most from their newly learned skills and yielding better performance in the workplace.* (Ibid)

Short *et al* (2009) also conclude that *HRD practitioners, practice and professionals are hampered by the lack of connection between practice and research in the field* (Short *et al* 2009, p. 421) and argue further that *HRD is a weakened profession with suboptimal practitioners who are hindered by many factors, including the critical lack of robust knowledge of "what works and why" that is used to inform practice* (Short *et al* 2009, p. 421).

The reasons cited why HRD research may fail to address practitioner needs, are because of research focus, agenda, context, insight and understanding of the application (Short *et al* 2009). Contribution is claimed through this study, as the research focus, although based on leadership development in a single organisation, may also be applicable to similar situations and to broader transfer of soft skills training issues. The agenda was aligned to the practitioner priorities of the case and the context *used the crucible of research and practice to test theories and provide answers to practitioner problems,* (Yorks 2005) including *creating and testing evidence-based interventions* (Holton 2004). Practitioner insight and understanding are carefully and routinely scrutinised and applied through each research cycle.

Insufficient evidence exists that HRD practitioners access and use HRD research (Jacobs 1999, Swanson 2001) or in how research-to-practice is experienced in our profession (Berger *et al*., 2004). Reasons cited include issues of dissemination, because HRD research *tends not to be disseminated in ways likely to influence practice* (Short *et al*., 2009) and as a result many practitioners cannot access the research needed to guide or justify their intervention design (Berger *et al*., 2004). The TIF makes a contribution to this issue as it is a relatively simple concept to explain and utilise, with a language style and structure likely to facilitate understanding. It requires minimal translation or interpretation to be used in similar settings. Therefore it is proposed that it will be suitable for dissemination through alternative practices and practitioner-focused publications, assisting practitioners to use it as a research-based instrument.

Time and attitudes are other reasons cited for a weak connection between HRD research and HRD practice. Practitioners face a need to provide successful interventions, together with a time pressure that is counter-productive for connecting with scholars' insights and understandings.

In addition, the attitude of many managers in commercial settings towards applying research-informed practice means that practitioners can be *operating in a world where being branded as theoretical is intentionally derisive and can be a ticket to the unemployment line* (Yorks, 2005, P.112).

6.4.2 HRD Practice

For HRD practitioners the TIF offers a research-based solution to a concept that is extremely relevant to practice in achieving greater training effectiveness and transfer. *Practitioners usually adopt a trial and error approach to managing training transfer* and that they *do not have an understanding of the underlying principles, and so are often puzzled by the training transfer outcomes* (Cheng and Ho 2001, p.102). It is a model designed to inform practice by encouraging and enabling the creation of a robust transfer strategy from the earliest stages of intervention design, irrespective of the content. Development of a more robust and comprehensive model of training transfer must consider training content (Laker & Powell, 2011; Burke & Hutchins, 2008) The TIF prompts consideration of content and application from several perspectives through the different faces.

Considering the multi-dimensional perspectives of training transfer, providing a framework for a structured conversation with a client to determine evaluation requirement and craft a transfer strategy is predicted to increase effectiveness, making an intervention more effective and successful. Because it uses a bullet-point approach, it is simple to use and explain, without appearing to be theoretical, whilst maintaining that the underlying principle that practice is enhanced when based on rigorous research and that research should be linked back to the practice (Jacobs, 1999).

In the area of drawing on the lessons learned from evaluation and contributing to transfer of learning, it makes a contribution where *a richer, more sophisticated typology is needed. Research needs to continue finding better, more diagnostic and rigorous assessments of learning outcomes It is refreshing to see that more evaluations are being reported in the literature; we hope this trend continues. It is only by drawing lessons learned from past evaluations that the design and delivery of training will continue to progress* (Salas & Cannon-Bowers 2001, p.487).

The researched leadership concept, supported by the underpinning psychometric model, has a contribution to make to the field of leadership and team development. A significant part of the HRD practitioner role is to design and deliver such interventions in order to solve a problem or improve performance for the client or client system and pressures of limited resources within organisations and increased expectations of clients are just two factors that have created an

environment in which they are increasingly expected to *justify intervention designs in advance of implementation* (Berger *et al.*, 2004, p. 403). For all HRD practitioners, credibility relies on ability to produce the required results for and with the client systems. The basic questions from the outset of any intervention are around how it can be designed and delivered in a way that will bring about the intended results. *Transfer is dependent on a number of factors, one of which is the match between the structures and norms that characterise the work and training situations. The closer the match, the greater the transfer and vice versa* (Hayes 2002, p.290).

The initial brief from the client in this case, to develop the leadership abilities of operational management teams and individuals is one that is a regular requirement of my own practice, and for other practitioners too. Like the managers referred to by Ackoff, HRD practitioners, are *not confronted with problems that are independent of each other, but with dynamic situations that consist of complex systems of changing problems that interact with each other* (Ackoff 1979, p. 94). He terms such dynamic situations as *messes*. Achieving outcomes such as changes in soft skills behaviour or improvements in performance through developing managers, teams, leaders and organisations is often a similarly complex and *messy* business involving a range of intervening factors. As a practitioner, this frequently involves engaging with the *mess* and immersing oneself in it, in an attempt to embrace it and work with it in order to begin to understand it. In doing so, a challenging practitioner paradox arises in that whilst an intervention, such as ILP in this case, is inherently of a messy nature, researchers and general commercial providers tend to present prescriptive models, simple and often singular solutions, or that are limited in scope or confined to a specific situation or stage of an intervention. As explored earlier the various models used in this study, whilst helpful for separate stages, did not present a holistic or integrated approach to the workplace realities and my own version of messes in this case. In a real life situation, a high level of integration is needed in order to create elegant and effective interventions taking account of as many of the outcome variables as possible, whatever their size and type.

For other HRD practitioners there may be learning to be gained from methods and experiences explored throughout and in using the TIF to aid them in constructing transfer strategies in other settings and at all stages of an intervention. This is particularly relevant in the area of soft skills delivery as *there is an increasing awareness that technical skills, even for technical positions, are insufficient for subsequent success beyond an entry-level position, let alone for professional fields* (Laker & Powell 2011, p.113). They assert that beyond initial levels, subsequent success requires proficiency in a range of soft-skill areas such as leadership, self-management, conflict resolution, communication and emotional intelligence.

Therefore, the TIF may offer a tool for practitioners to use in other settings related to the acquisition of soft skills, especially as *anecdotal evidence has emphasized that soft-skills training is significantly less likely to transfer from training to the job than hard skills training* (Laker & Powell 2011, p. 111).

Laker and Powell propose that *failing to differentiate between what has traditionally been considered as hard and soft skills training has led to an inadequate understanding of training transfer and failure to create a more universal and all-encompassing model of training transfer* (Laker & Powell 2011, p.114). They also propose that hard skills training is more readily transferred to the workplace than soft skills training and cite a range of reasons relating to the different characteristic of hard and soft skills training. Many HRD practitioners will be tasked to deliver soft skills interventions and therefore a holistic consideration of all facets of the TIF may prove to be helpful in creating a transfer strategy for each stage of a soft-skills intervention.

In summary*, if HRD is believed to be committed to learning, to helping people and organizations to improve their performance* (Swanson, 2001, p.302) then as an artefact of impact and relevance, the TIF is presented as a pragmatic and potential solution to a real problem, providing a vehicle for dialogue seeking to develop problem-focused, solution-driven general knowledge which is fit for purpose-of-use by practitioners.

The primary client as the commissioner of HRD interventions is a key stakeholder whether the practitioner responsible for designing and delivering an HRD intervention is an internal or external provider. For that client, key stakeholder or commissioner of HRD interventions, the production of generalisable ideas and outcomes should create a response of *that's interesting!* (Reason & Marshall 1987, p.112). The client group will include other stakeholders within the organisation that require consideration when contemplating an investment in training. Development of human resources in commercial organisations is generally undertaken with an aim of enhancing performance and skills, improving the quality of products, services, profitability or competitive edge and the success of this development depends on the ability of trainees to apply the learning from classroom or course setting to the work place.

The costs related to training are significant and it is estimated that only 10–20 percent of what is learned during the training is applied in the workplace (Kirwan & Birchall, 2006). This represents a potential for wasting significant amounts of money, time and other resources if the learning experience and/or the transfer are not fully effective. Failure to transfer newly acquired skills will diminish the return on investment of the training and may also have an adverse effect on employee confidence in training, their willingness to attend in future and be detrimental to a learning culture in the organisation. Furthermore, with leadership development, it not is just the

direct cost but also the opportunity cost of taking managers and leaders away from the work place. Improvements in leadership skills have also been linked to increases in employee engagement and productivity and so if the effectiveness of the training or subsequent transfer is lacking, the organisation will be prevented from achieving its potential.

For clients the TIF creates a structured means for considering how to optimise their training efficiency before and to evaluate efficiency of training using transfer of training as a metric, including the design of any post-training transfer interventions that may be required. In this situation, the learning was derived from a context of leadership development, but further research is needed to determine if it may have application and value in other soft skills areas such as self-management, conflict resolution, communication, emotional intelligence.

It offers a structured methodology for dialogue that stimulates conversations about the requirement through the chronological stages of diagnosis, design and delivery of an intervention, in areas that might normally be overlooked without such a structured approach. It provides a framework for defining the ultimate transfer objectives as well as identifying roles and responsibilities for achieving a successful outcome as a result of careful diagnosis, design and delivery. It helps the crafting of a transfer strategy from the beginning and puts evaluation and transfer issues on the agenda from the outset.

In addition to providing a model for dialogue with an HRD practitioner, it may also be useful in identifying requirements for a robust request for proposal in a wider procurement situation. This would level the ground for providers to tender for contracts based on the transfer strategy and not, as is so frequently the case, on inputs and favourite methodology.

In many cases, if clients were enabled and educated to make more discerning requests and demands for transfer of learning outcomes, then HRD would become a more creative and outcome-focused profession.

Within the different factors discerned as influencing the transfer process, support provided by the organizational environment has been found to be a main indicator for transfer of training (Holton *et al*., 2003). The TIF encourages consideration of the layers of an organisation and what support strategies might be put in place to encourage effective design and delivery, or further transfer.

As explained earlier, whilst there is much research on training transfer and evaluation, it is challenging for practitioners to connect it in a way that the client and commissioning community enjoys the benefits. One reason may be that single studies are too narrow and meta-analyses too complex for this purpose. Baldwin & Ford (1988) criticised the design of a number

of research studies that used short-term, single-source data to assess transfer outcomes. Salas & Kosarzycki, present possible reasons why organisations may not pay attention to research findings and suggest that in turn, these reasons pose challenges to all those who participate in the design and delivery of HRD interventions within organisations:

Challenge 1: Organisations hold simplistic views of training which requires appropriate and consistently applied training principles to ensure that training is designed and delivered effectively.

Challenge 2: Organisations hold misconceptions about training and consequently practitioners are prevented from critically examining how the science of training can improve their training programmes.

Challenge 3: We do not do a good job of translating our research findings and their suggestion is that practitioners may prefer bulleted lists that serve as an implementation checklist

Challenge 4: Our findings are not accessible to organisations because many HRD practitioners, executives and trainers do not have access to the databases accessible to educational institutions (Salas & Kosarzycki, 2003).

Used from the early diagnostic stage of a new client relationship or intervention, utilising the TIF will enable HRD practitioners to assist their clients in overcoming these particular challenges by challenging the simplistic view, designing and delivering with good training principles, add an element of critical examination and provide answers to the challenges suggested above by Salas and Kosarzycki (2003).

I propose that, influenced by its simplicity of appearance, it will serve to provide the client with topics and considerations for structured and informative conversations with the HRD providers, resulting in attention being paid to transfer and more effective transfer strategy creation from the outset of an intervention.

Olsen suggests that the transfer component of evaluation tends to be overlooked because *organisations were (apparently) looking primarily at reaction* (Olsen 1998, p.61). Used at the diagnosis, design and delivery stages of an intervention, the TIF is an instrument that helps to move the client into considering multi-factorial issues as *the singular perspective that all training is the same when it comes to issues of training transfer is misguided* (Laker and Powell 2011, p.111).

Ulrich asserts that in his work within organizations and with HR professionals, a successful organization may be characterised by three domains: individuals (talent), capabilities (culture) and leadership (Ulrich 2014). Considering these domains, guided by the model, the client may

identify considerations about these three domains that would not have been highlighted otherwise. For example, individual learner characteristics in relation to the level and nature of the transfer required, the readiness of leaners, cognitive ability, practical intelligence, self-efficacy, goal-orientation, and training motivations may be considered.

A limitation of the TIF as a conceptual model is whether scholarly researchers find that certain elements lack correlations in different situations and an issue arises about the limitations of being able to test the whole set of variables as one model in future, or of being able to further test one face at a time. It is therefore not presented as a fully tested model, but as a taxonomy that illustrates the set of individual and situational characteristics that can be leveraged to achieve training effectiveness and also to ensure that transfer is on the agenda from the very beginning of an intervention.

For scholars and scholar practitioners who have both a theoretical and practical interest in leadership development and transfer of learning, the TIF is applicable and relevant to practitioners and the current world of HRD practice. It serves to create a link between HRD Research and HRD practice and bridge the research-to-practice gap and counter a *steady supply of research that cannot be generalised to other contexts and is ill designed to inform practice* (Short *et al*., 2009).

In summary, the TIF is presented as a contribution to the field of HRD with the intention of providing a pragmatic instrument to support practitioners and their clients in a similar setting, to deliver effective leadership development interventions with a robust transfer strategy as part of the design.

As a conclusion to a Professional Doctorate, the study of a leadership development intervention and resulting TIF create a relevant link between research, theory and practice and provide a contribution to successful and meaningful HRD outcomes in the field of HRD.

7). Final Conclusions

The purpose of this study has been to interrogate a large scale leadership development intervention in a specific context in order to draw on the learning to inform research and practice in the field of HRD. Here I draw some final conclusions and a synthesis of findings from all the cycles and how they might contribute to HRD practice in the future.

From a practitioner perspective, using action research has improved my practice in the field and enabled me to translate the results of training research into practice. At the heart of practice is a pragmatic question about training effectiveness and how that is defined and evaluated. For my clients and recipients of my practice, I am better equipped to influence their views about using training and associated learning technologies as a fully integrated, strategic contribution to their organisation performance-improvement processes, practices, and services, rather than as a stand-alone event.

As a researcher, I have learned to use innovative research methods to collect and analyse data through using different research methods in each cycle, including using FIRO Element-B as a research tool. I have found no evidence that this has been done before and it is a contribution to this field of practice and knowledge.

I have also engaged in an iterative process to inform my understanding and learning, using the advantages of a long-term study with ongoing access to the client system that is not common in the field. Developing understanding of my methods and practice as the product of a particular set of circumstances has raised my awareness of how I might transform, produce and reproduce them in a different set of circumstances *focusing on practices in a concrete and specific way* and through this study making them *accessible for reflection, discussion, and reconstruction as products of past circumstances that are capable of being modified in and for present and future circumstances* (Kemmis et al 1988:21).

I have developed skills of modelling throughout, at a micro and macro level, benefiting the research and practitioner community contributing to the science of training and expanding the traditional training evaluation paradigm.

In Cycle One, the focus of enquiry was concerned with the industry and organisation context of the proposed intervention, identifying the requirements and expectations at the level of the organisation, team and individuals and defining the success criteria. Findings from this cycle were taken forward to further explore the nature of leadership development in general, and Inspirational Leadership in particular, in Cycle Two.

It has been argued that the traditional perspective of leadership development as an individual phenomenon is no longer adequate to explain the multiple and coordinated actions required to be effective. Findings from Cycle Two led to the design of the programme and the utilisation of FIRO Theory and FIRO Element B as the central theme of the design, aligned to organisation strategy.

The focus of Cycle Three was to establish the strengths and limitations of four-level evaluation of an intervention of this sort and found that, whilst it may be a useful tool for assessing the effectiveness of training, it has severe limitations beyond the short term and individual learner level. These limitations led to the area of enquiry for Cycle Four to examine the conclusions regarding training transfer that could be made to inform practice in a similar situation and how these might be captured in a theoretical framework. Through the cycles, I have synthesised the best contributions of the models, each of which contributed something to part of the process, but none of which I had found to be sufficiently holistic to be operationalised over the entire scope of the intervention.

Since Baldwin & Ford's focus on training transfer (1988) there have been many research-based suggestions for how to lessen the gap between the training environment and transfer of knowledge or new skills gained to the workplace. The criticism in the literature is that many of the studies have been conducted in applied settings (Burke & Hutchins 2007). This study took place in a real-world situation.

My goal throughout had been to collect, present and analyse data pragmatically and honestly within a compelling, authentic and well-designed case study that makes a contribution to HRD theory and practice and demonstrates a high level of practitioner-researcher competences. I hope that sufficient evidence has been presented to substantiate this claim.

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An Action Research Study of a Leadership Development Programme in the Hotel Industry.

APPENDICES

A thesis submitted in partial fulfilment of the requirements of London Metropolitan Business School for the Professional Doctorate in Personnel and Development

LONDON METROPOLITAN BUSINESS SCHOOL

HILARY COOKE

96R37907

July 2016

Appendices: CONTENTS

London Metropolitan University   Hilary Cooke, 96R37907

Appendix 1:

Cycle ONE: Diagnostic interview verbatim comments from Region B

1. Really want to do something new, challenging and learn something that you can take away and use straight away

2. Would like to know myself and others in the teams better

3. We have had some challenges recently in the region with restructuring so we are now having to settle down and find a new structure that we can work well with

4. We need a bit of fine tuning - we also need to train our staff to improve quality of service and property

5. Business environment is very challenging at the moment so we need to focus on delivering as much as we can

6. We already know our strengths and weaknesses - we need to recognize them more and work together as a team, maximizing strengths and supporting each other's weaknesses

7. We need to be honest with each other, be able to confront challenges with each other openly

8. Our properties are very individual, but that doesn't mean we do not work as a team

9. We need to put our focus back on the guests

10. Would like to set some clear targets for 2011, and to discuss how we can work as a team to achieve them

11. We love the context, just need more on the leadership behaviour part

12. Follow up will be very important to ensure it stays alive and becomes part of our culture / way of working

13. We like the idea of the stop / start / continue commitments (for both events) as this can focus us on HOW we want to achieve our goals

14. There is a lot of e-mail communication in the region, would like more face to face or telephone communication to help improve relationships

15. We should identify targets

16. We need to settle down again after the recent restructuring and find where we are going as a team

17. We always have a good will to change, we need to use that as a strength to maximize our opportunities

18. We already work well together, but we can always improve

19. We have to deal with a lot of frustrations over cost cutting etc - hard for people to understand why we can't do certain things

20. Would like to be able to deal with these frustrations better so that they do not affect the quality of our working relationships

21. Would like to not have to chase people for information I need to do my job, this would be really helpful and avoid some frustrations for people

22. I know I can frustrate people and I know people frustrate me, would like to always be able to deal with this in a constructive way

23. Would like better communication, more open and timely

24. Would like to 'get more' but at the same time am willing to give more to others also

25. It would be good if we could become more decisive in our decision making, also to make clear / concise decisions regarding what we can and can't do

26. Better planning would help us I think

27. It is good to have the time together to talk openly, be able to discuss frustrations at work without having to take them home

28. We need to learn to accept and utilize each other's competences more / better - leverage our strengths to overcome our weaknesses

29. Sometimes the hotels and support offices work in their own baskets

30. To create a good atmosphere of culture and respect

31. Sometimes we struggle and get "stuck" / the hotels come to a stand still

32. Not 100% clear as to whether the regional office is for support or control - perhaps this could be more clearly defined (Service Level Agreements), it is sometimes difficult for the regional people to position themselves

33. Sometimes we do not know if we are doing a good job or not, this can sometimes cause misunderstandings

34. We need to maximize the specialist skills of the regional people when needed i.e. as internal consultants

35. Need to be convinced as have never done this type of training before!

36. Would like to learn more about each other

37. To talk more about the future rather than the past

38. Be more creative, thinking outside of the box

39. Better communication and inclusion of people who are outside of the region

40. Would be great to learn how to manage and successfully lead people who have different personalities

41. Would like to settle more into the new team and establish myself and my relationships with the people I need to support and influence to achieve my goals

42. To build effective relations with sales / revenue - more proactive action between us to deliver results

43. We need to understand what we need from each other more

44. Better efficiency of some of our business processes (i.e. new reservations system coming in, how we optimize this)

45. To see ourselves as one team would be a great outcome - then we always behave like one

46. We need to merge with a more modern management style, be more collaborative, creative, speak more and use less e-mails to communicate what we need to say

47. The courage for more creative problem solving as a team

48. Would like to improve communication - get some feedback on how well I am doing also

49. More transparency when decisions are made - make sure we do not have any secrets and understand why certain decisions are made

50. Regional people to gain more understanding of how the operations work i.e. and why this sometimes affects our ability to deliver things on time

51. Mutual respect for each other's roles / responsibilities / challenges

52. Time with no laptop or phones

53. Contact with each other

54. Management versus leadership behaviours

55. Regaining our personal touch

56. Seeing who people really are

57. Telling our story

58. Not being "lost behind the laptop"

59. Connect and integrate people in the team

60. Improve communication

61. Motivation, communication and co-operation

62. Regional team operating as one – not separate islands

63. Improve team functioning – communication and awareness

64. Identify shared objectives

65. Closer functioning in regional team

66. Improve communications with corporate office

67. Decisions and agree meeting structure

68. Achieve tangible team spirit

69. Bonding and team spirit

70. Shared, not only singular objectives

71. Confronting issues – not avoiding

72. Achieve synergy between us – accept that we are professional individuals and use each other's expertise

73. Identify boundaries and control

74. Work more as a team

75. Think wider and not in the box

76. GMs as a stronger team and pro-active rather than re-active

77. More decisive

78. More interaction and openness

79. Talking rather than email culture

80. Get more connected, get to know each other

81. Create the team atmosphere

82. Who we are and what we are about

83. Make commitments and stick to them

84. To be able to ask for support when required – e.g. revenue

85. More discipline

86. More trust

87. Less rigidity and more laughter

88. Create one team

89. Increase co-operation and communication between us

90. Focus on the operations team

91. Internal sales and communication quality to improve

92. Achieve conviction around decisions and focus on the end goal

93. Improve relationship to business and each other

94. Achieve consistent service levels

95. Achieve more aliveness and creativity in the team

96. Improve weekly meetings from being one way

97. Create stronger management culture

98. Develop more coaching behaviour

99. Tips for motivation of others

100. More proactive, less reactive

101. General building into a team

102. One team – honesty not rumours

103. Improve / maximize Medallia and revenue

104. Get everyone in the team involved in managing fully

105. Take time out to think and plan

106. Create a team culture that reaches everyone in the hotel

107. Develop our managers

108. Increase team spirit and trust between us

109. Focus on our goals

110. Better decisions and commitment to business

Appendix 2:

Participant Evaluation Survey (PDF Document)

Page	Content
9	Starting out / Biodata
10	Pre-Workshop
11	Workshop Design / Content / Style
12	Workshop Materials
13	Workshop Facilitation
14	Overall Assessment
16	Recommend

1. Starting out

Thank you for taking the time to complete this survey.

Your feedback is valuable to us.

I hope some reflection on your experience will be useful for you too

With best wishes and many thanks for your time.
Kind regards,
Hilary.

Firstly, a few questions about you and the workshop you experienced...

*1. Please complete...

NB: This information will be used solely for the purposes of evaluating the effectiveness of the workshop you have participated in. Your contact information will not be shared with any other 3rd party

Full Name:	
Position:	
Location:	
Email Address:	
Work Phone Number:	

*2. Please enter the start date for your Inspirational Leadership Workshop:

DD   MM   YYYY

Date started   ☐ / ☐ / ☐

*3. What was the location of your workshop?

2. Your Experience: Pre-Workshop

Please tell us about your experiences prior to attending the Inspirational Leadership Workshop...

*1. Please rate your experience of the following...

	Exceeded Expectations	Met Expectations	Did Not Meet Expectations
The quality of the advance communication	○	○	○
The effectiveness of the pre-workshop information / joining instructions	○	○	○
The relevance of the pre-workshop reading / activity	○	○	○

Please add any other comments to help us improve next time

*2. How did you feel about attending before the Inspirational Leadership Programme?

*3. What did you hope to achieve by attending the Inspirational Leadership Programme?

*4. What concerns did you have about attending the Inspirational Leadership Workshop?

3. The Inspirational Leadership Workshop - Content / Design / Style

We would like to know about your satisfaction with content and design of the workshop you attended:

1. Your view:

	Strongly Agree	Agree	Disagree
The workshop objectives were relevant to the challenges of my role	○	○	○
The workshop content was relevant to my role	○	○	○
The variety of activities was right for me	○	○	○
The workshop content was presented in a logical sequence	○	○	○
The workshop activities were effective in helping me learn	○	○	○
The concepts effectively presented & discussed	○	○	○
The time allocated for the workshop was right	○	○	○

Please add any other comments to help us do it better next time

4. The Workshop - Materials

We would like to know about your satisfaction with the materials used during the workshop and the physical environment

1. Please give your feedback on the quality of our learning materials / the learning environment used during the workshop:

	Exceeded expectations	Met expectations	Did not meet expectations	N/A
Workbooks / Handouts	○	○	○	○
Reference materials	○	○	○	○
PowerPoint Presentation	○	○	○	○
The venue	○	○	○	○
The refreshments provided	○	○	○	○

Please add any comments that would help improve next time

2. Please use the scale to indicate the degree to which you agree with each statement about the training materials / environment used during your workshop

	Strongly Agree	Agree	Disagree
The handout materials were easy to read and understand	○	○	○
The follow up notes were useful	○	○	○
I will refer back to the materials provided in the future	○	○	○
The physical environment was good for learning	○	○	○

Please add any comments that would help us improve next time

5. The Inspirational Leadership Workshop - Facilitator (s)

Please rate your experience of your workshop facilitator(s):

*1. What was the name of your facilitator(s)

2. Please rate your facilitator in the following areas:

	Strongly Agree	Agree	Disagree
The facilitator(s) were well prepared	○	○	○
The facilitator(s) create a positive & safe environment for learning, reflection and exploration	○	○	○
The facilitator(s) provided information & direction in a clear manner	○	○	○
The facilitator(s) encouraged people to participate in activities and discussion	○	○	○
The facilitator(s) helped me relate the content to my skills and job challenges	○	○	○
Overall the facilitator(s) were effective in helping me learn	○	○	○

Please add any other comments that would help us do it better next time

6. Overall Assessment

Please provide us with feedback on your overall learning experience:

1. Overall, how did you find your learning experience?

	Strongly Agree	Agree	Disagree	N/A
Overall, I am satisfied with my experience on this workshop	○	○	○	○
This workshop was relevant to my learning objectives	○	○	○	○
This workshop helped me to learn new ideas and skills	○	○	○	○
This workshop helped me to strengthen my existing skills	○	○	○	○
This workshop will help me improve my performance in my role	○	○	○	○
This workshop was of value to me	○	○	○	○

Please add any other comments to help us improve next time

2. How will this workshop make a difference to how you choose to behave as a leader or in the team?

*3. As a result of your experiences on this workshop what will you STOP DOING...

*4. As a result of your experiences on this workshop what will you START DOING...?

*5. As a result of your experiences on this workshop what will you CONTINUE DOING...?

6. How will this workshop improve your team and / or leadership performance?

15

*7. What further development requirements do you have?

*8. How do you consider this workshop could be shared with your team?

Thank you for completing the survey this far - just a couple more questions.

This workshop was carefully designed by us at Merlin Consultancy especially for (company) Hotels and your team. Your satisfaction is important to us and we would appreciate your comments on the following.

1. Please indicate for us at Merlin Consultancy:

	Yes	Unsure	No
Would you recommend this workshop to your colleagues?	○	○	○
Would you like to be kept up to date with our research?	○	○	○
Would you like to receive an update newsletter?	○	○	○

Please add any other comments that would help us improve the workshop in the future

2. Testimonials from satisfied participants are a vital part of our marketing at Merlin Consultancy and an important method of evaluating the effectiveness of your learning experiences. Please share any additional comments that you would be happy for us to use in this way.

8. Complete!

Thank your completing our survey and sharing your feedback.

We really appreciate it!

8. Complete!

Appendix 3:

Research Interview Consent

___

Research Project

Hilary Cooke   (96R37907)

London Metropolitan University

Personnel and Development

Professional Doctorate

Details of Project

This project aims to explore the impact on behaviour of a FIRO-based development intervention carried out with salaried managers within a single organisation during 2011.

Contact Details

Your participation in this interview is completely voluntary and you may refuse to participate at any time with no penalty. If you have any questions or require any further information about the research or your interview data, please contact me at:

If you have concerns/questions about the research you would like to discuss with someone else at the University, please contact my research supervisor:

Dr John Clark

Associate Dean, Research Co-ordination

London Metropolitan Business School at London Metropolitan University

Rm 414 at 2-16 Eden Grove

London N7 8EA

Tel: +44 (0)20 7133 3934

Fax +44 (0)20 7133 3899

About the Interview

During our interview, I will ask you some questions about your experiences since the Leadership Workshop that you attended some months ago and your ideas about the things you may have subsequently applied or changed as a result.

If there are any questions that I ask that you would prefer not to answer, please feel free to tell me and we will move on to another question. If you would like to stop the interview at any time, please tell me and we will end our interview immediately.

During our interview, I will take some notes of the things that you say and I will audio record you so that I can have a record of everything that we both say. The audio recording will be written up as a transcript. There are no risks to you in this study and both your identity and the identity of your employing organisation will be anonymous.

I will send you a copy of the transcript of your interview so that you can comment, add or delete anything that you wish to. If you would like a copy of the final study, please provide me with your address and I will send you a copy in the future.

Confidentiality

Interview tapes and transcripts will be held in confidence. They will not be used other than for the purposes described above and third parties will not be allowed access to them (except as may be required by the law). Your data will be held in accordance with the Data Protection Act

Anonymity

Interview data will be held and used on an anonymous basis, with no mention of your name, but we will refer to the region of which you are an employee (Germany, Netherlands or UK)

Consent

I voluntarily agree to participate and to the use of my data for the purposes specified above. I can withdraw consent at any time.

I have read and understand the explanation provided to me. I have had all my questions answered to my satisfaction, and I voluntarily agree to participate in this study.

2 copies to be signed by both interviewee and researcher, one kept by each

I have been given a copy of this consent form.

_____   _____

   My Signature   Date

_____   _____

   My Printed Name   Signature of the Researcher

Appendix 4:
Coded Interview Transcript

Interview Number	L9
Date	2nd November 2011
Place	London
Duration	16 minutes and 20 seconds
Interviewer	HC
Region	UKL
Culture / language	English
Interviewee gender	M
Position	Commercial Director
Length of service	2 Years and 4 Months

Notes

Introduction: Hilary Cooke (researcher) interviewing subject L9 in the lounge of the venue hotel in London on 2nd November 2011

All protocol forms and permissions were signed and agreed before the recording started.

A brief introduction to the research questions and style of interview was also carried out.

Transcript L9

Line	Contributor	Narrative	Theme
1-2	Researcher	From the course, what do you remember learning or what sticks in your mind the most?	
3-10 11-16	Respondent	Well for me the course was primarily – I think just recalling when we were asked the question as a team what do we want to get out of it, we were quite specific and structured in what we all wanted and we were quite coordinated and from what I recall that was how do we develop a culture and structure and an identity after opening the hotel and being a kind of fire fighting team to a leadership team that is actually managing a business and what kind of things do we want to have as values within managing that business? So <u>for me</u> it was actually very good to <u>understand</u> the feedback of my peers and to <u>actually understand</u> that it was similar to what I thought was missing in the business. `5 H` It was also <u>about understanding</u> – both on a personal and professional level -my colleagues and my peers in a slightly less formal environment, to get to know them better and to <u>understand</u> a	Person Cognitive

17-26		little bit more about them as people and also to <u>understand</u> what they thought of me 4H – so to get that <u>honest feedback</u> – which I think was beneficial because it <u>did bring us closer together as a team.</u> 14 H	4 Role cognitive Team Behaviour
27-34		If you are closer and you understand peoples' personal point of view and a little bit more about them then it's easier to challenge and not offend – and I think that if you are to run a successful business, then you always need to have that challenging element and I actually think that's something <u>we did well - but I think we do it even better now as a team.</u> 13 H So those are the things that I think have come out of the course. <u>What we also understood is all of those elements that provide self recognition because of the openness</u> 3H – some of the <u>feedback that I received</u> was quite…I wouldn't say shocking because I kind of understood it in a way, but it quantified it and spelt it out to me as an individual and it was very clear that it kind of highlighted some of the areas that I <u>knew I needed to work on that before I just sort of ignored</u> 5H and would just get on with the day to day, whereas now it's very much in <u>the fore-front about how I manage my people</u>. 25 H	Team Behaviour Team cognitive Person cognitive
35-38		So the bit about openness, the bit about control particularly sticks out	Person Integrated

		in my mind because I am actively conscious of it – it's not a subconscious or unconscious thing now but it is <u>actually a conscious thing that I put into my daily interaction with people.</u> `25` **H**	Person Integrated
39	Researcher	Thank you – so with this level of consciousness, can you think of anything you've done differently?	
40-45	Respondent	I think to take one example is probably difficult, but the closest I can get to it is when we were running – let's say pre the programme, I was probably a little bit more controlling and protective of my own sphere of influence – very protective - almost to the point of aggressively so in some cases and was not very inclusive, I would say would be the description.	
46-53		I've <u>recognised</u> **5H** since the programme that probably is not of benefit to anyone – including myself <u>so I've been very actively inclusive in some of the decisions I make</u> **15H** – I've forced the issue and <u>made sure that I copy people in</u> – that I pick up the phone and go and see people and follow up to try and <u>give the impression that I am an open and inclusive and not a very controlling person</u> **15H** – but I <u>know I</u> am and that my natural state is to do that – <u>but I've tried to force myself away from doing that more than I have in the past.</u> **15H**	Person cognitive Person Behaviour Person Behaviour Person Behaviour

54-63		So inclusive with more regional people whereas before I had seen them as kind of sitting on the other side, but now I understand that it's important to keep them included 5H and now I detect that in terms of the working relationships with some of those people is that it has vastly improved. 12H	Person Cognitive Inter team Behaviour
		I've also tended to react less defensively than I used to – you know I try to take a more parent approach, the adult approach (TA ref) as opposed to a child reaction. So all those things that were kind of unconscious are now more of a conscious state for me – so I've enjoyed that. 5H	Person cognitive
64-71		I've also enjoyed challenging some of my reports who have been on it and one of the things 14H that I did in the last review process was actually to take some of the feedback and some of the areas that had been touched upon with them during the workshop and used that in the review and I found it useful as an objective third party observation in that it's not just my opinion, but it is information – and I've used that as a tool for coaching and development and to feed back to them on their performance 14H	Role behaviour Role Behaviour
72-74	Researcher	Good – thank you	

		I notice that the words like inclusion control and openness are very present in your language – is that also true of you as a senior team?	
75-85	Respondent	Yeah – yeah and I was part of that process.	
		I came back and I fed back to all of my reports and said *"you know this is my feedback* 15H *and I may not like it, but it's feedback. This is what I've been given and it's my duty to work on it and improve it. So, just to let you know that that's what I've been told and you know I need to work on my openness and I need to work on aspects of maybe relinquishing some control. So if you detect a certain change in the way I approach things, that's because I'm reacting to some of that feedback."* So I have actually broached that subject and been open and I feel very good In sharing that information in order to try and coach them to do the same. 15H	Person Behaviour Person Behaviour
86-90		And that's worked particularly I'd say with (name) – *if I can mention names, but presumably you will edit that out* - and also with (second name) I've noticed a massive change because I've given him a lot of that feedback and a lot of it was met with denial and that can't be right and I said – well that's the feedback … 14H	Role Behaviour
91	Researcher	I got the impression that he was a bit on the edge performance-	

		wise?	
92-96	Respondent	He was way out of his comfort zone and I think the whole openness thing for him was challenging – but as someone coming from a similar measure, I can understand how he might feel so we've worked a lot on that and I've seen some good improvements in how he is managing. **14H**	Role behaviour
97-98	Researcher	Good – because the bit I was catching was that he was teetering on the brink a bit from a performance management point of view?	
99-106	Respondent	He was – he was yes – we were trying to see at what point the breaking point was and we were very close to it at one point …errm.. But he accepted it, he took the feedback and he is in the process of turning it around. **14H** I wouldn't say that has turned it around completely but you know you've got to give everyone a fair crack at the whip and he's certainly giving it his best shot. **14H** So for me that's a good result of the programme.	Role Behaviour Role Behaviour
107-108	Researcher	I'm pleased to hear that.	

		Have you had feedback from anyone about changes in you?	
109-119	Respondent	I wouldn't say that people have directly come up to me and said *"wow – you're a changed person and we love you now"* but what <u>I have noticed</u> is that <u>people</u> have perhaps been more forthcoming in giving all sides of the story **14H** – you know not just the good news but sometimes the bad news too and I think they might have been a bit afraid of doing that in the past which is obviously not good for me and not good for the business and – well I've always had an open door policy so I'm not saying that I always sort of growl and snap at people but <u>I think there's been a more fluid flow of feedback</u> that I've received – so in that respect yes, but in terms of someone coming up to me and actually saying that, then no I can't say that's been the case **14H**	Role Behaviour Role Behaviour
120-22	Researcher	Thank you It sounds as if you have taken a huge amount of personal responsibility to bring stuff back from that programme…	
123	Respondent	Yes	
124-125	Researcher	What would have helped you to transfer that even more? Is there anything that we could have done or that you could have had	

		that would help you with that transfer?	
126-134 135-144	Respondent	I think – I talked a little bit about the review process – the half yearly review. I think that maybe what we could have done, even though I've taken it upon myself to do that myself and a couple of the others have too, I think that what we could have done is actually to say right, to get some real return on investment from this, this actually now needs to be a structured part of the review process and there needs to be maybe some exercises and activities in getting the individual who we are reviewing to follow up in certain areas and to actually give that back in terms of tangible results or evidence. I think that what I felt was that we were given all this valuable information – this inspiration if you like, but we were told well, you're responsible people, do with it what you will. So I think maybe the feedback I could give you is to have some more structure round that, even though we did have that big meeting and we got everyone involved and reminded them and refreshed it, I still think there is an element missing where we need to put it in the day to day and that needs to be enforced because if it isn't it will be seen as something that will infringe on the day to day and it needs to be part of it.	Link to behaviour measures such as performance reviews Part of structured process Follow up activities Tangible changes and evidence of change More structure round taking it back Day to day, Structured framework for implementing

		It will be – that's the normal reaction of people I think.	
145-148	Researcher	Yes I think that's the area I am interested in. If the integration relies on a level of personal responsibility here, then it seems to have been done very well, but if it hasn't been done through personal responsibility then its not happening and that's the missing piece for me	
149-160	Respondent	I think that at the moment it's probably left up to the individual a little bit too much because some people have embraced it and that's really encouraging, but I think that on the other side whilst some people have voiced that they think it's a great thing and go through the motions, I don't really think they understand the value and what it can do and what it can bring for them - and interestingly enough, the people I detect that it may have come from are the ones that have had difficulty and are the ones who were out of their comfort zone when we went through this process - the more forthright, opinionated, less flexible and less open minded people that seem to have done that. It's a tick box and I think it needs to be more than a tick box	Clarify and set expectations Consequences and no consequences More than tick and flick
161-162	Researcher	So building it in to the performance review process would be helpful.	

		Is there anything else that you can think of?	
163-173	Respondent	I think in terms of how we measure, we are always measuring results and profit and test calls and we rarely measure – I know we have the employee satisfaction feedback but – I think if there is a way of possibly including that especially with the Hods and even with the D level is that managing people is fundamental to our success and yet that is the area where we have the least measure. I know its difficult to measure but I mean for me, that's where it all comes from – it's how you manage people, how you get people really into the business – I mean you can drive them, really crack the whip, offer them carrots, beat them with sticks to get the numbers but ultimately that's a really short term fix.	Measurement of change – put some metrics in
174-180		For me it's about incorporating this into our culture and in terms of how we manage people and the culture – and how we measure it - is it visible, is it tangible in terms of how we manage HoDs performance – like KPI (*Key Performance Indicators*) - as well as including it in part of our review processes and in communication meetings, and staff comms and things like that maybe highlight some key successes.	Integrating tangible actions around people management and culture development
181-183		It's just understanding how we translate what came out of this	Translate into every day business

		programme in to the everyday business, that's where the challenge is going to be.	
184	Researcher	How clear is the linkage between this and corporate stuff – like the Context for example?	
185-193	Respondent	I don't think it's 100% clear. I think there are still vagaries and that probably needs to be emphasised I mean just to go back to how we've followed up with this – we've done a couple of meetings – but I think that meetings-wise, people just tend to turn their noses up and think *oh no, not another meeting*.	
		But I think whether it's on a on a one to one, whether it's the team or individual, I think there still needs to be a bit more follow up to be honest.	Alignment and integration
		Because it does get pushed to one side if you don't continually enforce it and build it in to the day to day.	Day to day
194	Researcher	That's a sign that its not integrated isn't it? – if it gets separated like that?	
195-200	Respondent	Yes definitely	
		And I think however good the programme is, if it doesn't have that	Tangibility of continued

		momentum then that's always going to happen.	outcomes
		I don't know if it's human nature or something like that but it gets put to one side and other things become more important and you can see that because it is more difficult to quantify and visibly see.	
201	Researcher	Is it that you can only see it when its not there?	
202	Respondent	Yes – yes - and when something goes wrong	
203	Researcher	That's really helpful thank you Is there anything you want to ask me about the interview?	
204-208	Respondent	I think probably not for the purposes of this interview, but possibly some general advice on how to handle some things and how to deal with some people that I'm still encountering and how we get people to be a little more open and a bit less protective – but that's probably a different conversation…	
209	Researcher	OK – so if we close the interview now then we can move onto that? Interview ends	

Appendix 5:
Coding Manual

In *The Critical Incident in Growth Groups"* Cohen and Smith *(1976)* proposed a three dimensional model for interpreting and classifying the level, type and intensity of an intervention. Its purpose was to provide a model that "*can be used to observe, categorise and analyse interventions by group leaders*" (Cohen et al)

The three dimensions are intended to provide an exhaustive system for the classification of interventions and provide a system of twenty seven combinations defined as:

- The **level** of intervention – whether at group, interpersonal or individual level
- The **type** of intervention – whether it was conceptual, experiential or structural in its intention and design and
- The **intensity** of the intervention – measured on a rating of low, medium and high intensity.
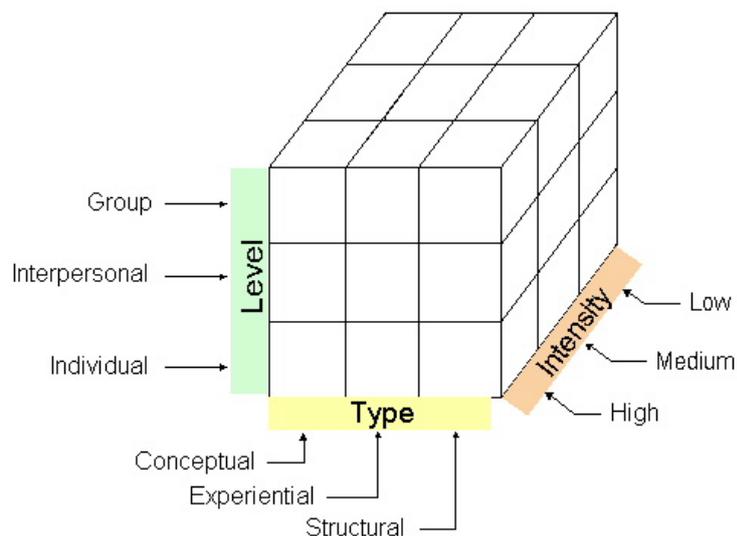

Figure 5.5: *Intervention Cube.* Cohen & Smith (1976)

Their intention for the Intervention Cube was to allow *"any intervention statement to be described and categorised, regardless of the group leader's orientation".* Cohen and Smith (1976) It is atheoretical in that it is not biased towards any particular model of groupwork and neutral as it does not have value-oriented prescriptions for interventions.Its purpose is to serve as a systematic observation and content analysis technique.

Reddy.W.B (1994) (p82) further expanded and adapted The Cohen and Smith model to provide an extended version of the original intervention typology matrix to fit a group process consultation model. Reddy's hypothesis is that any intervention is the product of choice of these variables by the facilitator or group process consultant. He further proposes that skilled facilitation and group process consultancy requires an awareness "in the moment" of the location on all three dimensions of any intervention.

Reddy's Intervention Cube categorises interventions according to the dimensions of:

- Type
- Focus
- Intensity
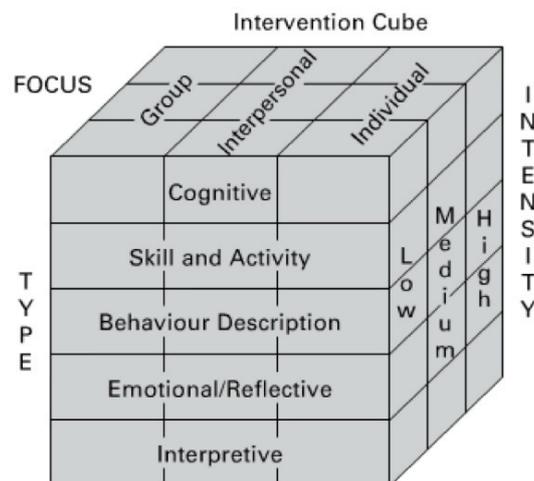
Figure 5.6: *Reddy's Intervention Cube* (Reddy 1994)

Type

The type dimension describes five different types of intervention from the facilitator or group process consultant:

1) Cognitive interventions are abstract, intellectual or idea-oriented.
2) Skills and activities indicate an intervention requiring some sort of skill learning or sequenced activities.
3) Behaviour description relates to an intervention that where the consultant describes observed behaviour
4) Emotional / Reflective interventions are where the consultant describes the emotional and feeling components of their observation
5) Interpretive interventions are the consultant hypothesis or understanding of the dynamic and intended to prompt discussion and awareness of what might be transpiring.

Focus

The focus of any intervention may relate to the whole group, two or a small number of individuals in an interaction together or may be on just one individual.

Intensity

In Reddy's model, his published intention is to use the intensity dimension in the same way as Cohen and Smith intended by defining the strength, power or impact of the intervention *"as the consultant intended",* rather than the strength of reaction as it is received.

Reddy's Intervention Cube provides a valuable interpretive model for analysing the inputs of an intervention, during the event and often in the moment. In this way, the consultant is using themselves as the instrument of change since the intensity can be controlled by factors including choice of words, inflection of voice, tone and speed of delivery as well as a wide choice of non verbal cues and behaviours.

The intensity is graduated as low, medium or high (Cohen and Smith 1976) (Reddy 1994)

However, my research interest in this third cycle of my analysis is concerned with categorising the outputs of the Inspirational Leadership workshop intervention, some 6 months after the event, in order to be able to construct a range of hypotheses.

The data were collected in order to create an opportunity to analyse what may be added in future to strengthen the transfer of learning and lead to sustainable changes in defined desirable leadership behaviours.

I decided to adapt the Reddy Intervention Cube in order to use it as an interpretive model for analysing the interview data relating to the outputs and reported impact of the Inspirational Leadership experience.

The Coding Used for Analysis:

For the analysis of the interview texts, the following categorisations combining two dimensions were used and tabulated on a matrix using a number sequence:

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Person	5	10	15	20	25
Role	4	9	14	19	24
Team	3	8	13	18	23
Inter-team	2	7	12	17	22
Organisation	1	6	11	16	21

1) Type of Reported Activity

On this face of the adapted cube, the dimensions categorise the reported "things they have noticed or done" since their workshop experience. This dimension defines the level of reported activity in the following categories:

- Cognitive = Knowing
- Skill/Activity =Doing
- Behaviour = Description
- Affective = Emotional / Reflective
- Interpretive = Integrated

Cognitive = Knowing: A description of knowledge gained as a result of the workshop

Code range: depending on the combination with the level of activity 5,4,3,2 or 1

For example:

- Interview L5: Lines 27-29 *"In terms of my peers and other HoDs a bit more, you know their personalities. That came across and I understood them much better than before that session"*

The coding for this statement is assigned to the area of cognitive/knowledge as the respondent is describing a new level of understanding. It does not indicate any change in behaviour, reflection or interpretation.

- Interview L12: Lines 3-5 *"I think the bit about awareness and the bit about being aware of our own reactions. I think that was in the session about different stages of reaction – what is instinctive and what we can control".*

Similarly this response is coded in the cognitive category because the respondent describes his/her understanding of the theory of awareness, rather than the experience of enhancing it.

Skill/Activity = Doing: A description of some activity or doing something as a result of the workshop.

Code range: depending on the combination with level of activity: 10,9,8,7 or 6

For example:

- Interview L7: Lines 172-173 *"I think for my team, for the financial team, what we have started to do differently is that we've got the xxx models on the wall, so in the team meetings…"*

A clear statement of activity related to physical and tangible changes in the environment and management of team meetings

- Interview L10: Lines 4-6 *"I think the biggest learning that came immediately into the business and I'm still using it was the way – you know the red and green zone and controlling your emotions with the aspect of the business."*

Although this could be defined as a change in behaviour, the content of this explanation suggests a development of a skill in being able to control emotions. Therefore it is coded in this category.

Behaviour = Description: a description of behaviour change as a result of the workshop

Code range: depending on the combination with level of activity: 15, 14, 13, 12 or 11

For example:

- Interview L5: Lines 147-48 *"So now I'm a bit more aware of these things so I don't just give them feedback but tell them what else I can do for them"*

A description of a new behaviour and addition to behaviour range for this individual

- Interview L9: Lines 41-45 *"I was probably a little bit more controlling and protective of my own sphere of influence – very protective - almost to the point of aggressively so in some cases and was not very inclusive, I would say would be the description. I've recognised since the programme that probably is not of benefit to anyone – including myself so I've been very actively inclusive in some of the decisions I make"*

In this extract, the respondent describes a specific change in more inclusive decision making behaviour.

- Interview G1. Lines 15-16 *"…and I'm trying to think more about what I am trying to say because I sometimes come across as…"*

Affective = Emotional / Reflective

Description is on an emotional or reflective level.

Code range: depending on the combination with level of activity: 20, 19, 18, 17 or 16

For example:

- Interview G1. Lines 7-8 *"So after the workshop, I really came back and I sat down and I really thought about all the impressions I got in this workshop"*

This statement is interpreted as a reflective process "really thinking" about the workshop past experience and impressions gained

- Interview L10: Lines 32-35 *"So that pushed me almost into red zone and I thought "ok I need to control myself and my emotion and I need to manage this business and not to protect but I need to manage the expectations and stakeholders to bring it back in line to how it should be".*

In this fragment, the respondent describes a level of reflection about controlling emotions around a critical incident.

Interpretive = Integrated

In this area of coding, the respondent description is about interpreting in a different way or integrating into practice through a level of new understanding or new level of understanding,

Code range: depending on the combination with level of activity: 25,24,23,22 or 21

For example:

- Interview L5: Lines 214-16 *"I think it's become more of a habit now and I am very conscious of being approachable, openness, being open and things like that so I think its become embedded in me".*

In this example, the text has been coded in this category because of the quality of integration "embedded" being described.

- Interview L7: Lines 117-118 *…"then what do you think that does for their employees? They'll be thinking, "well my manager doesn't really care".*

In this example, there is a level of interpretation about what other people may be thinking about their manager.

2) Level of Reported Activity

This dimension describes at what level the reported activity occurs in the following five categories:

- Person
- Role
- Team
- Inter-team
- Organisation / External

The descriptors applied to each level of activity are:

Person: A description in the first person about the individual or self and not relating directly to their work role.

Code range, depending on the combination with type of reported activity: 5,10,15,20 or 25

For example:

- Interview G1. Lines 7-8 *"So after the workshop, I really came back and I sat down and I really thought about all the impressions I got in this workshop"* is coded as 20 as a Level: Personal (using *"I"*) / Type of Activity: Reflective (*"…really thought.."*)
- Interview G1: Line 9 *"…. and when I came back I talked about it"* is coded as 15 Level: Personal (using *"I"*) / Type of Activity: Behaviour (*talking).*

Both statements are made in first person and contain clear "I" statements about the self.

Role: A description involving their own role, or the role of someone else. Respondents either use "I" in relation to a work context, or about another individual in a work or other role.

Code range, depending on the combination with type of reported activity: 4,9,14,19 or 24

For example:

Interview G1. Line 66 *"but there are always a few people who tried to keep on it and make it happen so it stays alive"*

Interview L7. Lines 18-20 *"…that's what made it such a big difference and a big change for me in terms of managing the team underneath me"*

These descriptions are about individuals, but in a role situation

Team: A description of activity within their own team or span of control.

Code range, depending on the combination with type of reported activity: 3,8,13,18 or 23

For example

- Interview L5: Lines 22-23 *"this was a great opportunity to just get on and gel well together as a team and understand each other"*

- *Interview L7: Lines 172-173 "I think for my team, for the financial team, what we have started to do differently…"*

Inter-team: A description of activity between their team and another within the same hotel or region.

Code range, depending on the combination with type of reported activity: 2,7,12,17 or 22

For example:

Interview G1: Line 9 *"because I'm working in the (team), everybody was really on a high and you could really see that everybody (across the teams) tried so hard and you could see that it lasted for quite some time."*

Organisation / External: A description of activity involving others outside the individual hotel environment.

Code range, depending on the combination with type of reported activity: 1,6,11,16 or 21

For example:

Interview G1: Line 165 *"who won't necessarily have a customer facing role and not actually meeting a guest"*

Coding Combinations:

Type → Level ↓	Cognitive Knowing	Skill/Activity Doing	Behaviour Description	Affective Reflective	Interpretive Integrated
Person	**5** "*I think the bit about awareness and the bit about being aware of our own reactions. I think that was in the session about different stages of reaction – what is instinctive and what we can control.*" L12: Line 3-5	**10** *"I find myself using words and phrases that I haven't used previously but I find are incredibly effective when I'm talking to people"* L7: Line 105	**15** *"…. and when I came back I talked about it"* G1: Line 9	**20** *"I sat down and I really thought about all the impressions I got in this workshop"* G1. Lines 7-8	**25** *"but I think it is still an underlying sub conscious thing – I can still feel it and especially when I talk to other people* L12: Line 41
Role	**4** *"Yes I really do that a lot and I think its something I learned on the leadership course that I try to reflect the business"* L10 78-79	**9** *"First of all I had a few conversations with the assistant manager and with the supervisors because they are running the day to day operation"* L10 50-53	**14** *"I've also enjoyed challenging some of my reports who have been on it and one of the things that I did.."* L9 Line 61	**19** *"In regards to making my own choice and how I progress with my day to day work and how I continue managing my department."* L10 18-21	**24** *"So all those things that were kind of unconscious are now more of a conscious state for me – so I've enjoyed that"* L9 Line 61-63

Team	**3** "*But we did a lot of work together and realised understanding each others preferences on inclusion, control etc. - it makes our lives easier*" L10 195-5	**8** "*I think for my team, for the financial team, what we have started to do differently…*" L7: Lines 172-173	**13** "*everybody was really on a high and you could really see that everybody (across the teams) tried so hard and you could see that it lasted for quite some time* G1: Line 9	**18** "*So the whole scenario was a completely emotional situation.*" L10 94	**23**
Inter-team	**2**	**7** "*That whole side of it is very different this year as all the heads of department have been involved with lots of openness and lots of discussion with people about the figures and getting them actively involved*" L7: Line 154	**12** "*Within F&B yes but I think I hear it when we are talking to each other too – with HR, accounts,*" L12 Line 25	**17** "*All in all it was fantastic because being a new team it was important – that's my personal opinion.*" L5 Line 19	**22** "*So that to me in terms of what's happening in the whole "welcome environment" is that change of mindset* " L13 Lines 130-132
Organisation	**1**	**6**	**11**	**16**	**21** "*I detect that in terms of the working relationships with some of those people is that it has vastly improved*" L10 56-57

Impact

A third level was added to the coding to complete the adaptation of Reddy's Cube. For this dimension, the level of impact refers to the impact on behaviour through identifiable elements of the taught model of FIRO Theory or the experiential activities of the programme content. This is an attempt to measure the transfer of the model and programme design.

In this dimension there are 5 categories:

- High
- Medium
- Low
- Counter
- Neutral

A high impact statement is assigned a letter H and will directly identify a reported change in behaviour directly attributed to a taught element of the programme and/or FIRO model.

For example:

- Interview L12: lines 2-5 "*the main thing for the workshop I attended – was that when I was there it was very evident… you know the word you used was "collusion" and the lack of honesty that we had between us."* This is a direct application of a taught element from the programme in the area of surfacing collusion and increasing levels of openness in the team dynamic.

- Interview L7: Lines 15-20 "*I think the workshop, explaining the inter-relationship between inclusion, control and openness and how that then affects my behaviours and why I make the decisions that I do"* is analysed as a high impact statement because it uses the specific language of FIRO Theory.

- Interview G1: Lines 102-104 "*What I found very interesting was the FIRO charts just to see where you are, where you stand and I find that very helpful, especially for the teams"*

- Interview L7: Lines 15-17 "*I think the workshop, explaining the inter-relationship between inclusion, control and openness and how that then affects my behaviours and why I make the decisions that I do"*

A medium intensity statement is assigned a letter <mark>M</mark> and denotes a statement of some sort of awareness or change as a direct result of the programme experience, but is not overtly attributable to FIRO Theory or the taught elements of the programme.

For example

Interview L6: Line 39-43 "*The other thing that I took away from the course is that you actually can, in a fun way, point things out to other team members or colleagues and say that's what we talked about – yeah some kind of mechanism where you can actually point out things but you have some kind of backup for it*".

This statement is suggesting that as a result of the programme experience, there is a framework for challenging the behaviour of others, but is not a reference to the programme specific content.

A low impact statement is assigned a letter <mark>L</mark> A low impact statement is coded in examples such as Interview L12, Line 13-15 where the respondent explains an awareness of his own reaction and potential to change behaviour as "*I can't remember and I think I didn't fully get it then, but some things sink and I think it's sinking in because I just blame*" This is a statement that implies an awareness of the individual reaction to certain situations, but is not explicitly explored or explained as an impactful experience or change in behaviour as a direct result of the programme.

Or Interview L5: Lines 26-28 "*In terms of my peers and other HoDs, you know their personalities a bit more – that came across and I understood them much better than before that session*". which is directly linking a change to the programme experience, but is not a statement about the impact of the content.

A counter statement and letter <mark>C</mark> implying counter evidence is assigned as in the case of Interview L8: Lines 99-102 where the respondent describes the use of an alternative model, instead of FIRO Theory to understand behaviour "*That's the one that really tends to stick with me and I often categorise people in those 4 boxes rather than in the newer learning like FIRO so if I have to analyse them in those terms, I use that rather than the FIRO*". This is a counter statement that other models and experiences not provided by the programme are being used.

Also in this category is anything that has been unhelpful or unresolved after returning from the programme. For example in Interview G1: Line 73 "*but then the day to day life just goes on you just fall into your old pattern*" and Lines 77 -85 *"We have all these different kinds of departments and every department does his own, but we are not a team over there, we are just…each department does his own department. We are trying but it doesn't work and then we are just …everybody has problems with each other and then you kind of have people talking behind your back and you don't have people who are talking to you straight so you just hear from others that others have problems with you and I think we just need to be more open with each other".*

A neutral statement and letter **N** implies that the intensity of impact was neutral in that it did not contribute to any reported change in behaviour, as in Interview G1: Lines107-114 *"Other than that, I just found the workshop very very… impressive and when I came back from the first one and I talked about it, everyone said to me – did you get a brain surgery or something?"*

References

Cohen A.M and Smith R.D (1976) *The Critical Incident in Growth Groups.* University Associates

Reddy W. Brendan (1994) *Intervention Skills: Process Consultation for Small Groups and Teams.* Jossey-Bass