COMMON CHILDHOOD EXPERIENCES AND RESPONSES RELATED TO THE

DEVELOPMENT OF LEADERS OF CHANGE

A Doctoral Research Project
Presented to:
Associate Professor Robert Bradley
Doctoral Committee Chair
School of Education
The Sage Colleges

In Partial Fulfillment of the
Requirements for the
Degree of Doctor of Education
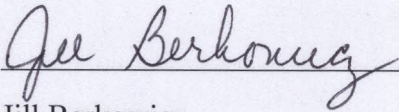In Educational Leadership

Jill Berkowicz
August 2011

COMMON CHILDHOOD EXPERIENCES AND RESPONSES RELATED TO THE
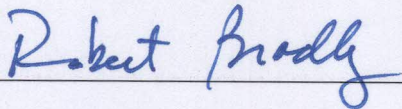
DEVELOPMENT OF LEADERS OF CHANGE

We represent to Sage Graduate School that this thesis/dissertation and abstract are the original work of the author and do not infringe on the copyright or other rights of others.

Jill Berkowicz (signature)

Jill Berkowicz

10-13-11

Date of Signature

Robert Bradley (signature)

Robert Bradley, Ed.D.
Associate Professor, School of Education
Doctoral Research Committee Chair

10-13-11

Date of Signature

Abstract

The purpose of this phenomenological qualitative study was to explore if there are common childhood experiences, responses to those experiences, and responses from others to those experiences related to the development of leadership qualities in leaders who were identified as exhibiting some of Collin's Level 5 leadership traits. Leadership has been defined, discussed and researched for centuries. The skills needed to be the type of leader required to lead in the 21st century include the ability to lead and manage change. Collins (2001) studied companies that were transformed from being good companies to being great companies. Collins (2001) reported that the "good to great" companies he studied were all led by people who shared common leadership traits. Using these leadership traits as a guide, the leaders interviewed for this study had to demonstrate some of Collin's (2001) Level 5 Leadership traits in order to be included in the study. The findings revealed that, in fact, the fifteen respondents had many experiences in common. All respondents reported having a family that provided consistent routine for them. All but one respondent reported being encouraged to work at their studies. All of the respondents were raised in an environment that developed values for hard work, doing good work, and caring deeply about the human condition. There were grandparents or extended family members who also contributed to their values. Those respondents who worked during their childhood credit that experience with teaching them about people, responsibility, and the good feeling that comes from hard work. All of the respondents were affected by experiences when they were believed in, encouraged, and supported by a parent, grandparent, extended family member, teacher or coach. This study raises an important question for our schools. Is it possible for our schools to analyze the facets of the childhoods of successful leaders and duplicate some of those behaviors and experiences to make up for those missed by the children

who lack the experience in their homes? This study has far reaching implications including the ways in which we treat children in our schools, activities and opportunities provided for our children, and the study of parenting and child rearing.

my work gave me a sense of value about my work that otherwise I would not have had. I am

forever indebted. Finally, I would like to thank the fifteen leaders who agreed to be participants

in my study. It is humbling to me that fifteen accomplished, successful, simply amazing leaders,

would open their schedules and their life stories to me. Their participation made my work

possible. I will be eternally grateful to all of them.

Table of Contents

List of Figures

Chapter 1: Introduction

The purpose of this phenomenological qualitative study was to explore if there are common childhood experiences, responses to those experiences, and responses from others to those experiences related to the development of leadership qualities in selected leaders. This chapter describes the purpose of the study and the reasons for the value of the study of common childhood experiences of adult leaders who exhibit Level Five Leadership traits. The delimitations and limitations of the study are also discussed.

Background

Leadership is a universal phenomenon that has been studied and analyzed by researchers for centuries (Bass & Bass, 2008). Bass & Bass (2008) reported leadership behaviors are observed in many species of animals, including matriarchal elephants, patriarchal gorillas, packs of wolves and hyenas, and pods of whales and humans. Whether the behaviors of these animals are considered relevant to the study of the human condition, "remains controversial" (p.7). However, in all instances, "the norms are learned by group members, are stable but can be changed, and are complied with by the majority of members" (Bass & Bass, 2008, p.7). As early as the late sixth century BC, in *The Art of War*, Sun Tsu (c. 400 B.C.) emphasized decisions be based on objective conditions in the physical environment and the subjective beliefs of competing factors in that environment. He thought strategy was not planning in the sense of working through an established list, but rather quick and appropriate responses to changing conditions. In his example, conditions refer to things like the state of the environment, the weather, the health of his troops. Some of his views of how a leader must think about his troops remain at the core of modern leadership theories. Today's leaders in education and industry are less likely to find success by using behaviors that a commander of an army might use. However,

the ability to respond to changing conditions remains an essential leadership behavior. As society developed and leaders arose outside of the military realm, leadership has been defined in many ways including how leaders influence, and whom they influence. Gardner (1995) and Northouse (2001) defined a leader as a person who influences the behaviors, thoughts, and/or feelings of a significant number of their fellow human beings. Heifetz (1994) reported a commonly held belief that leadership was either the influence of the leader on the community to follow his vision, or the leader's influence on the community to face its problems (Heifetz, 1994).

Burns (2003) described leadership as the ability to induce 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. When followers are compelled to work toward specific goals that are embedded with the values, motivations, and expectations of the leader and follower, leadership is present (Burns as cited in Phillips, 1992; Northouse, 2001).

The term leadership evokes emotions because it engages our values (Heifetz, 1994), and so the definition of leadership has been redefined to include values such as liberty and equality (Burns, 2003). A visionary leader is an extraordinary individual (Gardner, 1995; Northouse, 2001) who creates a new story, not previously known to most (Gardner, 1995).

The study of leadership has evolved to include attributes and relationships that were not considered before the twentieth century because we are living in a time of rapid change, accelerated by technology and globalization. Some of these attributes are captured in the work of Collins (2001) whose study of Level Five Leaders defines traits of leaders who have successfully led companies from being good companies to being great companies. Each of the leaders in this study was compared to Level Five Leadership descriptions in order to be

considered for inclusion in this study, because those traits were identified by Collins (2001) as central elements of a leader who could lead an organization from good to great.

Collins (2001) identified Level Five Leaders as:

…embodying a paradoxical mix of personal humility and professional will. They are ambitious, to be sure, but ambitious first and foremost for the company, not themselves…..set up their successors for even greater success in the next generation….display a compelling modesty, are self-effacing and understated….are fanatically driven…display a workmanlike diligence…they look out the window to attribute success to factors other than themselves (p. 39).

Every good-to-great company studied by Collins (2001) had Level Five Leadership during pivotal transition years. These companies were led through change by leaders who knew how to guide them, grow and adjust to the times they were in, and changed them to become successful as measured by their growth in market share and financial standing. However, schools cannot be measured by market share and financial success like companies are measured. If we are to accept the premise that a good leader is a good leader, whether leading a company or a school, the traits that define a good leader in business should be able to be applied to leaders in education. Collins (2001) reported:

That good is the enemy of great is not just a business problem. It is a *human* problem. If we have cracked the code on the question of good to great, we should have something of value to any type of organization. Good schools might become great schools (p. 16).

This study uses Level Five Leadership traits as a frame with which to consider childhood experiences of leaders identified for inclusion in this study. The findings may result in giving us information that can help inform how to develop leaders from early life instead of beginning in

3

college or on the job. The study of common childhood experiences that leaders with Level Five

Leadership traits possess has far reaching implications. These implications include the ways in

which we treat children in our schools, activities and opportunities provided for our children, the

study of child rearing, parenting, mental health, and a potential re-definition of the common

understanding of leadership. The intent of this study was to uncover and understand the common

childhood experiences, responses to those experiences and responses by others to those

experiences related to the development of leadership qualities in present day leaders.

Importance of This Study

It is important to understand the facets of childhood experiences that may contribute to

the ability to become successful adult leaders because today's children are tomorrow's potential

leaders. Little research exists about whether there are common childhood experiences, or

responses to those experiences, that exist among leaders who demonstrate Level Five Leadership

traits and whether those leaders attribute their childhood experiences to having a relationship

with their leadership abilities. Understanding the experiences that may contribute to the

development of Level Five Leadership traits may inform the fields of education, medicine, and

mental health, in ways to develop leadership potential in our youth.

Collins (2001) began his study looking at companies who had made a successful

transition from good to great. However it was the insistence of his research team that a common

factor in those companies was the leader. They then began to identify and define the traits of

those leaders, resulting in the Level 5 Leader description. This study involved one researcher

who identified organizations, including schools, universities, and business, that had undergone a

change that was documented either through newspapers, web pages, personal knowledge, or

recommendations of others and chose the leaders responsible for that change as subjects for this

study. The participants were first asked about a change they had led and asked them to describe it in order for this researcher to verify that some Level Five traits were present. Subjects were then interviewed and asked about their childhood experiences.

Research Questions

The research questions addressed in this study were:

1.   What common childhood experiences do the leaders in this study have?

2.   How did the leaders in this study respond to those experiences?

3.   How did adults present during those childhood experiences respond?

4.   Do leaders in this study report a belief that the reported experiences and/or responses to those experiences contribute to their development as leaders?

Research exists about how leaders learn while leading (Tinelli, 2000), however little research exists about whether successful leaders who demonstrate Level Five traits share common childhood experiences. The potential importance of this study lies in the discovery of whether there are specific childhood experiences that these leaders share.

Delimitations and Limitations

Delimitations of the study were a) the small size of the sample, b) the geographic limit of the respondents, c) the description of leadership traits limited to some, not all of Collins (2001) Level Five Leadership behaviors traits and d) qualification for the study required the evidence of one change led in an organization.

Limitations of the study included the age range of the participants as affected by the different decades in which they grew up. From all participants, eighty-seven percent were over the age of sixty and thirteen percent were in their mid-fifties. Participants in this study may have been influenced by different factors because being born in different decades. The influences on

parents and families in those decades may also have influenced the participant. For example, Putnam (1996) found that, "Those born between 1910 and 1940 are substantially more engaged in community affairs than people born later" (p. 35).

Another limitation involved the challenge of interviewing people about their childhoods. Recalling childhood memories has the potential for giving rise to unexpected feelings that are not commonly expected to be experienced during the course of a day at work, or in an interview with a stranger. This researcher remained sensitive to the feelings of the subjects. Concern about the potential for upsetting the subjects suggested avoiding follow-up questions in only a few interviews. However, most respondents answered the open-ended questions with answers that could be categorized, compared, and analyzed in order to answer the research questions.

Summary

This qualitative study explored if there are common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of leadership qualities in selected leaders. This study uncovered common childhood experiences shared by leaders chosen to participate. These leaders serve in business and education. They all demonstrated behavior traits defined in the work of Collins (2001). Leadership is well studied and is necessary for organizations to survive in today's fast paced world. That pace of change is also the reason leaders need to be prepared to move their organizations from good to great in order to remain in business (Collins, 2001). Previous research reports that leadership in adults has its roots in childhood experiences. This study defined leadership using Collins (2001) definition of Level 5 Leadership and uncovered childhood experiences these leaders had in common.

Organization of remaining chapters. Chapter two provides an overview of the literature summarizing the development of theories and includes a brief review of the literature on change, creativity and problem solving. This chapter also includes a review of the literature on the role of parents and family. Finally chapter two includes the relationship between childhood experiences and leadership abilities.

Chapter three describes the methodology followed in the development and implementation of this study. A phenomenological qualitative study using grounded theory was employed to gain understanding of the role childhood experiences play in the development of leadership potential and to uncover the possibility that there are common experiences shared by the leaders identified for this study. In addition, the chapter includes: 1) the reasons this type of study was chosen, 2) the steps taken in order to identify subjects for this study, 3) steps taken in the development of the instrument, 4) the ethical considerations, 5) data collection procedures, 6) data validity and reliability, 7) coding and 8) delimitations and limitations.

Chapter four presents findings from the interviews. The first section of the chapter is dedicated to describing the responses of the respondents as they fit the Level Five Leadership behaviors. The themes that arose throughout the interviews were also used to organize this chapter. These themes are: a) economic status, b) influences, lessons, and messages received from parents, grandparents, extended family, c) unique experiences viewed as important, e) experiences in school, and f) early experiences of leadership.

Chapter five includes a presentation of the prevalent themes that emerged from the analysis of data as they relate directly to the four research questions. In addition, conclusions and recommendations for further study are presented.

Chapter II: Review of Literature

This chapter presents a review of the existing literature on leadership theories including: 1) direct and indirect leadership, 2) transactional and transformational leadership, 3) situationist theory, 3) great man theory, 4) contingency theory, and 5) Level Five Leadership. A brief review of the literature on change, creativity and problem solving is given. This chapter also includes a review of the literature on the role of parents and family. Finally this chapter includes information about childhood experiences as they relate to leadership abilities in adults.

The purpose of this qualitative study is to explore if there are common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of leadership qualities in selected leaders. Participating leaders were chosen if they demonstrated one or more Level Five Leadership attributes described in Collins (2001) research on leadership.

Leadership Theories

This section will explain descriptions of direct and indirect leadership, transactional and transformational leadership, situationist or great man behaviors, contingency and Level Five Leadership. This is a review of some prominent schools of thought that contributed to current thinking about leadership.

Leadership has been defined in many ways including how leaders influence, and who they influence. For example, Gardner (1995) and Northouse (2001) defined leaders as persons who influence the behaviors, thoughts, and/or feelings of a significant number of their fellow human beings. Heifetz (1994) reported a commonly held belief that leadership was either the influence of the leader on the community to follow his vision, or the leaders' influence on the community to face its problems.

8

Burns (2003) described leadership as the ability to induce 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 believed the genius of leadership is the way leaders view and act upon their own and their followers' values and motivations (as cited in Phillips, 1992). The ability of leaders to be successful, in part, is based on the way they express themselves and personify the stories they tell (Gardner, 1995). When followers are compelled to work toward specific goals that are embedded with the values, motivations, and expectations of the leader and follower, leadership is present (Burns as cited in Phillips, 1992; Northouse, 2001).

The term leadership evokes emotions because it engages our values (Heifetz, 1994), and so the definition of leadership has been often been used to include values such as liberty and equality (Burns, 2003). A visionary leader is an extraordinary individual who creates a new story, not previously known to most (Gardner, 1995; Northouse, 2001).

Direct and indirect leadership. Gardner (1995) described direct leaders as those who address their public in a face-to-face manner and indirect leaders as those who impact people through the work that they create. Phillips (1992, 1997), Gardner (1995), and Burns (2003), wrote about the people they believed were good examples of both direct and indirect types of leaders and studied them from biographical and autobiographical perspectives, drawing conclusions from information they were able to glean from books and documents. Gardner (1995) cited Eleanor Roosevelt as an example of a direct leader, who embarked to do work that had previously not been considered work for women, and who effectively led social changes that touched the lives of the underrepresented. Margaret Mead was also cited by Gardner (1995) as having "…influenced views about childhood, family life, and society all over the world" through her speaking and writing over the course of fifty years (p.6).

9

Gardner (1993) also reported that the influence of leadership can be indirect. He studied indirect leaders such as Freud, Einstein, Stravinsky, Picasso and T.S. Eliot as leaders who conceived of time and space in a way that was different from how it had been viewed before. Gardner (1993) explained that Einstein's influence in the development of the atomic bomb had nothing to do with his political beliefs, which were predominantly that of a pacifist, but came from his role as a leading physicist, whose ideas resulted in a theory that was later used to influence the way people behaved. Gardner (1993) defined a continuum of individuals whose influence was indirect, like Virginia Woolf and Albert Einstein, and direct like Josef Stalin, Margaret Thatcher, or Winston Churchill (Gardner, 1995). He distinguished between direct and indirect leaders:

> Most creative leaders exert their influence indirectly through the symbolic products that they create; most political leaders relate their stories directly to their audiences…Some indirect leaders, like Mead and Oppenheimer, attempt to provide direct leadership within their domains; and some direct leaders , like Vaclav Havel, of the Czech Republic and Leopold Sedar Senghor of Senegal, have created political or artistic works that influence other people (Gardner, 1995, p. 293-294).

A leader can both a have direct and indirect impact depending on the situation or the time. Oppenheimer, who was ultimately responsible for the use of nuclear weapons in the second world war, was seen as a having direct leadership. However, in his early years he was considered an indirect leader because he provided influence through the quality of his scholarly accomplishments (Gardner, 1995).

Transactional vs. transformational leadership. Transactional leadership is defined by Burns (1978) as a relationship between leader and follower in which:

The leader communicates with follower in a manner designed to elicit follower's

response; follower responds in a manner likely to produce further leader initiatives;

leader appeals to presumed follower motivations; follower responds; leader arouses

further expectations and closes in on the transaction itself, and so the exchange process

continues (p. 258).

Transactional leadership offers the leader status and influence in exchange for providing

followers with context and direction through the use of bargaining and persuasion, which are the

underlying nature of political power (Heifetz, 1994; Hartog, Van Muijen, & Koopman, 1997).

The transactional leader reinforces followers and works within the limits of the organization

(Bass, 1997). In transactional groups, people jockey for positions (Bass, 1997). Transactional

leadership behaviors appear to arise in a well-ordered society, like the military (Bass, Avolio,

Jung & Berson, 2003).

Bass (2008) explains that "individual differences in personality and differences in

cognitive, social, and emotional competencies predispose individuals to be either

transformational or transactional leaders" (p.633). He also reports that there is evidence that age,

education, and experience play a role in whether the leadership called for is transactional or

transformational. Whether transactional or transformational leadership presents itself is

dependent upon certain conditions (Bass, Avolio, Jung & Berson, 2003). Transactional

leadership is defined by Bass (1997) as reinforcement of followers' performance and defines the

new transformational leadership paradigm as moving followers beyond their self-interests to the

interests of the group.

The transactional-transformational leadership paradigm has been studied on every

continent with the exception of Antarctica (Bass, 1997). More current descriptions of leadership

11

behavior include self-confidence, self-accepting, independent, unique, open to experience, flexible, and accepting of ambiguity (Trapani, 2009).

Transformational leadership exists when adaptive leaders work in rapidly changing environments, helping to make sense of the problems, and working with their followers resulting in the development of creative solutions to complex problems (Bass et al., 2003). The research on transformational leadership has focused on the characteristics and significance of leaders' work (Sahgal & Pathak, 2007). There is evidence that leadership in the 21st century requires transformational leadership. Friedman (2005) describes globalization as the accelerator of the empowerment of more people from all over the world to participate in the business of our lives. That global participation affects our lives by widening the potential impact on us by more and different influences than ever before. Leaders need to be ready to take on the challenge of the 21st century by being prepared with willingness to lead, leadership potential, and leadership training. The 21st century leaders' work will be focused on knowledge, which requires the ability to envision, enable, and empower (Bass, 1997).

At the end of the 20th century scholars were looking back at leadership as it was, and were looking ahead at what leadership needed to be. A renewed interest in leadership provoked a study of the difference between transactional and transformational leadership (Hartog et al., 1997). During this time of renewed interest there came to be an acceptance that there is a difference between the transactional and transformational leadership (Hartog et al., 1997). As this new leadership paradigm emerged, deepening followers' motivation, understanding, maturity and sense of self-worth was added to the role of leader (Bass, 1997).

Hartog et al. (1997) stated that transformational leadership is best described when contrasted to transactional leadership. Bass et al.(2003) believe transformational leadership

12

involves adaptive leaders working effectively in rapidly changing environments and helping to make sense of the challenges, while working with their followers to develop creative solutions to complex problems. Bass (1997) states the transformational leader changes the organization and in transformational groups, people share common goals. Dominant transformational leadership models emphasize the visionary aspects of leadership and the leader's role as the manager of meaning (Matthew, 2009).

The research on transformational leadership has focused on the characteristics and significance of leaders' work (Sahgal & Pathak, 2007). Transformational leadership behaviors tend to arise during times of change (Bass et al., 2003). Bass (1997) wrote that the 21st century leaders' work will be focused on knowledge, which requires the ability to envision, enable, and empower. This work requires leaders to go beyond the reward-punishment exchange inherent in transactional leadership (Bass, 1997), which motivates followers to perform as expected while the transformational leader inspires followers to do more than expected (Hartog et al., 1997).

"The internal world of the transformational leader is characterized by the motivation to lead, self-efficacy, and the capacity to relate to others in a pro-social way" (Bass & Bass, 2008, p. 634). Therefore, the study of transformational leadership separated leaders like Gandhi, who motivated people toward a goal through the use of identification with morals and values, from leaders like Hitler who exercised power but failed to lead, and using the standard of legitimate authority, destroyed the political apparatus of Germany, while maintaining his dominance through terror (Heifetz, 1994). Based on a belief that leadership is a moral undertaking, Burns' (2003) and Heifetz's (1994) work resulted in redefining Hitler as a ruler while maintaining Gandhi as an example of a transformational leader.

Great man and situationist theories. Burns (2003) defined the great man theory as the answer to the human need for "heroes to deify or destroy, as all-powerful causes for success or as scapegoats for failure" (p. 11). This theory gives credit to the leader for all things. This theory attributes the course of history, or the change in an organization to one man, who is assigned the responsibility for the success or failure of the situation (Bass & Bass, 2008).

Heifetz (1994) referred to the great man theory when he described Americans' view of leadership as the belief that great men have had an impact on history. Since this theory is based on a nineteenth century idea, women were not considered as candidates for greatness (Heifetz, 1994). The "great-man" approach to leadership study is also called the "traits" approach to the study of leadership (Heifetz, 1994). This approach focuses the study of emotional and physical attributes of the leader (Burns, 2003). This theory places a value on the leader, or history maker (Heifetz, 1994). Mumford et al. (1993) challenged the prevalent belief of the time, that the "ability of trait measures to predict leader emergence and performance" was limited (p.152). In their study of background predictors of leadership, Mumford et al. (1993) concluded that "when appropriate methods are applied, differential characteristics can be used to predict leadership activities" (p. 187).

In the warrior model of leadership the leader must be able to be willing to use his followers, take initiative and accept the consequences, while usually winning fame and power (Bass, 2008). In addition the leader can usually delegate in a way that results in the leader being without blame (Bass, 2008). Warfare has played a role in the way people conceive of leadership and authority because the root of the word 'to lead' means 'to go forth, die.'

Research about leadership was focused on individual traits until the 1940's (Bass. 2008). In the 1940's leaders were defined and separated from non-leaders by studying their attributes.

14

Bass (2008) reported, "Two questions were usually posed: 1) What traits distinguish leaders from other people and 2) What is the extent of the difference" (p. 50). However, following the 1940's the idea that traits alone were responsible for the development of leadership became unpopular (Bass, 2008).

Theorists began to synthesize the traits approach and the situationist approach to the study of leadership in the 1950s as it had become clear that no single trait or combination of traits were associated with leadership (Heifetz, 1994). Situationalism, an opposing theory emerged in which leadership is determined to be a response to situations and circumstances as opposed to the result of personality traits (Bass, 2008). By the mid 1980's it was understood that different leadership skills and traits were called for in a variety of situations (Bass, 2008). However Stogdill (as cited in Bass, 2008) came to believe, as early as 1948, that leadership was the result of both the person and the situation, not one or the other. He believed that personality traits alone would not predict leadership. By this time, it became evident that there were different leadership attributes required to meet different situations in order for the appropriate leadership to emerge (Bass, 2008).

Contingency theory. The contingency theory holds that each situation can require different traits, or types of leadership and be influenced by the traits of the followers and the context of the situation (Bass, 2008). Beginning in the 1970's and 1980's it was thought that the success of task-oriented and relationship-oriented leaders depended upon the demands presented by the situation (Bass, 2008). There is a reciprocal transaction that takes place between leaders and followers, resulting in individuals gaining and sustaining influence over time (Heifetz, 1994). The reciprocal transaction provides opportunities for a leader to earn influence by adjusting to the expectation of the followers (Heifetz, 1994). This approach to studying

leadership, called the contingency theory, suggests that certain situations require specific types of leadership (Heifetz, 1994).

Level five leadership. The idea of greatness being associated with leadership is challenged by the work of Collins (2001) who describes Level Five Leaders as the opposite of famous or great, with the attributes of being self-effacing, quiet, reserved, shy, and having humility. Level Five Leaders are described to be more like Lincoln and Socrates than Patton and Caesar (Collins, 2001). Collins (2001) identified Level Five Leadership traits as:

embodying a paradoxical mix of personal humility and professional will. They are ambitious, to be sure, but ambitious first and foremost for the company, not themselves…..set up their successors for even greater success in the next generation….display a compelling modesty, are self-effacing and understated….are fanatically driven…display a workmanlike diligence…they look out the window to attribute success to factors other than themselves (p.39)

According to Collins (2001) there are two types of people; those who do not have the potential to become Level Five Leaders and those who do (p. 36). The first group consists of those who could not place their personal ego needs aside in order to build something more important and longer lasting than themselves, and are focused on themselves and what they receive, instead of what they create. The second group consists of those who have the capability to develop into Level Five Leaders (Collins, 2001).

The first category consists of people who could never in a million years bring themselves to subjugate their egoistic needs to the greater ambition of building something larger and more lasting than themselves…The second category of people—and I suspect the larger group—consists of those who have the potential to evolve to Level 5 (p. 36-37).

Innovative Level Five Leaders who have the capacity to transform their companies from good to great are identified as building lasting greatness through a distinctive combination of personal humility and professional will (Collins, 2001). Every good-to-great company studied by Collins had Level Five Leadership during pivotal transition years. Those leaders from his study were able to assess where their organization was, "get the wrong people off the bus, get the right people on the bus, and the right people in the right seats, and then figure out where to drive it" (Collins, 2001, p. 41). It is important to consider the people you are working with before considering what you are working for (Collins, 2001). An advantage of having the right people in the right seats is when people join the organization because of who else works in the organization, the need to motivate diminishes, the innovative leader has less work to do motivating the leadership team, and can remain focused on choosing the leadership team (Collins, 2001). Level Five Leaders are rarely well known, and usually shy away from being in the spotlight (Collins, 2001).

One example of Level Five Leadership may come from history. Lincoln is an example of a Level Five Leader who Collins (2001) refers to as "one of the few level five presidents in United States history" (p.22). Collins (2001) described Lincoln as a man "who never let his ego get in the way of his primary ambition for the larger cause of an enduring great nation (p.22). Abraham Lincoln has been described as the greatest leader this nation has ever known or may ever know and is described as standing for what was right, honest, and self-evident (Phillips, 1992). He was considered innovative at a time when the age of discoveries and inventions were just beginning and was described as patient, persistent, consistent, and persuasive (Phillips, 1992). Scholars like Phillips (1992) and Burns (2003) describe Lincoln as humble, persistent, and caring more about the needs of the country than himself. Phillips (1992) attributed Lincoln's

qualities such as honesty and integrity, empathy for the common man, devotion to the rights of individuals to Lincoln's upbringing. Transformational, Level Five, and creative leaders are vital in order to successfully lead in this time of accelerated change (Collins, 2001; Friedman, 2005; Mumford & Connelly, 1991).

Change

This section will include a brief review of the literature on the challenge of change. Montgomery and Porter (1990), Hagel and Brown (2005), Friedman (2005), and Gallos (2009) all reported the need for leaders to know how to lead change. Enduring, institutional change takes place with leaders who can lead change with transformational leadership skills (Burns, 2003). Research about how leaders are able to transform their organization by defining the need for change, generating new visions, rallying dedication to these visions (Hartog et al., 1997; Kotter & Cohen, 2002) will be reported.

Enduring institutional change is necessary for organizational survival (Collins, 2001). Murphy and Johnson (2011) reported, "Developing leaders and leadership capacity is more important than ever to organizations (p.459). A leader must be able to guide the necessary change and have the skills to do so. Heifetz (1994) states:

> Adaptive work consists of the learning required to address conflicts in the values people hold, or to diminish the gap between the values people stand for and the reality they face. Adaptive work requires a change in values, beliefs, or behavior. The exposure and orchestration of conflict – internal contradictions – within individuals and constituencies provide the leverage for mobilizing people to learn new ways (p. 22).

Collins (2001) studied Level Five Leaders who changed their companies from good to great. Level Five Leaders engage their team, while empowering them to take responsibility for

18

looking outside of the organization to determine what challenges lie ahead (Collins, 2001; Mumford & Connelly, 1991). Transformational skills and abilities are paramount in order for a leader to see what is needed, motivate the organization, monitor the changes, and have the system continue beyond their leadership (Collins, 2001). Without a leader who possesses these skills, dynamic change processes cannot be institutionalized (Collins, 2001). In order to maintain that competitive advantage, enduring institutional change is required which takes place under the guidance of Level Five Leadership (Collins, 2001).

Krogh et al. (as cited in Harris, 2008) found an organization can only generate new knowledge if it expands its capabilities by sharing and converting the tacit knowledge of its members. A purposeful environment must exist where people are afforded opportunities to engage in conversation, solve problems and innovate (Harris, 2008). This is possible when facilitated by a Level Five Leader because of his or her ability to empower members of the organization with the shared responsibility of responding to the challenges facing them (Collins, 2001).

Kotter & Cohen (2002), developed an eight step process that can help a leader in order to effect successful large scale change in the face of challenges: 1) increase urgency, 2) build a guiding team, 3) get the vision right, 4) communicate for buy-in, 5) empower action, 6) create short-term wins, 7) don't let up, and 8) make change stick. They further describe that people participate in change when a truth is revealed to them that affects their feelings. The ultimate challenge for a leader then, is to understand each step, know how and when to implement them, while changing people's behavior (Kotter & Cohen, 2002). Although both thinking and feeling are necessary, leaders of successful organizations possess the capacity to influence feelings and

19

use it in the process of leading successful organizational change (Kotter& Cohen, 2002; Collins 2001).

Creativity and Problem Solving

This section will include a discussion of creativity, the ability to solve problems using creativity, and its role in successful leadership. Leadership and creativity are closely related (Mumford & Connelly, 1991) and will be discussed relative to creative problem solving. Mumford & Connelly (1991) note that one must understand the process of creative problem solving to understand the relationship between leadership and creativity.

Creativity and innovation provide the only competitive advantage for the United States to maintain an edge in the global economy (Montgomery & Porter, 1990; Hagel & Brown, 2005; Friedman, 2005). Society now experiences an accelerated rate of change due to the continuing development of communication technologies (Friedman, 2005). Contemporary organizations require leaders who are able to respond to rapidly changing challenges (Gallos, 2009). The pace of change has made it difficult for creative leaders to structure creative thinking (Ashley & Oliver, 2010). There is a call for leaders who can adapt and be flexible while responding to ever-changing environments due to this rapid change (Bass et al., 2003). This increased pace of change presents a need for novel problem solutions (Mumford & Connelly, 1991). Transformational leaders are adaptive leaders who work effectively in rapidly changing environments by helping to make sense of the challenges and work with their followers to develop creative solutions to complex problems (Bass et al., 2003).

Creative problem solving, as opposed to routine problem solving, demands the solution be novel and involves the creation of divergent thinking and alternative solutions (Mumford & Connelly, 1991). Cognitive ability may be a basis for effective leadership development because

20

leadership requires the ability to solve problems (Mumford & Connelly, 1991). However, intelligence is not the only attribute that influences problem solving. Many solutions require higher-level cognitive processes including aspects of creativity (Mumford & Connelly, 1991). Basadur's (2004) model of leadership is built upon an approach defining creative problem solving, uniquely identifying organizational creativity as an ongoing, circular process. This process begins with finding the problem, conceptualizing it, solving it, and implementing the solution. The measure of the leader in the future will be applying creativity to solve problems with novel solutions (Basadur, 2004). Creativity occurs when a person makes a change in a domain and that change is transmitted over time (Csikszentmihalyi as cited in Matthew, 2009).

Many adults prefer practical and economical solutions instead of accepting creative imperfect ideas and building upon them (Basadur, 2004). Adults appear to be inclined to seek what is familiar rather than what is unique and are often critical when presented with new ideas, which hinders productive thinking (Basadur, 2004). However, people become less likely to leap to quick solutions when they develop a repertoire of problem-solving behaviors (Basadur, 2004). Then creative and collaborative experimentation develops new and meaningful solutions when using these problem-solving behaviors (Basadur, 2004). People develop expertise, diverse knowledge structures, and the ability to organize information into systems based on fundamental values when faced with inimitable problems that lack clear solutions (Mumford & Connelly, 1991). Knowledge plays an important role in creative problem solving (Mumford & Connelly, 1991).

A leader must break free from conventional wisdom and utilize his or her natural creativity and intellectual independence (Sample, 2002). Successful leaders can think in shades of gray, question experts, think harder than the competition, delegate work that can be delegated,

and work for the people who work for them (Sample, 2002). Matthew (2009) studied leader creativity as a predictor of leading change. Matthew (2009) found that creativity is central to leadership and is required for creating a vision that moves and energizes people.

Creative leadership involves seeing, thinking, and doing things differently (Stoll & Temperley, 2009). The role of the creative leader is to provide the conditions, environment, and opportunities for others to be creative (Stoll & Temperley, 2009). Therefore, leaders have to learn how to share or transfer ownership of the problem solving challenges (Basadur, 2004). Effective leaders' involvement of others in innovative thinking must be a focus as society prepares for the future (Basadur, 2004).

Parents and Family

The role of parents and family is paramount to the development of a child. Decisions made by parents affect the development of the child, whether it is the development of intelligence, social skills, or commitment to community. Efficacy experiences provide opportunities for an infant to exercise control over their environment. These experiences are vital to the development of social, linguistic and cognitive development (Ainsworth & Bell; Ruddy & Bornstein; Yarrow, Rubenstein & Pederson as cited in Bandura, 1997). An example of efficacy in infancy is when the infant cries and learns that it brings a response from the parent and repeats the experience because he has learned the response it brings. Bandura (1997) studied and reported that longitudinal studies "in which parents are explicitly taught how to provide their infants with experiences of mastery furnish even stronger evidence that enabling influences during infancy build a sense of agency conducive to cognitive development" (p.168).

Ramey and Ramey (2000) describe a framework for understanding human development called biosocial developmental contextualism, which describes development as a complex and dynamic system.

The developing child is part of multiple, dynamic, and interrelated systems. Development is not linear, but represents the cumulative effects and correlates of multiple biological, social, and behavioral systems, including the child's proximal (or immediate) environment and more distal events such as stressors or supports that affect the family and the community at large (p. 126).

This theory explains how the traits a child is born with and the environment in which she develops interact in ways that result in a child being able to develop a dynamic and growing sense of efficacy.

Family socioeconomic status in addition to the initial interactions between parent and infant, affect a child's academic achievement (Bandura, 1997). The socioeconomic influence promotes "parental aspirations and children's prosocialness" (Bandura, 1997, p. 238). When parents have a belief that they can influence their child's capacity through high standards, they directly influence academic aspirations and prosocial relationships while counteracting despondency (Bandura, 1997).

Parents who are educationally advantaged, or who have a great value of education, tend to be supportive of their children's academic advancement and are often engaged in providing supplemental educational experiences (Bandura, 1997). Disadvantaged families lack the means or experience to enable them to offer developmental enriching experiences. While self-efficacious parents view the education of their children as a responsibility shared between the

school and home, parents who doubt their efficacy tend to turn over the responsibility of educating their children to the school (Bandura, 1997).

Bandura (1997) also reported that a child's perception of their efficacy affects their choice of career:

> Children of high perceived academic efficacy have high educational aspirations and a strong sense of efficacy for scientific, educational, literary, and medical pursuits. They favor careers requiring advanced educational development. Children of high perceived social efficacy judge themselves efficacious mainly for service occupations and would choose as their life's work jobs involving public service, caregiving, and other nurturant activities (p. 425).

Bandura (1997) described the initial efficacy experiences being centered on the parent and infant, and explains that as children's social worlds expand the role of sibling and peer interactions come into play. In addition, he states, "Family structures, as reflected in family size, birth order, and sibling constellation patterns create different social reference for comparative appraisal of personal efficacy" (p. 169). Other influences mentioned in Bandura's (1997) research include difference in ages of sibling and whether sibling are of the same gender.

Whether a family moves, or remains in one home or town, is the choice of the parent and affects the child. Putnam (1996) noted the increased mobility of American society has reduced the frequency of social engagement. Beyond the values of and experiences with our families, we are products of the times in which we live. Putnam (1996) reported that people born between 1910 and 1940 are more involved in community affairs than those born more recently. Putnam (1995) also found that mobility has an effect on social engagement. The longer one lives in one place, the more likely they are to become involved in their community.

24

Childhood Experiences and Leadership Skills

This section explains the literature about the relationship between childhood experiences and adult leadership skills. Literature exists about childhood experiences of leaders. However, research is limited on common childhood experiences and the connections the leaders themselves make between those experiences and their leadership abilities. Included in this section are theories about development and specific examples of leaders' childhoods as they relate to their leadership skills. The research connects the impact of childhood experiences with leadership abilities. However, the study of childhoods of leaders is almost entirely biographical and does not specifically speak to a relationship between childhood experiences and Level Five Leadership behavior traits in adults. Childhood experiences and their relationship to leadership capacity as adults, specifically as defined by Collins (2001) will be reviewed.

Leadership is affected by factors such as training, culture, and organization as well as heredity (Bass, 1997). However, it remains unknown to what degree training, culture and organization contribute to the inherited capacity for leadership (Bass, 1997). Gardner (1995) stated that the early theories formed by young children are powerful. Piaget described the ability of children to adapt to new experiences. The child moves forward to have more experiences, and is transported from being a follower to being a potential leader (as cited in Burns, 1978). The development of leadership skills begins in childhood when confidence develops into the ability to take part in politics and be listened to by political leaders (Burns, 1978). Burns (1978) refers to the family as the first political system into which a child is introduced. Heifetz (1994) refers to leadership in terms of a social contract, that a persons' moral and/or political life is reliant on an agreement with others in order to form the society in which they live.

Existing literature about how to develop leadership skills focuses upon learning these skills as adults while Burns (2003) reports the most important influences on the shaping of leaders lie mostly in their early years. However, Sahgal (2007) reports that although studies have included how the leader influences, motivates, develops morale, and handles relationships, research about behaviors of transformational leaders is lacking in the focus on predictors.

Leaders' understanding of themselves and their life experiences shapes the way they think and act (Lignon, Hunter, & Mumford, 2008). Leaders act upon their experiences and self-understanding, then contribute to the type of mental model they build when presented with a challenge or a problem (Ligon et al., 2008). Bandura (1997) stated that as early as infancy, the development of personal agency is directly related to the responses of the environment to the actions of the infant. Human beings create valued life outcomes both individually and in concert with others (Bandura,1997). Bennis (2009) states, "Leaders are self-directed, but learning and understanding are the keys to self-direction, and it is in our relationships with others that we learn about ourselves" (p. 58-59).

Mumford and Owens (1987) stated that background data reveals a type of life-history measure as people are asked questions about their actions and experiences. Mumford et al. (1993) found that background data are likely helpful in the understanding of behavior in the work place and as such, differential characteristics may be used to predict leadership activities (Mumford et al., 1993). Mumford et al. (1993) developed two major categories; input variables and prior behaviors in their study of background predictors of leadership behavior, focusing on late adolescence. The input variables were made up of experiences that were done to the individual and influences such as parental behaviors, teacher behaviors, sibling interaction, and socioeconomic status. The category of prior behavior provided information about peoples'

26

behavior such as athletic activities, social activities, religious involvement and leadership activities. Mumford and Stokes (as cited in Mumford et al. 1993) concluded that "background data measures seek explicitly to identify the developmental antecedents of performance" (p. 132).

Madsen (2007, 2008, 2009), Burns (2003), and Phillips (1992) included the study of the family, childhoods, and youth of leaders. Madsen's (2009) work studying the life experiences, including the childhoods of female governors revealed patterns of similarity and some differences. All were reared in "service oriented homes with parents who were involved in the community in some way, politically active, or interested in politics, and mindful and often passionate about contributing back to society" (p. 240). Burns (2003) work on famous leaders' childhoods also found some patterns of similar types of experiences shared by these leaders. An example of a pattern is Lincoln's very close bond with his stepmother who served as an important source of encouragement and love, and President Franklin Roosevelt's very close bond with his mother (Phillips, 1992). Behavioral characteristics do not arise in a vacuum but develop over time (Mumford, 1991). Hennig and Jardim (1977) reported experiences in childhood and adolescence as inseparable from personal and professional life as an adult.

There are conflicting beliefs that exist amongst researchers about whether leadership is a result of genetics, training, or both. However there are researchers who believe that genetics and experiences contribute together. Bass (2008) challenged the thinking shared by some that a person was born to lead and states that leaders are both born and made. Bass (1997) reported leadership ability is affected by heredity, as well as training, culture, and organization. Rose (1995) reported genetic determinism is not likely to be a factor in complex human behavior, however he believed human beings look for chances to both develop and act upon inherited

characteristics. Rose (1995) stated adult personality is a result of the interaction between those inherited characteristics and the choices made within the environment (Rose, 1995). Madsen's (2007) findings added that types of childhood experiences contribute to the growth and development of individuals.

Cognition, motivation, social skills, and personality may vary in their developmental importance as they relate to determining effective leadership (Mumford & Connelly, 1991). Therefore understanding the strong relationship that exists between specific personality characteristics and leadership ability, may contribute to our ability to develop leadership potential (Mumford & Connelly, 1991).

Parenting style has been reported to have an effect on whether or not a child grows up to become a leader. Avolio, Rotundo, & Walumbwa (2009) focused on the role parenting style and rule breaking behavior by children have on the ascension to leadership roles as adults. Their study looked at the two predictors exclusively, parenting style and rule breaking behavior. They found that parenting practices are likely influences on the leadership roles adults assume. Bass and Riggio found: "When leaders are asked about the significant influences in their leadership development, the majority retrospectively identify the role their parents have played" (as cited in Oliver et.al., 2011). Successful leaders often share a common experience of a close relationship with a parent or guardian, especially during the beginning years of their lives (Burns, 1978). A child's relationship to her main nurturer, who provides a combination of nutrition and affection, results in a strong symbiotic relationship. In our culture, that is primarily the mother or mother figures, while the father becomes more important later in their development (Burns 1978). Burns (1978) suggested the common result of the father's increasing presence as the infant becomes a child starts the development of a small organization, built upon the interaction of two generations

and two sexes. Burns (1978) suggests the parent-child relationship affects future leadership skills.

Burns (1978) stated that the development of leadership skills begins in childhood when a child develops the confidence that he has the ability to take part in politics and be listened to by political leaders. He noted that by third grade a child will have started the development of a sense of political effectiveness and, in America, continues to develop through the eighth grade, thus indicating the impact of life experience on potential leadership capacity. Children's curiosity to explore brings them from the connection to parents and transports them through new experiences, with the results being dependent upon how the parent responds to that curiosity (Burns, 1978). Referencing the work of Piaget who suggested that the child's adaptation to new experiences, coupled with their parents' responses to these experiences, propels the child forward to have more experiences, Burns (1978) described that it also transports children from being followers to being potential leaders.

Madsen (2008) studied the childhood experiences of ten women university presidents and determined that their childhood experiences helped to develop their ability to learn from all types of experiences, which in turn benefitted them as leaders. These college presidents reported being observant and reflective as children who learned to develop their written and oral communication skills and communicate their opinions, while learning how to understand the existing political context (Madsen, 2008). This helped them to develop an understanding of both the political and institutional dynamics, and to develop their abilities to motivate others into action (Madsen, 2008).

Burns (2003) reported that Gandhi, Lenin, Lincoln, and Franklin Roosevelt had a close attachment to one parent while experiencing a negative relationship with the other. Most of the

leaders studied by Phillips had a close relationship with their mothers, who appeared to favor them over other siblings (Phillips, 1992). Freud wrote:

> I have found that people who know that they are preferred or favored by their mother(s) give evidence in their lives of a peculiar self-reliance and an unshakable optimism which often seem like heroic attributes and bring actual success to their possessors (as cited in Phillips, 1992, p. 10).

In addition, Ghandi, Lenin, Lincoln and Roosevelt had negative relationships with the other parent and shared the experiences of surviving some sort of tragedy (Phillips, 1992). Hitler, Lenin and Gandhi all lost their fathers at an early age and all demonstrated driving ambition (Phillips, 1992).

Ligon et al.(2008) studied 120 historically notable leaders by analyzing the type and theme of important events in their lives. These researchers carefully excluded autobiographies in order to guard against personal bias and interpretation, while including biographies that included detailed accounts of the leaders' early lives. Their status as outstanding leaders was determined by matching each leader to categories with agreement by three independent raters (Ligon et al., 2008). Their study revealed important facets of a leader's development into outstanding leadership and supports the concept that early experiences influence a leader's behavior. Specifically, vivid, consequential life events and the narratives that link them may shape the nature of the mental models applied by different types of outstanding leaders when confronted with complex, ill-defined crises (Ligon et al., 2008, p. 329).

Life experiences can be connected with the development and behaviors of outstanding leaders (Ligon et al., 2008). Leaders' self-understanding as well as their life experiences may play a role in which types of mental models they choose to build (Ligon et al., 2008). Their

study determined that the life narrative is important and most definitely influences how leaders communicate, perform politically and form vision.

Summary

Leadership is a heavily researched topic. This chapter reported a review of the following theories: 1) direct and indirect leadership, 2) transactional and transformational leadership, 3) situationalism, 3) great man theory, 4) contingency theory, and 5) Level Five Leadership. A brief review of the literature on change, creativity and problem solving, as they relate to leadership, was presented. Included in this chapter was research on childhood and family experiences and their relationship to leadership abilities in adults.

The following chapter will include a detailed account of the methodology used in planning and executing the study, including such things as the steps taken to obtain approval for the study, developing the interview protocol, contacting and meeting the participants, collecting, working with and reporting the data.

Chapter III: Methodology

This chapter includes an explanation of the research questions addressed in this study, the methods chosen to conduct the study and the rationale for using this methodology. The sections included in this chapter are 1) sampling, 2) selection of participants, 3) interview protocol, 4) ethical considerations, 5) data collection procedures, 6) coding, 7) data validity and reliability and 8) delimitations and limitations. The purpose of this phenomenological qualitative study was to uncover if there were common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of Level Five Leadership qualities in these present day leaders. Collins (2001) defined Level Five Leadership traits after many years of studying successful organizational change. Therefore, this study explored themes that exist in childhood experiences of present day leaders who exhibit some of the Level Five Leadership traits as adults. Yin (2011) describes five features of qualitative research which are used in this study:

1. Studying the meaning of people's lives, under real-world conditions;

2. Representing the views and perspectives of the participants in a study;

3. Covering the contextual conditions within which people live;

4. Contributing insights into existing or emerging concepts that may help to explain human social behavior; and

5. Striving to use multiple sources of evidence rather than relying on a single source alone (p. 7-8).

A phenomenological qualitative study using grounded theory was employed in order to gain understanding of the role childhood experiences play in the development of leadership potential. In order to uncover the possibility that there are common experiences shared by the

leaders identified for this study, the strategy of inquiry was chosen in order to obtain the views of the participants. Grounded theory is described by Creswell (2007) as a "strategy used by researchers that results in an action or interaction based in the views of participants in a study" (p.229). He further defines phenomenological research as "…describing meaning for several individuals of their lived experiences…" (p.57). However, this includes a description of … "what all participants have in common as they experience a phenomenon…" (Creswell, 2007, p.58). Consistent with the Creswell (2007) descriptions, this study involved interviewing fifteen participants about their childhood experiences and analyzed common experiences, which matches the definition of a phenomenological study.

The researcher inquired using semi-structured, open-ended interview questions, to discover whether leaders with identified Level Five behavior traits shared common background childhood experiences. Merriam (2009) described semi-structured interviews as having a mix of more and less structured questions, with no exact wording or order of the questions determined ahead of time, thus allowing the respondent to reveal the emerging worldview and new ideas. This study was designed to answer the following research questions:

1. What common childhood experiences do the leaders in this study have?

2. How did the leaders in this study respond to those experiences?

3. How did adults present during those childhood experiences respond?

4. Do leaders in this study report a belief that the reported experiences and/or responses to those experiences contribute to their development as leaders?

Sampling

Purposive sampling and snowball type of sampling were used. The interviews took place between February 16, 2011 and March 31, 2011. The limited time to conduct the interviews

restricted the number of subjects that could be studied, which indicated the use of a purposive

sample (Gall, Gall, & Borg, 2007). Creswell (2007) describes purposive sampling as when the

researcher selects individuals because they may have an understanding of the research problem

or phenomenon in the study. Miles and Huberman, (as cited in Creswell, 2007) state snowball,

or chain sampling, includes suggestions from people who know and can recommend cases or

subjects that may be helpful if included in the study. The time constraints of this study made it

necessary to access subjects in the northeast region of the United States for convenience and

therefore the purposive type of sampling was used. Due to the advantage of people involved in

the study knowing others to recommend, snowball, or chain type was used in three cases.

Selection of participants. This section discusses the methods used to select the

participants in this study. Seventeen leaders were identified as potential participants and fifteen

agreed to participate. Those identified were chosen from a group of superintendents of schools,

college presidents, university division leaders, and business leaders, who had exhibited one or

more Level Five Leadership behaviors. These leaders were chosen based upon recommendation

by people who knew them and their work, by examining the public record, such as newspaper or

web information including but not limited to sites such as YouTube and internet newspapers, as

well as personal knowledge of the leaders' work. Participants all held leadership positions for

more than ten years and led a transformational change in an organization. Each interview began

with questions about a change that they led with the intention of identifying behaviors that

verified the information gathered while identifying potential participants.

The Level 5 Leadership attributes considered were based on Collins (2001) description of

a person who:

…embodies a paradoxical mix of personal humility and professional will. They are ambitious, to be sure, but ambitious first and foremost for the company, not themselves…..set up their successors for even greater success in the next generation….display a compelling modesty, are self-effacing and understated….are fanatically driven…display a workmanlike diligence…they look out the window to attribute success to factors other than themselves (p.39).

The organization they led had to have undergone some change during their tenure that continued as a part of the culture of the organization following their leadership of that change. The identification of the transformational change was gathered through public records such as the newspaper, the Internet, articles in professional journals, and/or promotional information available through the organization they led.

The participants were both male and female adults over fifty years of age. There were six women and nine men. Twelve out of fifteen participants were in their sixties, two in their fifties, and one in his seventies. Two participants were African Americans and thirteen were Caucasians. Three participants immigrated to the United States during their childhood.

The fifteen leaders participated based upon mutual scheduling convenience. The participants' identities and responses remain confidential. The names of the participants and the institutions in which they work were not included. Yin (2001) states that maintaining the confidentiality of the subjects is paramount to their ability to remain candid, ensuring the honesty of their responses. Confidentiality of the subjects was guaranteed and maintained by this researcher.

Interview Protocol

Following approval from the Institutional Review Board (Appendix A), letters of invitation were sent to seventeen candidate leaders (Appendix B). Fifteen of those leaders agreed to be part of this study and appointments for interviews were made. As advised by Yin (2011), each participant agreed to sign a letter of informed consent at the time of the interview (Appendix C).

Interviews were scheduled after the leaders were contacted by letter. A follow-up phone call establishing their willingness to participate in the study was made if there was no response to the letter. The letter also requested they be willing to review the interview transcript to ensure accuracy of the data. The interviews were scheduled at a mutually agreeable time and place as recommended by Gall et al. (2007). The interviews took place between February 16, 2011 and March 31, 2011.

All interviews were conducted in person with two exceptions. One used the internet based conference software called 'Skype', and the other used a telephone interview because Skype was not accessible to that participant. All other interviews took place in the office of the business, school, or university of the leader. An interview guide (Appendix D) was followed, in order to assure consistency of the experience of each subject during the interview as recommended by Gall, et al. (2007).

The process involved one interview with each participant. Kvale and Brinkmann (2009) report the value of the interview is to "obtain descriptions of the life world of the interviewee in order to interpret the meaning of the described phenomena" as best possible (p. 3). Creating immediate rapport with the subject was paramount to the success of the interview process. Kvale and Brinkman (2009) state:

Ethical issues permeate interview research. The knowledge produced by such research depends on the social relationship of the interviewer and interviewee, which rests on the interviewer's ability to create a stage where the subject is free and safe to talk of private events recorded for later public use. This again requires a delicate balance between the interviewer's concern for pursuing interesting knowledge and ethical respect for the integrity of the interview subject (p. 16).

The interview was planned to begin with a question about a success as an adult. This question was placed first in order to establish a positive atmosphere and give the respondent an opportunity to reflect upon and share a positive experience while creating a "stage where the subject is free and safe to talk of private events" (Kvale & Brinkman, 2009, p. 16).

Semi-structured and open-ended questions were intended to clarify or to gain deeper understanding of the responses as recommended by Turner (2010), Yin (2011); Kvale & Brinkman (2009); and Creswell (2009). Yin (2011) describes three specific facets of a qualitative interview: a) "the relationship between the researcher and the participant is not strictly scripted", b) "the qualitative researcher does not try to adopt any uniform behavior or demeanor for every interview", and c) "the more important questions in a qualitative interview will be open-ended rather than closed-ended" (p. 134). It was the intent of this study to obtain as much information as possible without restricting the subject by using specific questions that would lead to limited answers. Broad, general questions like, "What was it like …." rather than "Did you…." allowed for open reflections that helped the subject construct the information that would be deep and meaningful to this study.

After receiving written permission (Appendix E), the questions in the interview were based upon the categories established by Madsen (2008) in her research on leadership. Madsen

(2008) established interview categories based on stages of the subjects' lives. The interview questions were based upon the first two Madsen (2008) categories including birth to 11 years and 11 to 18 years of age. Other questions were added in order to collect additional demographic data relating to leading change and to probe in order to bring clarity to an answer when needed.

The interview guide was field tested as recommended by Gall et al. (2007). Preceding the actual interviews, this researcher piloted two interviews with non-participating interviewees to be sure of the proper use of the recording equipment, and to practice using the protocol insuring similar experiences for the subjects in the study (Gall et al., 2007). Both subjects were similar to those in the study. No changes were made to the questions. The information gathered was destroyed immediately.

In order to maintain the ethical code for researchers, which is to anticipate and try to plan for a negative impact during the interview, when the subject avoided answering a question, demonstrated discomfort, appeared to have revealed something that they had not anticipated, or failed to answer a probe, the interviewer moved on to another question or set of questions as recommended by Creswell (2009). This researcher remained sensitive to the appearance of discomfort of the respondents throughout all of the interviews and remained sensitive to the potential of respondents being disturbed by the recollection of negative experiences. Researcher sensitivity toward the subject was also a condition of the IRB approval.

Special care was taken to be sensitive to the subjects' responses and in some cases a judgment was made to either skip a question, not ask a follow-up question, wait to ask the follow-up question, or ask a different question when the subject appeared hesitant. This was done because the intimacy of the interview process led participants to share information that required tact on the part of the researcher regarding how far to inquire. Kvale & Brinkmann,

(2009) report that this strategy is important in order to honor the personal boundaries of the subjects: "The interviewer should be aware of potential ethical transgressions of the subject's personal boundaries and be able to address the interpersonal dynamics within an interview" (p. 32).

In order to establish a rapport with the subjects, make them feel comfortable, and also gain firsthand information from them about their role as leaders, the first section of the interview was focused upon their reflection on a successful change and their definition of themselves as leaders. Questions from the two sections of their childhood being studied, ages 0-11 years and from 11-18 years, followed. Seidman (2006) warns that although rapport is important, too much rapport can affect or distort participants' responses. Therefore it was not the intention to create a personal connection with the subject, rather that the interview allowed for personal reflection on a success first in the hopes that it would put the interviewee at ease before talking about childhood experiences. This was designed to have the subject recount a successful experience that they created and that held little potential for recalling possible negative experiences. This also allowed the subjects to establish themselves with the interviewer as successful adults before venturing back to potentially critical times in their childhood. It was the intent of this researcher to produce a valuable study, thus the quality of the interviewing was paramount. "The quality of interviewing is judged by the strength and value of what is produced" (Kvale & Brinkmann, 2009, p.17).

No participant shared any discomfort during the interview. However if they had, the researcher was prepared to respond by suggesting they may wish to speak with a professional of their own choosing to discuss their feelings in greater depth.

Creswell's (2009) method of using a panel of professionals to review the interview

questions in advance was used in order to assure the questions used in this study would provoke

answers that might uncover information that would effectively contribute to this study. This

panel was asked to assess the questions on their clarity, understandable language, the capacity to

produce thoughtful responses, and ability to produce responses that would answer the research

questions. This panel consisted of a former United States intelligence officer, a ranking attorney

in the New Jersey Bar admissions unit, a superintendent of schools, a public school secondary

principal, a business leader, and a newspaper editor. Changes were made to the interview

questions based on their feedback.

Data Collection Procedures

All interviews were digitally recorded including those conducted face-to-face, on Skype

or by telephone with the knowledge of the subjects as recommended by Yin (2011). Interviews

were transcribed by a professional who signed an agreement guaranteeing the confidentiality of

the subjects (Appendix F). The agreement included that no copies of the digital recording or

transcriptions would be retained. A change in transcriptionist was necessary and a revision was

sent to the IRB and approved (Appendix G).

Member checking is the process of gaining verification from the subject that the

transcript is accurate and says what they intended it to say. Creswell (2009) cites member

checking as a method of determining the accuracy of the transcripts and whether the participant

feels it correctly captured what they said. This strategy was used in this study as the

transcriptions were returned to the subjects for review of accuracy and then returned to this

researcher for analysis. On some occasions, a participant did not return the transcript in a timely

manner and in those cases an email was sent and followed up with a phone call. The transcript

was then returned with comments, if there were any, and approval the transcript as accurate. All

respondents reviewed their transcript and returned them with minimal factual changes such as

the correct name of a school, or town. In no case did these changes affect the meaning of the

interview. However, in four cases, the participants asked for an additional explanation of how

the information was going to be used and their confidentiality maintained. Upon providing

clarification as described in the above sections, all four respondents gave their approval of the

transcribed interviews. After receiving the reviewed and approved transcripts, the researcher

began the analysis of the responses, categorizing the responses, and identifying common themes.

Common themes emerged necessitating coded organizational schema in order to facilitate

analysis.

Coding

Creswell (2009) discusses the challenge of qualitative research as making sense out of

text. "It involves preparing data for analysis, conducting different analyses, moving deeper and

deeper into understanding the data, representing the data, and making an interpretation of the

larger meaning of the data" (Creswell, 2009, p.183). When organizing data, it is important to

move methodically to assign items that seem similar to the same code (Yin, 2011). When

progressing through the coding process, it is possible to find codes that relate to each other, in

which case, the process proceeds to a second set of codes that are more refined (Yin, 2011).

This researcher performed two coding processes. The first involved determining whether

the information gathered from sources and the interviewee matched Collins (2001) Level Five

Leadership traits. The second task was determining the major and minor themes provided by the

interviewees. Specific themes emerged following Creswell's (2009) and Saldana's (2009)

methods of reading transcripts several times. The transcripts were reviewed multiple times,

allowing for the researcher to verify an understanding the participants' responses. Codes were based on common themes found in the transcripts. Creswell (2009) and Kvale & Brinkmann, (2009) noted that using common themes as a basis for coding is important in qualitative research.

The researcher analyzed these common responses and determined the final categories in the study while an external auditor independently confirmed the categories identified by this researcher. Agreement was reached between the researcher and the external auditor. The use of an external auditor was approved by the IRB.

Data Validity and Reliability

Qualitative validity requires the researcher to check for accuracy of the findings by using specific procedures (Creswell, 2009). In qualitative research, validity strength is based on whether the findings are accurate from the researcher or participant's point of view. Creswell, (2009) recommends the use of multiple strategies that include a) member checking to determine accuracy of the transcripts, b) the use of thick, rich description when writing the findings, and c) the use of an external auditor (p.191-192). All of these validity strategies were used in this study.

Creswell (2009) describes qualitative reliability as the researcher's process being used by other researchers in different projects. Yin (as cited in Creswell, 2009) states that reliability in qualitative studies can be achieved by the documentation of the procedures used in the study (p. 190). Reliability procedures include checking transcripts to be sure they do not contain mistakes made during transcription and intercoder agreement. These procedures were used in this study. The interview protocol and questions were standardized. Transcripts were checked to be sure they did not contain obvious mistakes made during transcription, codes were consistently checked for accuracy, and codes were cross-checked by comparing researcher's codes with the

auditor's codes. Member checking was used to ensure the participants' intended answer was accurately captured by the transcription. An independent researcher developed codes that were then cross checked with the codes developed by this researcher before the analysis was begun.

Delimitations and Limitations

Delimitations are boundaries set by researchers before the beginning of the study in order to set the scope of the study. Collins' (2001) research involved years of study and many fellow researchers. Due to the fact that this research was done by one researcher in a limited time frame, this researcher delimited the study in the following ways: a) the size of the sample is small, b) the geographic range from which the respondents were drawn is limited to the northeast, c) the description of leadership traits limited to only some of Collins (2001) Level Five Leadership behaviors traits and excluded all other leadership theories, d) qualification required the evidence of simply one change led in an organization. Because many of the organizations led by the leaders in this study were schools, financial success was not considered as a measure of the success of the organization.

There are limitations to qualitative research including but not limited to researcher's bias, the ethical responsibility of anonymity of the subjects in general, as well as the possibility of intimate or harmful information being disclosed during the interview that requires safe and confidential care (Creswell, 2009). Limitations of the study included the age range of the participants and the different decades in which they experienced their childhoods. Of the fifteen participants, thirteen were over the age of sixty and two were in their mid-fifties. Participants in this study may have been influenced differently as a result of being born in different decades. For example, Putnam (1996) found that, "Those born between 1910 and 1940 are substantially more engaged in community affairs than people born later" (p. 35).

43

Another limitation involved the challenge of interviewing people about their childhoods. Recalling childhood memories has the potential for giving rise to unexpected feelings that are not commonly expected during the course of a day at work, or in an interview with a stranger. Because of this researcher's concern about the potential for upsetting the subjects, remaining sensitive to the feelings of the respondent while holding true to the interview protocol, suggested avoiding follow-up questions in some interviews. However, most respondents answered the open-ended questions with answers that could be categorized, compared, and analyzed in order to answer the research questions.

Summary

The purpose of this phenomenological qualitative study was to uncover if there were common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of Level Five Leadership qualities in these present day leaders. This chapter provided an explanation of the research questions addressed in this study, the methods chosen to conduct the study and the rationale for using this methodology.

The following chapter will include a detailed account of the common themes uncovered through the interview of the fifteen participants. The themes include the behaviors they share as they relate to Collins (2001) Level Five Leadership as well as the themes relating to a) economic status, b) parents, c) grandparents, c) influence, lessons, and messages, c) sibling, d) unique experiences, e) school, and f) early experiences of leadership.

Chapter IV: Findings

This chapter will report the findings revealed from the interviews of the fifteen leaders included in this study. These leaders were chosen because they demonstrated some of the Level Five Leadership traits described by Collins (2001) and because they had successfully led a change in an organization that had endured as part of the organization's practice. A description of Level Five Leadership traits is included in this chapter. This was a purposive sample of male and female leaders, over the age of fifty, located in the northeast section of the United States. The four research questions investigated in this study are:

1. What common childhood experiences do the leaders in this study have?

2. How did the leaders in this study respond to those experiences?

3. How did adults present during those childhood experiences respond?

4. Do leaders in this study report a belief that the reported experiences and/or responses to those experiences contribute to their development as leaders?

The data presented in this chapter come from the interviews of the leaders, which were digitally recorded and professionally transcribed. Member checking protocols were used as each participant approved the interview transcripts. The analysis of interview data was completed by this researcher, and independently matched by an external auditor for accuracy, as described in Chapter Three. A participant's words are frequently presented in order to demonstrate evidence of the findings.

Level Five Leadership

This section will report the results of the leaders' response to the question about a change they may have led in their organization that has endured as part of the organization's practice. The voluntary answers given by the respondents are included in order to illustrate a point.

Participants were asked the following question in order to generate verification of having led a change: "Please describe a change you led in an organization that has remained the practice of that organization." The intention was to see if the respondents' self-described behaviors or beliefs revealed behavior traits defined by Collins (2001).

Level five leadership defined. Level Five executives are described by Collins (2001) as being able to "build enduring greatness through a paradoxical blend of personal humility and professional will" (p. 20). The leaders in this study were first interviewed about a change they led in an organization. Their responses revealed behavior that was classified using Collins (2001) descriptors. The behaviors shared by the leaders in this study were:

- getting the right people on their team, and in the right positions, "The place where I care most about is my own research group. I choose very carefully to be sure I get the right people on my team";

- the ability to face the truth about what needed to be done, "..it's not particularly a popular decision but it's the right decision and this is what we're going to do" ;

- the ability to take a complex idea and bring it down to a single organizing idea, "..it was a reawakening of a community to understand that they can be actively engaged in controlling the destiny of their community";

- demonstrating both humility and will and being modest and self-effacing, "I had a vision for it and I had an approach, but the work was many, many people's work and fortunately people found it desirable because it led them away from the political nature of the system", "I certainly didn't do it alone.";

- being driven (all respondents described never letting up); and

- giving credit to others "I certainly didn't do it alone."

46

Figure 1 represents the frequency of leaders who gave responses that could be categorized according to these characteristics.

Figure 1. Frequency of Leadership Behaviors Present in Participants					
Level 5 Leadership Behaviors					
Confront Brutal Facts	Hedgehog Behavior (Culture of Discipline)	Driven	Building enduring greatness through a paradoxical lend of personal humility and professional will (p.20)	People and Roles	Giving Credit to Others
15	15	15	11	11	11

People and Roles

Each of the leaders in this study made reference to the value of knowing themselves as well as others in order to make the decisions about the roles each will play. Collins (2001) work revealed that in order to attain Level Five Leadership it was essential to have enough self-awareness to be able to make informed decisions about who to place on the leadership team. Collins (2001) stated, "people are not your most important asset. The *right* people are" (p. 64). Collins (2001) also stated, "the purpose of bureaucracy is to compensate for incompetence and lack of discipline – a problem that largely goes away if you have the right people in the first place" (p.121). Eleven of the respondents reported that their team or the people involved in the center of the change process were carefully chosen as the 'right people.'

In response to the question "How did you identify the need for the change?", one respondent referred to his leadership in this way:

47

There is a difference between the two leaders in Star Trek, Kirk and Picard. Kirk was your commander, he made all the decisions, he was infallible and therefore, he was the commander. Picard was the leader. Picard took the team's input, made decisions, but it wasn't on the basis of 'I command.' He recognized that as a single person he is somewhat fallible and therefore, he needs to get the strength of the group behind him.

This same respondent gave an answer that exemplified the responses of eight other respondents in the following reflection:

I think you take some of it from yourself. In other words, I could not lead with an imperative that was contrary to my nature, so I think you try to lead with your strength…I tend to be very intuitive, rather emotional, somewhat analytical, but terribly un-process oriented and so therefore, I have people who are somewhat more process oriented on the team as well as more analytical people on the team to actually fill in for the gaps, and I think we complement each other fairly well. So I think the first step is understanding who you are and what you are, what your strengths are, what your weaknesses are, so you can head in the direction of your strengths and move the organization.

A slightly different experience was reported when a respondent was confronted with the 'what' before the 'who' and the challenge it presented in the example that follows. The problem of depopulating the state hospital was presented because of the cultural shift that had taken place in the early 1970's about the rights of the disabled. A shift in thinking about institutionalization of the disabled came about following the Willowbrook Decree. Depopulation of the large institutions and building smaller, more humane homes took place. The demand was immediate and there was no time to staff the organization carefully, as the population was transferring location quickly. As the organization grew, so did the staff. This respondent described:

48

In the early 1970's following the Willowbrook Consent Decree there was a momentary 'Eureka!' People realized that people with disabilities had abilities and rights for a better quality of life. But the rest was left to providers, advocate family members who grew together and facilitated law changes while getting various people involved in the process. There were times we needed to make very quick paradigm shifts. They were quick, forceful and clear. People had the right to live with dignity. We took chances knowing that there will be risk and some consequences. People needed and had the right to live in a least restrictive environment. We had to provide an environment that matched to the best of our ability and ability of people that we supported….We were the young Turks that were given this broad stroke and were asked to develop from the foundation, the labor force, training programs, expectations, while life was happening. There was no luxury of spending time because people were leaving state institutions and you were, in a sense, ready to move into operational end, while other points lagged behind.

Choosing the right people for the leadership of an organization can also come from the Board who hires the leader. An example of a board choosing the right leader is revealed in this account by one respondent:

I was asked to return to a post I had left. Normally they're dancing in the streets when you leave and don't want to hear from you again. But in this case they were sliding backwards from where we had brought them, so fifteen years later I went back. I said to the board 'you haven't moved forward in the last fifteen years….and I ratcheted up activity there...I began with a needs assessment beginning with the board. You have to be a good listener. You also have to know what good structures are…

49

Confront the Brutal Facts

After getting the right team in place, and the right people in the right jobs, Collins (2001) describes the next step as confronting the brutal facts. In his study of good-to-great companies, Collins (2001) described two specific types of disciplined thought, the first being the willingness to confront the brutal facts of reality (p. 69). The second type was the development of a simple and insightful frame of reference (p.69). All of the respondents described facing the truth about a pivotal problem in the organization.

An example of one of the respondent's demonstration of confronting the brutal facts can be found from an interview about a high achieving school district where a group of teachers stepped forward with a serious concern about a "substantial problem with "senioritis"; that malaise that happens to students in their last year of high school when the stakes are lower because they've already gotten into their colleges and demonstrated their value." This leader described the first steps in growing the number of people who believed this to be true and invited them into the problem solving process. This leader went on to describe this process to include full faculty/town meetings, committee meetings to work out the details of both the problem and solutions, and allowing teachers to "vent their angst" about what would be lost if the solution was implemented. Facing the problem involved confronting the conflicting but deeply held beliefs of the faculty. However, the problem of disengaged seniors was a problem that needed to be fixed. The leader's willingness to face the problem of senioritis, while also facing the opposition when discussing solutions, revealed a willingness to face the brutal facts and move forward. This respondent's explanation follows:

> Initially, I was willing to say, well we've studied this for two years, we've figured out
> how it can work, there are still a few dissenters. But there are always going to be. Let's

just do it. But, one of the originators of the program persuaded me that in order for it to

really work, every faculty member needed to be engaged as an advisor to a senior or two,

or at least every faculty member who taught seniors. And so, we really had to have their

buy-in and, frankly I took a step back and said, while authority works some of the time,

so does democracy. So we put it to a vote and it passed by 65% to 35% which was quite

a mandate in a school like … High School and the program was implemented and has not

only continued to this very day, it has survived a change in the principal, change in the

coordinator of the program, a substantial turnover of faculty and obviously, several

generations of students. And it thrives and still serves the original purpose.

The Hedgehog Concept

The ability to accomplish moving an organization through a successful change is

energized by the inner drive of the leader (Collins, 2001). Drive needs to be focused and

disciplined. Collins (2001) describes this as the Hedgehog Concept by comparing the hedgehog

to the fox. The fox wants to attack the hedgehog and lies in wait. The hedgehog has one tactic,

that of rolling into a ball of spikes and standing still. The fox spends his time going in to attack,

and retreating once confronted with the ball of spikes. The fox has many behaviors, spending

energy running back and forth, and planning new strategies. The hedgehog has two behaviors,

one of moving forward, and the other of rolling into a ball of spikes for protection, which

conserves energy and maintains focus. Each of the leaders in this study described themselves as

driven and focused. What follows is an example of one subject's description of this concept:

I understand that anything I want to accomplish is a function of hard work not of talent.

No talent whatsoever. Everything I do is a function of painstakingly hard work.

Between the tortoise and the hare, I'm definitely the tortoise. I'm inching my way along

and my entire life I've been surrounded by people who are hares. But I keep inching and some of those hares are in the bushes, you know, have gone nowhere. The amazing thing in my life is (a hare) that everybody is really, with the exception of my brother. Now my brother in retrospect was more similar to myself than I had realized. Now, we're very close….but I saw through the prism of a younger brother and so my mind was not a reliable witness. But he, in college and high school wasn't pegged as the brightest kid on the block. And we both remarked that, in our middle age, we are the tortoises really, and all those hares, all those people who were brilliant in high school and college, winning all the prizes…where are they? I mean they're in and a lot of them are doing very well, but they haven't made original contributions. My brother has made really original contributions. He is really out of the box. And I definitely have done it. Not in an imitative way. I'm not a partner in a big law firm in New York you know.

Common Childhood Experiences

This section reports on the childhood experiences as reported by the participants. It is organized by economic status, messages and lessons from parents, sibling, extended family, school experiences, life challenges, and early experiences of leadership.

Economic status. All respondents described the socioeconomic level of their family while growing up as either working class or lower middle class. They described working hard for everything and enjoying few or no luxuries. There was some variation in the description of the economic status. One respondent described being poor with one parent a lawyer and the other a teacher. Another respondent also reported having little money, but the contextual evidence provided suggests more of a middle class status. In that family, it may have been a matter of how the money was used that resulted in the statement that, "We had little money"

because the family was reported as both generous of spirit and philanthropic. Another respondent reported, "The neighborhood was mostly blue collar, working class folks as was my family." Those who reported they were lower middle class clarified by saying things similar to this respondent who reported:

> I think we would be considered, probably, lower to middle class, lower middle. My dad worked hard, worked two jobs, and my mother didn't work and raised kids, which was obviously the more typical thing back then. We had to work for everything we had.

Another respondent also reported, "That's the way it was. There was just no money. You know, you had the clothes on your back. But we made do."

Another respondent said, "We walked everywhere, or rode our bike. I remember we had no car. When we went grocery shopping we took the bus home. There was no television."

A respondent who grew up in post-war Europe reported, "We were poor, I mean, it was not that food was not available, but my parents always feared if we had money to show, there would be economic repercussions from the government." Another respondent revealed:

> Nobody ever had anything back then, so whether your parents worked in the steel mill or your father was a lawyer, mine was a small town lawyer, nobody had any money. But my friends and I always talk about the fact that we never knew we were poor.

Another respondent reported learning not to be ashamed of being poor:

> I remember one of the few things, conversations I can pinpoint with my father, was his telling me not to be ashamed to be poor. I had probably exhibited something that made him feel I was feeling bad about not having money and I remember that specifically because he said it in English. His own work ethic became mine.

53

Influence/lessons/messages. This section will report on lessons learned from parents, sibling, extended family, and at school and the influence these messages and lessons had on the respondents. There was a common answer from respondents that parents communicated messages and modeled behaviors that they have carried with them throughout their lives and that have contributed to their leadership. Respondents also reported there were other people in their lives who taught them lessons so significant they were easily recalled in the interview. These people included grandparents, extended family, coaches and teachers. All respondents learned from both positive and negative experiences/messages. All respondents responded to these lessons with strong work ethics and perseverance to become educated and to do good work in the world. Reflections of the respondents relating to these influential lessons from relatives and school experiences follow.

Parents. Respondents reported lessons learned from parents. Lessons included the development of their work ethic, how to treat others, the value for education, confidence in themselves, feeling smart, feeling inferior, how to behave, and how not to behave. All fifteen respondents (100%), in response to being asked about their youth, recalled stories about their parents' effect on them.

Parents were identified as having had a significant effect on the childhood experiences of all of the respondents. Their perceptions about what they learned from those experiences are included. Messages about values, behaviors, beliefs and education were all described as having a direct connection to their parents. All respondents reported the lessons learned from positive, encouraging messages, negative or discouraging messages sent by behavior, response, or words. Each respondent reported responding to these lessons with a commitment to become educated and do good work.

The interview protocol included questions about childhood and parents in each interview. All respondents reflected on and described their parents and their relationship with them. Fourteen of the fifteen respondents were raised in two-parent homes. One respondent lost his father at the age of three and was raised by his mother. All of the respondents reported that their homes were stable and safe, meaning there was little or no change in the circumstances of their home life and there was a feeling of safety in their home.

All but one respondent reported the home of their immediate family as loving. The one respondent reported having a difficult relationship with her mother. This difficult relationship existed in childhood and extended into adulthood with no resolution. However, another respondent did report feeling that his parents did not think much of him but reported there were times when other adults, or extended family lived in the home, and he felt loved by them. Another respondent reported an estranged relationship with his father. In this case, the moves that the family made were based on a hope about a job and most often failed. Finally, this respondent suffered a disappointment as a high school graduate when his father promised to pay for college and in the end, was unable to.

One leader, raised by a single mother, lost his father when he was three years old. He was raised by a single mother and shared the influence of the model of his father, who at the time of the interview had been deceased for over seventy years. In this case, the influence of his father reached beyond the grave and influenced this leader's goals and behaviors. Very early in the interview this respondent pointed to a college pennant hanging on the wall of his office that belonged to his father. He reported, "That pennant up there is my father's pennant from … College in the …where I was born. He was a teacher and a principal. Due to illness, his parents

had to move to a different state and asked for a letter of recommendation for his father to bring with him. He continued:

> The president of the college wrote a letter of recommendation which I have in my case over there, saying that he was a fine … and had taught at one of the best high schools in …and he highly recommended anyone to hire him. He passed away at a very young age.

Each of the leaders interviewed had different ways of explaining the influence of the messages they received from a parent. Some messages were actual sayings such as: "Whatever you do, don't be mediocre!" "Anything you want to do is possible!" "Whatever you do, work hard!" "Be a professional!" One leader reported, "I remember my mother saying, 'Get up. You have to go to school. Don't be lazy!' To this day I think about that….get up!" That same respondent said:

> I would say it was my older brother, my sister, and my parents that had a great influence on me. And it was my mother who insisted that I go out to work and be independent. She told me to go to college and get a job so I would never have to ask my husband for money.

Other of the leaders expressed messages that were communicated not necessarily with specific words, but by behaviors. An example that explains how this happened follows:

> I had very powerful, imaginative, very successful parents. Not economically, but academically. My mother was a powerhouse…and both parents were pioneers in their fields. I was the dummy in the family. I was absolutely the dummy. My two older siblings are very brilliant. My parents were condescending to me. I was nice but negligible. The family expectations in terms of performance were very high, but the family expectations for me were very low. I was dealt out of the deck.

56

This leader continued:

> No one was going to help us out. You could only make it by being harder working, more
> ambitious than the next person. You had to work twice as hard to achieve the same level.
> So the sort of immigrant sense of being beleaguered and overcoming a deficit was
> inscribed into us.

That same respondent reported later, "I had a wonderful relationship with my parents. They
didn't pay much attention to me….they had nothing to do really with my childhood experience."

One respondent referred to experiences when his mother was not present but an older
sister filled in. This began in kindergarten and continued through high school. "My sister took
me to kindergarten the first day. I remember that particular day because my mother didn't do it."
While another respondent reported a distant relationship with her mother that continued from
childhood into adulthood:

> My mother was a very distant person who didn't know how to love. I never felt close to
> her. What happened in her life that led her to be cold and unhappy? She was a
> desperately unhappy lady, desperately unhappy. I can't recall her ever laughing or
> smiling. I can't.

This respondent continued, "There was no love in that household and no encouragement. I mean
none whatsoever." However, this respondent made a connection between the environment in the
household and her drive to have a better life and help others to do so.

Another respondent reported, "My parents had no idea what I was doing in school. I'm
not sure either one of them could read a report card. My brother was a very bright and successful
student. So I tried both extremes." He meant that he tried at one time to be a higher achiever
than his brother and at others to achieve less than his brother. This respondent reflected that this

disconnection between him and his parents and his lack of extended family fueled his drive to create community in his work to make up for what he felt he lacked in his youth.

Some respondents reported a message of encouragement and support sent through practice and communication of belief. An example of one respondent's expression of how this occurred follows.

> Mom and Dad had very fundamental values: hard work; time for homework each day; a sense of discipline; a sense of respect for authority. The overlay of Catholic school and Catholic values really created a very structured environment that was family-oriented, maybe family dominated, authoritarian, highly structured.

This respondent also reflected on the effect these values had on his self-discipline, integrity, and work ethic that are integral to his work as a leader.

Respondents learned about the value of education. One respondent explained it this way: "I grew up with the model that I have to do well in school and everything will be okay. I think that was sort of the dominant model." Another respondent believed, because her parents had taught her, that she could do anything was learned, "My parents were the old time Americana. Whatever you dream about, you can have. So they were very encouraging to me that anything I wanted to do was possible." Another respondent reported it this way. "I was brought up to believe I could do anything." While another respondent reported, "My mother was the pusher in the family. Even when I got to the later years, she still was still pushing." Yet another reported learning about hard work, "All I knew was that I had to work hard and I had to be respectful and that's it." One reported, "I remember, you just got up, went to school, and did your homework."

Others reported a sense of belief in themselves supported by their parents. Confidence in themselves was learned from parents' confidence in them. Two respondent's reflections are examples of this. One respondent reported what follows.

I think my parents were very, very supportive. I think the message about getting the best education you possibly can and doing something with it are kind of inbred in you from parents, from day one, if you grow up in that kind of a family. They're well educated and they thought their children should be as well.

Another participant explained, "It was the trust that my father had in me to do that [drive a tractor at age nine] …to drive on the farm he had a lot of trust in me, and I think about it a lot."

One respondent, when reflecting on his adult personality as disciplined and moderate, referred to a lesson learned "being brought up in a traditional Italian family." This respondent reported being permitted wine at the dinner table since he was five. Then, during high school when peers drank, this respondent reported:

Gee, I've been drinking since I was five, so what's the big deal? So there is some learning in that too. You don't have to go to extremes. I think that helped to mold who I am. I've never been one to jump of the edge of anything.

This respondent was raised by older parents who were hard working immigrants who spoke very little English. This respondent recalled the impact of his father's pride in him and its effect:

In high school I took Italian. So at high school graduation we were up on the stage and my parents were in the audience. I could see them from where I was sitting. So this kid gets up and he says 'and now for the award for the Italian IV Regents, the highest grade in the Italian IV Regents.' This guy, his name was one letter off from mine. We were sitting together. He's smoothing his robe out so he could stand up and guess whose name

59

gets called but mine! And I get up and I'm going to the front to get whatever kind of

certificate they were going to give me. I could see, I mean I could just see my father in

the audience, just beaming. Especially that. If I had gotten the science award, what the

hell? But this one was something he understood...so that kind of thing helped mold how I

saw the value of being there, being part of what you do and letting people know that you

see them.

Another powerful memory reported about the perceived power of his father's presence follows:

I played three different sports in high school, and my three best games, one football, one

basketball, and one baseball were the only games that my father ever came to. The

baseball game I hit a home run; the football game I got my name in the paper for the way

I played, and the basketball one I got the most points I'd ever gotten.

This leader reported feeling "a certain discomfort on my part having older parents". The

respondent spoke about being ashamed of being poor and embarrassed about having older

parents. He also spoke about growing up with a fear that his or her parents would both die at the

same time. He reported, "Lo and behold, when I got to be older, when I was a man, they did

both die within two months of each other and so I guess I knew that was going to happen when I

was five."

Observing the behavior of a parent in order to learn how to behave or how not to, was

reported by all of the respondents in this study. One respondent had an extremely large extended

family that lived in a large northeastern city. His grandmother was the matriarch of the family

where tradition had been that the entire extended family lived in the same neighborhood. This

respondent's nuclear family was the first to move from the neighborhood, followed by others in

the extended family. This flight to the suburb was disturbing to this respondent's grandmother

who later required that her all her grandsons travel back to attend the Catholic school in her neighborhood, which had been the family tradition. This respondent reflected on the role he watched his father play and its effect on him as an adult leader:

There were three older daughters, then this boy, who became the apple of everybody's eye, and then my dad. My uncle went into the service, finished his tour of duty, came back home and married, was having a baby, developed appendicitis and died suddenly. And then the baby was stillborn... So my father became the unofficial oldest child. It changed him. I can see the impact it had on him because he didn't want that burden. He didn't want that responsibility. He kept pushing that off. And I think that's kind of how I ended up doing it. He liked being second.

This respondent reflected that when he was moved to a leadership role in his organization as an adult, he enjoyed being second in charge because… "The boss would get shot at and I would smooth out the ruffles." This respondent made a connection to the role he saw his father play in the family as the model for this behavior. However, he reported that as he ascended to the top role in the organization, there was a need to change and be more guarded and selective in his expression.

An example of a message that was sent in actions was evident in this respondent's recollection from before the fifth grade. He felt the drive to excel academically and attributed it to his or her parents who took great pride in their children's academic prowess and expressed their approval of their achievements. This respondent made it a point, however, to report that he did not recall his parents ever expressing disappointment if he ever did not do as well as usual.

I think it was too much so. It made my parent so proud of our academic successes…I really wanted to succeed because it made my parent so proud…it's not that they would

have punished us or disowned us if we didn't do well in school, but there was such pride. I do think that parents' pride in academic achievement certainly did influence us. Then you know that builds up inside. You feel good about academic achievement and not just because you get praise from the parents, but inside yourself, that's how you define yourself and then you want to continue to establish yourself that way.

A respondent defined his mother as being a 'pusher', always pushing him to get an education and try new things so he might have a better life. There were several examples shared that demonstrated his mother's dedication to helping him have as many different experiences as possible. However, when reflecting on his father's influence, that same respondent reported:

Whereas my mother was the driver, I think I was more influenced by the personal qualities of my father. He just had a great way with people and just was, you know, people just loved him everywhere he went…A lot of those really good qualities in my father were there if I wanted them. He wasn't going to force them on me, but if I wanted to observe how he got along with people he was just great with people. And he had a great wit, his openness to different religions in different people and everything. So he was a special guy.

A female respondent reported the most influential people were women, her mother, aunt, Godmother and nuns. However, she made particular mention of the difference between her mother and her father as she continued:

My father was a model. My father was a very different kind of man. He was a little wacky, very creative, smart, really smart. My father was a big influence of you never have to do what somebody else thinks you should do. You should do what you think you want to do. My father did not believe in a lot of rules for his children, which was very

62

different than my mother. My father believed that the human spirit finds its path in life

and you let people be very free. So my father never had any rules. He trusted me 120%

which, you know, looking back was both great and naïve on his part because I was a

kid…And I like to believe that part of that gave me a little bit of challenging systems, so

in my work…I learned to work within the system but I also believe that there's a lot of

bureaucracy and I will give my father his due….compliance is not freedom.

She continued describing another difference between her parents was that her mother was

athletic and she was not. She learned the value of teamwork from her mother and reported, "You

are only as important as the team you work on. That's where you get your outcomes." She

described her mother as "a more driven, task-oriented person." While reflecting on her parents,

she concluded:

 My father loved sailing, he loved swimming, he loved sports, but not team sports. So I

like to believe I got a little of both. I believe that the human spirit, we don't know where

our potential is, and the human spirit can be developed and nurtured over time. That is

what I got from my parents.

Another respondent reported, "My opinion mattered whether it was in the family or in

school. My parents listened when I came to them with a problem."

A respondent reported being lied to by her parents, resulting in a difficult situation. Her

parents responded by asking for guidance and attempting to help by taking action. Although the

situation was frightening to her has a child, the intention of her parents to respond to their poor

judgment with an action was a lesson to this respondent about being cared for. When she needed

a tonsillectomy, her parents told her that her doll was broken and they were taking her with the

doll to the hospital to be fixed. When her response to the operation was to become catatonic, her parents responded by going to counseling and trying to help her through this difficult time.

> And the next thing I remembered was they were trying to kill me by suffocating me because they put mask over my face and I couldn't breathe…When I came out of the hospital, I would not get into my father's car because that was the instrument of torture that took me there in the first place. Following that I became catatonic. My parents went to counseling and the counselor told them to take in a foster child so I could dominate them and regain my confidence. My parents refused so they got me a dog that I apparently tortured for a while. It took me quite a long while to come out of that…So I think a lot of the support I got was kind of a carryover from their guilt and tentativeness.

> *Siblings.* Respondents reported varied lessons learned from siblings. Some reported a feeling of comfort and safety from actions and behaviors of sibling while others reported a feeling of competition and challenge. Almost half of the respondents in this study (46%) who had at least one sibling reported experiences with their siblings did not have an effect on their leadership as adults.

Two respondents commented on the belief that they were not as smart as their siblings. One reported, "Growing up between two siblings they always thought I was the stupid one and they were the brightest. But it took me a long time to figure out that I too was very bright." The other respondent reported:

> I was the dummy in the family. I was absolutely the dummy. My two older siblings are very brilliant. My brother, my older brother, you know, really delivered the impression that I was a total idiot and my sister too.

A respondent with five siblings reported the constant message sent at the dinner table nightly was about reaching the top of their chosen profession.

All the conversation at the dinner table with my sisters and brothers was about how they were expected to get to the top of their careers. I wanted to get to the top of my career. I don't know whether it was a blatant understanding or whether it was all kind of on the subconscious level.

Two respondents reported that growing up with younger siblings, and having the responsibility to help care for them contributed to their development as decision makers. One of those leaders reported that having to take care of their siblings developed her as a lifelong decision maker.

One respondent recalled that they moved to a new neighborhood because, "My sister was very bright and got into college at sixteen. She told my parents we had to move because where we lived wasn't a good neighborhood. So we moved. That was it."

Another respondent recalled that her younger siblings were born after she was twelve and she loved babysitting for them. She reported those opportunities developed her as a good decision maker which remains a skill she uses in her leadership. While another reported, "I fought with my brothers all the way through middle school. But, basically those times were very happy." This respondent credited those times as being responsible for her learning how to have a difference of opinion while remaining connected to the person.

Another respondent spoke about his relationship with his brother:

My brother was bright, which was an asset for me and a liability. He was socially very liked and developed. I still think of myself as being shy and introverted. My inner self probably doesn't want to go to the mountain top. My brother taught me that I can…He

was somebody to look up to. At moments I always felt that in some way, even if he didn't express it, he could protect me.

One respondent reported not being involved in activities in or outside of school but being "very much involved with my sister. Both my brother and my older sister took care of me." She continued:

During the war, my brother was in the Army and I was in high school. All the farm boys had been taken into the Army, you know, taken into the war. So they wanted the girls from high school and college to come in and work on the farms. So I ended up being a 'farmerette' one summer. My brother came back (at the time he was a lieutenant), and he found out. So I got a call at this place and my mother said 'You have to come home. Ray wants you home.' I asked why and she said 'because it's not safe for you to be there. I asked 'Because Ray said so?' (He was the revered person in the family, the oldest boy) so I had to come back.

One of the respondents reflected on his or her sibling by reporting "We've had great relationships, positive brother sister relationship, but did they help shape who I became? I don't think so."

Extended family. Ten of the leaders (67%) interviewed made reference to the role that their extended families played in their lives. Grandparents were most often described as powerful influences. Other extended family members mentioned included an uncle and a godmother. The influences cited were related to values centered around taking responsibility for themselves, social responsibility, respect, doing good work. One leader described a grandmother as being more influential than his or her parents:

66

My grandmother is probably the strongest influence in my life. She was an incredible,

incredible woman with an incredible story. She probably shaped me more than anybody

else. She made me very responsible for things and she was very demanding. My parents

had given up the culture, but my grandmother insisted. I remember going to my

grandmother's house every Sunday and having dinner……. My grandmother died at 104!

She never accepted any social security. She looked at it as a dole, and it was fortunate

not to have to do it. As I got older, I realized how smart she was. She didn't have book

learning, she didn't have the opportunity, but she was a very astute businesswoman, and

very, very smart. And, interesting, she was able to pick out and say things in a way that

helped people get better.

This leader reflected that when he was fourteen years of age, his grandmother turned her

accounting books over to him. She owned several buildings and charged her grandson with

collecting rents and managing the books. His grandmother told him, "You need to do this for

me." This leader reported being confounded by being given this responsibility. He reported

having many older cousins and several aunts and uncles. That he was chosen over all of them

remains an honor to him. When asked by his cousins about why their grandmother made him in

charge of all this money, he replied, "To tell you the God's honest truth, I honestly don't know."

He went on to explain that education was the key according to his grandmother. "She wanted

you to make a difference in some way." This respondent reflected that his father became his

mother's oldest child because his older brother passed away as a young man. "So my father

became the unofficial oldest child. It changed him. I can see the impact it had on him because

he didn't want that burden...so maybe it was because I was the oldest son of the (unofficial)

oldest son."

Respondents reported a deep and meaningful lesson learned from grandparents that influenced values and beliefs. One respondent expressed it this way:

I always found that the smartest, most educated person in my family was my grandfather. He had been a major philanthropist, he was a member of the … Agency, he was on the … delegation to the … Congress. My grandmother founded and ran her own orphanage. They were very public spirited. These were good-works people. So certainly we were heirs to this invisible and yet very highly held standard of service. We felt we were given a mantle. And we had to live up to some kind of ambitions. So we were redeeming their honor. All those motivations captured mine and my brother's and sister's imagination in childhood. It wasn't only about making money. Money wasn't a measure of success. Not by any means.

One respondent reported on how living surrounded by his extended family affected his values about family.

I grew up within a family environment with all members of the family, all the aunts or uncles would have lived in one building on different floors. So the early years, the formative years, were within that kind of a very close, solid family environment with a hard working Mom and Dad.

Another leader described how his entire extended family traveled from the city to a rural area in which he lived every weekend. This extended family was defined as uncles, aunts, cousins, and close friends of his parents. It was during those times that he observed the ways in which his father was treated, and how his father treated people. He described his father as a quiet man who seemed powerful. He took care of his immediate and extended family and was looked up to by everyone. The extended family provided an opportunity for this leader to

observe and study about how the politics of family worked. The respondent reported it was during those times he watched his father and learned about the type of man he wanted to be.

There were other lessons learned. One respondent reported that her godmother and aunt gave her a belief that she could do anything she set her mind to:

> The biggest influence was my godmother who was my mother's best friend, and my aunt, who was my father's sister. They both gave me the message that anything you want to do it possible. I always felt loved and supported by them.

Another leader talked about her grandmother who taught her about patience, teaching, and varied interests:

> She dragged me along to do the chores and my mother, I guess, she got rid of me by forcing me on her. She loved the relationship as I did. She had the patience to teach me card games. She taught me how to use a sewing machine. She took me to the grocery store and I was with her when she bought the carp for gefilte fish and watched them kill the carp. I learned a lot growing up with her. We talked about the soap operas that she listened to relentlessly on the radio. She read modern romance magazines. So life with her was an adventure.

Continuing on, this leader reflected that her grandmother yelled a lot but it didn't affect her negatively. "The result was an understanding that it had nothing to do with love, or competence, or productivity or any of those things…So my grandmother was really an anchor for me."

An African American leader who was raised in the north reported spending summers in the segregated south with her grandparents. Pride in her heritage and being able to ask the hard questions when leading were credited to her grandparents:

Some of my militancy comes from those experiences. They were incredibly protective of me but they didn't hide the issue of segregation from me. So you only went to the colored beach and you only went to the colored stores and you only drank from the colored fountains. And you definitely went to church on Sundays. You know I can understand how the civil rights movement surfaced in the south. People, they were really powerful in wanting to control their own destiny. I had grandparents who had a history. They owned their own hope. They were the great-great grandchildren of slaves…Through their conversations with me, they didn't talk much, it had to be their behavior and their demeanor and the way they carried themselves, there was a sense of pride in their heritage that I picked up…By the time I was in my teens I became militant and questioned why I had to walk on the colored side of town and drank out of a white fountain one day. My grandmother said to my father, 'She can't come back. We're afraid that she'll be hurt. I didn't go back for ten years.

Values about family, religion, and respect were credited to this leader's grandmother's influence:

I always recall her as a very generous but determined woman who had eleven children of her own. These sons and daughters did well, within their own sphere of what doing well was considered. She was a very religious woman. So I think that was something in terms of going to church and so forth and having values. So for the world that we had back then I'd say that she was respected by everyone and became a symbol to us of someone who herself had brought together this wonderful family.

Another respondent gave his grandmother credit for teaching lessons about relationships, their importance and how to handle them:

70

My grandmother came over from Italy when she was seventeen and they always talked

about how education was really, really important to get ahead…They kept close ties with

relatives and on weekends we would all get together with friends and other relatives,

older people. Everybody would speak Italian but me. I would sit there and just pick it all

up…I think those kinds of relationships help you as a leader figure out…how to work

with boards because you understand people and relationships so much better. I think my

grandparents had a dramatic effect on me.

Being believed in by a grandparent was an experience shared by respondents. One

respondent reported that his grandfather believed in him and how important that was to him as a

young man growing up. He reported the influence remains today and affects how he lives his

life. Referring to his grandfather, this respondent reported:

 A very prominent citizen, very brilliant man, very well educated took a liking to me. He

taught me to read Russian, and read War and Peace with me. He treated me as an adult,

in a way, as an adolescent in a very nice way. And he believed in me so that was a

positive presence, but not in the more significant context of my own immediate family.

This respondent also reported that a very important influence on his life was his aunt,

who among other lessons, taught him to respect people and to do what is right. He described her:

…righteous gentile; a Polish Catholic girl of eighteen who entered the business of

rescuing the Jews. Now that is real leadership. That's real courage. She was a devout

Catholic. But there we learned a lesson to respect the people who...we always asked the

question what would we have done had we been on the other side. It was easy for us to

be victims. But what would we have done had we been, what would we have done if we

were doctors in a German town in 1934-35, and the Jewish doctors' practices were

restricted, would we take their patients and make believe like nothing happened? … We understood that logic as children. So we learned a very important message, which is when you have the opportunity to do the right thing, you do it. That we have a moral obligation to do the right thing.

This respondent also reported about a nurse who accompanied them to the United States and played an important role in his life.

A wonderful woman who was a nurse who came to the United States with us, who was my grandparents' generation. She lived with us and helped run the household. Since I was young, since I was a baby, she actually liked me a lot. I'm very indebted to her. She was a nurturing presence, a very strong disciplinarian.

While another respondent reported about cousin who served as a model for him:

I think if I could pick a family person who was influential there was a cousin who was twenty years older (or more than that), who also had the same name as me. He was my father's brother's son. He was a WWII veteran and owned a business in the city. The same work ethic, exactly the same work ethic. And I remember going as a child, taking the train to the city, alone, maybe at ten years of age and somebody meeting me at the other end. I remember him backing this trailer truck into a space that you couldn't fit a little car into.

Having had the experience of watching this older cousin model this behavior for him made a lasting impression that had an effect on his work as an adult. The lesson he learned was to never ask anyone who works for him to do something that he could not or would not do. Conversely another leader reported no impact relating to grandparents:

Although my grandparents lived with us for a few years, and we visited my other

grandparents regularly, in my mind, that didn't have a big influence on me. It wasn't sort

of a key part for me of my growing up.

This leader reported often playing with cousins, having family dinners with extended family but

did not recall any specific experience that he is aware of that affected him as an adult.

Another leader mentioned that his grandmother had died in childbirth. "A lady raised my

mother, because my mother's mother died when she was giving birth to one of the children."

This respondent's uncle, and the husband of the "lady" who raised his mother were frequent

visitors. The paternal grandparents and some cousins were also visitors. However, no comment

was made regarding the value or impact of these relationships.

The Holocaust denied four of the leaders the opportunity for extended family. One

respondent reported having no extended family and explained that her surviving aunt was raised

as her sister.

Everyone was killed during the Holocaust except my mother's younger sister. She was

about eighteen years younger than my mother. So she came under the theory that she

was a child left by my mother. That was an aunt who really grew up as my sister.

Another respondent reported about the impact on his family life after the war, having no

surviving family, and the affect it had on their family. "When we returned to Poland everyone

was gone, everyone. My parents spent the next seventeen years looking for any member of their

families that may have survived. No one. No one survived."

Unique experiences viewed as important. This section is about experiences that had an

impact or influence on the respondents. What follows are respondents' recollections of

experiences they had from birth through eighteen that they defined as important. Most

73

experiences reported were reported as negative while lessons learned from them were reported as positive. In one person's life a move or a failure may be considered significant. In another person's experience the loss of a parent, or the aftermath of the Holocaust may be considered significant. These first generation of Holocaust survivors, recalled being poor, being alone, being excluded, and feeling less. In some cases respondents made direct connections to their development as adults and as leaders.

There were several challenges for the leader raised in post war Poland. The first was the challenge of being raised in an environment in which his parents were constantly looking for their lost relatives, to no avail. Another was the prejudice faced by him while growing up in a hostile environment:

Being Jewish was a focal point. As Poland was trying to deal with its WWII issues, and the issues of the Holocaust, life of Jews in Poland was not much easier than it was prior to 1930. There were frequent moments of anti-Semitic outbursts. We went to a school that was a secular school, supported by the government and some Jewish agencies from the U.S., but what separated us from the rest of the schools was the Yiddish language was required. We fought our way out almost daily to go home because there was always somebody involved in the process of making that path difficult, physically, literally. We stayed together as a group of constant refugees and we lived life to our best of our ability. It was difficult.

This respondent later reported that his parents worked tirelessly to leave the country and move to a country where it would be better for their two children to live. He also reported these experiences left him with little sense of community, which provided his drive to create community in his work as an adult.

Another respondent reported financial challenges in the family following the death of her father:

I can remember my grandmother saying to me (my grandmother was an immigrant who had put a very high value on education for her boys) I should change my track from the college track to the business track and become a secretary. I can remember the feeling of being kicked in the stomach because I so badly wanted to become a nurse.

When questioned about how she responded to this, the respondent reported that, "Well, she wasn't my mother." She continued to explain that by the age of fourteen she had become self-directed and knew that she wanted to be a nurse. So she pushed forward in the academic track in spite of her grandmother's comments.

A respondent reflected that growing up in a tough neighborhood taught him to stand up for himself and his beliefs:

I think I started to get more of a bearing on the type of person that I was and wanted to be, and I wasn't going to let other people tell me. In that neighborhood I wasn't a real rough and tumble kid but you had to stand your own ground. I learned how to stand my own ground and protect my interests. And so, I think that also helped me get my footing.

Reporting a minimum of encouraging experiences as a child, one respondent, who reported not being considered smart by his parents, entered college at the age of sixteen and reported, "When I went to university was the first time I developed any shred of real self-confidence. I entered a …competition which I won. I was sixteen and had nothing to lose." For this respondent, the line of study was different from that chosen by his or her parents and sibling and so an identity with this field began. "I had teachers who for the first time seemed interested

in me...So very productive in the years from sixteen to twenty were decisive for me. Decisive. Transformative years of my life were in college, not in high school."

Upon returning to the United States from living in Europe for three years, from third until sixth grade, one respondent shared:

I'll never forget the first day in recess. I hadn't played baseball or softball for three years. I go out on the playground and I hit the ball. I actually hit the ball over the left fielder's head. But in my haste, I ran to third base instead of first base.

Another incident that occurred at that time was he entered the wrong bathroom, "…the one where all the tough kids hung out." He reported not knowing enough to be intimidated by these kids and got into a fight on his first day:

For the first year back I needed to concentrate on getting myself back into mainstream social United States as opposed to academics, because the academics were pretty easy. So I failed sixth grade everything, but luckily they promoted me because they realized that something else was going on.

This respondent credited these experiences with teaching him about understanding and respecting the culture of an organization. He learned to read the environment and understand how it worked. He learned to understand people and how he needed to behave. This leader credited these experiences to his abilities as a leader of an organization. This same respondent also reported that he was third in a class of 520 but that:

…there was another reversal of fortune financially. My father had said not to apply for financial aid and of course, by the time the acceptance letters came, there was no financial aid package because I hadn't applied for any. There was no money. So my college was very, very good, they told me that we'd figure it out and they did. I did well

76

in school and went to graduate school. I did well there. Again, though, I worked my way

through college and graduate school. The experience of being let down by his father was

met with determination to go to college and do well in spite of being let down.

This experience was described as being pivotal in revealing his determination to push ahead in

the face of adversity. This leader reported understanding that resources exist and that

determination and hard work can help solve a problem has contributed to his success as a leader.

Respondents reported personal integrity and independence as children. Two examples

were cited as recollections of high school experiences in which they advocated for themselves by

approaching the principals and changing their program of study. Another example of this is

when the respondent who grew up on a farm reported being expected to stay on the farm and

help his parents after he graduated from high school. Although wanting very much to be like his

father as a man, he knew he wanted to go to college and not work with his hands. An example of

the personal integrity and independence these leaders reported as youngsters is captured in this

report of a decision made by the time this leader was eighteen:

Everyone asked 'Why doesn't he stay home and help his father and why doesn't he take

over the farm?' And there was no way that I was going to do that. And that hurt. It hurt

because I knew he was still trying to make ends meet. I wanted to be like him personally,

but not do what he did. I wanted that same respect that I saw people have for him. I

wanted that for me. And I probably never voiced that or thought about that too much but

that was a motivating factor on the way I handled myself or dealt with myself.

A respondent raised in a Catholic home was expected to attend a Jesuit school, which was

a long distance from where they had moved. This respondent had handled a paper route and a

milk route beginning at a very young age. His family expected that he could manage the trip and go to this school:

At thirteen and a half we moved to another borough and to get to high school, I had to take a bus, which was 30 minute to a train, which was another 30 minutes and another train, which was another 15 minutes. It took two hours to get there and two hours to get home. So getting up at five-thirty in the morning to be in school for 8 o'clock and negotiating all kinds of weather and traffic on all kinds of different types of transportation. I don't know if modern youth would do that to be very honest with you. And when you think about it, maybe it was nuts then, but I wasn't the only nut. I had a classmate who came from further away. So to get into a Jesuit school was considered a coup and then you may have to travel from the ends of the earth. So I found that to be an extraordinary experience, but it was done and I'm happy I did it.

Later in this respondent's experience, when entering a Ph.D. program he was told that it was going to be an uphill fight and climb. His persistence was developed through these childhood experiences. A Ph.D. was not an uphill fight and climb for him:

It was nothing like fighting my way into … and out of … each day. Just elbowing people on the … bus and learning about minorities very young…it taught me that you've got to live with a lot of different circumstances and challenges. I'm really glad I did it upon reflection now. I think it built character. I think it taught you that things don't come easily, and you stick with the challenge and you be dogged in pursuit of your goal, you're going to get it, you know…Keep your eye on target, focus, and make sure you get the gold. I found it to be a positive, a plus, upon reflection after the fact.

78

Another respondent, when reflecting on the experience of growing up in a diverse community reported about how much of an influence it had on her ability to develop relationships and work with different people:

> I was willing to stand my ground on things and I wasn't going to be bullied or pushed around by others…It wasn't all pleasant either. There were tensions but I found out very early there was good and bad in people in every ethnic group. You just wanted to be around the good ones and develop relationships with them. I believe that serves me in my work with people now.

All of the respondents made specific reference to the effect of being raised with exposure to diverse groups of people and its effect on their ability to work with all kinds of people. An African American respondent reported:

> So that meant I was always the only kid of color in my classes, because most poor kids, especially kids of color didn't make it into the highest classes. And I always say that made me a bi-cultural kid from the age of five on. I lived in two worlds; the world of smart white kids during the day and the world of poor people from 3 o'clock on.

Describing her ability to work with different groups of people, another respondent reflected:

> I had a clique of friends, but actually I knew a lot of kids on the other side, as they say. You know a lot of the kids that were in the BOCES programs. I was always the social butterfly. I'd try to bring people together. Never really liked the popular kids that much.

> Another respondent reported having been present during the Watts riots, attending a very

diverse high school and becoming a student body president, "I think you learn about a lot of the similar motives that I think people have everywhere." This respondent reported that this

experience helps him in his work with all the different constituencies that interact with his leadership:

> I grew up in a very diverse community and so there were racial tensions in the community at that time. I remember the Watts riots. We were right in the middle of those. So I went to a high school that was very diverse, became a leader at the high school, the student body president, but I didn't have a lot of the benefits you see from really middle income. I think the experiences I had in terms of having to live and develop and try to assume leadership positions in high school, because it was a diverse high school, served me well for the rest of my life because I played sports and served in the student government with students from all walks of life.

An African American respondent recalled that his mother was concerned about the side of town in which they lived. His mother decided that she didn't want to raise her child in that environment, with gangs forming and she moved them to the other side of town. He reported that once they moved he learned about different cultures and that it has helped him to understand people and build relationships with people from all walks of life:

> I was in the section that was predominantly Jewish kids, so most of my friends at that point were Jewish. So playing ball on the street, football, basketball, hanging around after school, weightlifting, I learned about what different cultures were all about.

Another respondent recalled that her father was away for a year and a half at a time because of his work, leaving her mother often to be a single mother. During these times, the need for this respondent to develop independent skills was essential. A unique experience was reported about a time when she became very ill during her father's leave:

When I was thirteen I was diagnosed with rheumatic fever and I was in the hospital for a

month, was told that my life expectance was very short and then I didn't go to school for

a year. My mother said I was not permitted to leave the bed for a year. I had a bedpan

and my mother worked. So that year I spent a lot of time alone. Fortunately, when you

go to Catholic school, the nuns sent kids over to make sure you're alive…I had a tutor

once a week. Basically I missed a whole year of education, and that certainly influenced

me. That was a strange and unusual year. My father was away that whole year and by

that time my brother was in college. My mother was a full time working mom then, so I

basically spent that whole year alone, reading and watching TV. I think it influenced me

to have an enormous compassion for kids who have illnesses and disabilities and how

misunderstood the whole emotional experience of fear at a young age…I always felt

supported by my parents, but they weren't overly nurturing the way parents are today. It

was like, 'Okay you're sick. Big deal…' It gave me a lot of time to think as a kid and it

just gave me a lot of compassion.

Another respondent, reporting the acquisition of the crucial talent of being able to spend

long periods alone and its advantages, stated:

I am a great believer in daydreaming. In letting your mind sort of spin, if you will, and

intuitively drift. So what is left with me is the very important ability to, if you really

want to do something, resist the routine of adulthood and retain childlike enthusiasm and

wonderment. I can remember, for instance, reading certain books as a child or playing an

instrument. So the process of thinking and ruminating, if you will, was developed.

Ten of the fifteen respondents made specific reference to being shy and introverted and having to work very hard at being the opposite of that. One example that captures the tenor of the ten respondents is:

I was definitely introverted. So it's always been a big effort for me to counter what I know to be the real me – the shy, introverted person. I have to work real hard at being the opposite of that, because if I had my druthers, give me a book and a glass of wine and I'm fine by myself. I am not afraid. I travel by myself. I'm not afraid to be alone.

One respondent spoke of three experiences that had a significant impact on her. First, in sixth grade they had to move because of her father's job. She described the difficulty of leaving family and friends behind and the stress of being the new kid in school. She recalled becoming particularly sensitive and being aware of others who were isolated and ostracized and reaching out to them as a result. Then her father died suddenly. Following his death, the family moved back to the place they lived in earlier years. These three experiences were cited as stressful by this respondent. When asked how she was able to get through them, she responded, "You just do." When asked about how her mother or grandparent's responded to these events, she shrugged.

Only one leader reported no significant challenge or experience during the years from birth through eighteen. It should be noted that this leader is the youngest of those interviewed, and was raised in the suburbs during the 1950's and 1960's. The rest of the leaders interviewed were raised in a city or suburb, in the United States or in Europe, in the 1940's and 1950's.

Experiences in school. Respondents had varied reflections on their experiences in school from kindergarten through twelfth grade. Those respondents who recalled positive elementary experiences reported having been chosen by teachers for some role or opportunity.

Two of the respondents who recalled elementary experiences recalled being embarrassed or humiliated by those experiences. Most respondents who recalled their secondary school experiences were linked to leadership roles served. The leadership roles recalled varied in how the opportunity was experienced. One respondent recalled it this way:

> I think school was very central to my life, and I do think an important part of forming my identity. Doing well at school was an important part of my identity, sometimes overly so. I think it was in some ways problematic, that too much of my identity was built up about doing well at school. I became, in my mind, too defined by thinking it was so important to keep up that identity of being the smartest kid in the class, which I think, is a bad way to form one's identity.

Independence and popularity were important recollections to another respondent. She recalled it like this:

> Ah, you know what I remember of high school is that I wanted to be popular like everybody else. I wanted to succeed, but again, I knew from an early age, that I needed to do it on my own. Was there a particular teacher or event that pushed me or influenced me? I can't say there was.

Another respondent's independence was revealed in the recollection that follows:

> I think that my elementary experiences were good, my middle school was just okay and my high school was just okay. I didn't really care for high school a lot, and it was basically because they decided they were going to make some changes that resulted in tracking. So I had to go to the principal and ask for independent study so I could have

my classes weighted like everybody else so I could get into a good college. I figured that out pretty quick. I was kind of disappointed in high school.

One respondent reported that a teacher modeled a behavior that stood as a lesson he learned that directly affected his leadership. This was a vivid recollection that was described as central to this leader's work. This respondent learned about dressing for leadership and having a presence from this teacher's example. The value of getting people to feel that the work is not about the leader, but about the purpose of the work was learned from this teacher:

I remember Mr. G. who was my history teacher. I remember admiring his composure. He dressed well, and I remember his organizational skills of being able to present an issue. In my today's words, not as a child, he conveyed that this class was not about him, but about us. So he encouraged somehow that the focus was not in the front but among us. So that taught me that it is easy to center about me, the more difficult target is to get people to know that it's about them.

Being identified as a smart student was a theme for many. This respondent recalled standing out as a smart student and how it contributed to her beliefs about fairness:

When I entered school, … City had an incredibly stratified system for teaching kids. However, I was the only African American who passed the test and was placed in the highest classes. They administered the Wechsler I.Q. test, which we just shouldn't do in poor communities. Nobody understood that at the time. I can only think of the millions of kids whose talents were never realized because of the tracking resulted from the Wechsler results.

Another respondent reflected on the value of friendship and the joy of volunteer work while in school:

In elementary school I loved to volunteer. I was part of the Audio-Visual squad. They

wanted me to go to … High School and they had me take the special test and I remember

not wanting to take the test. I did not want to leave my friends and I did not want to

travel. I didn't do well on the test. I still think I sabotaged it, because I was a very good

test taker. But I don't know.

Another theme from respondents was how important it was when they were chosen by adults to

take responsibility:

I was also selected in school to be a runner. I ran the PA system every day, you know

when they had to do the Pledge of Allegiance over the PA, I was the one who turned it

on. I ran errands for the teachers and the Principal. I won awards. I won an essay

contest. You know all this stuff is just mutually reinforcing.

Another respondent spoke of two specific experiences recalled as memorable. Both left

impressions on her because she could recall the event, and the resolution as important. One was

during the beginning of Kindergarten. She was afraid to go to and be left at school. After

discussion between the parents and the teacher, a set of successive approximations would be

attempted. First, she would go into the classroom and her father would wait at the door, and

gradually day by day move further away until the arrival at the classroom was no longer

frightening. The other was an incident as a pre-adolescent, when "tween" friends experimented

with cigarettes:

Not only did I refuse to smoke, I ratted them out, which made them almost

instantaneously not my friends anymore. I was a pariah. I really literally had no friends.

I was miserable. My parents saw the loneliness. My seventh grade math teacher was a

school psychologist intern so my parents agreed to let her use us as kind of an

experiment. So picture how badly this was done. She brought us in, the twelve of us, and she said, 'Why don't you tell Sarah what you don't like.' They responded that I was such a bossy person and they said I thought I was 'Queen Shit'. Saying this in front of a teacher horrified me. They continued that I had a way of answering that made them feel like I was the only one with the right answer.

This respondent reported that she was so hurt by this experience that she never behaved that way again and that to this day she has sensitivity to not making people feel badly. As a result of her actions during that period of estrangement and loneliness, her parents involved her in other activities, including ice skating lessons and buying her a piano and giving her piano lessons. This leader reflected that her parents exposed her to different groups of people by taking her to different places and developing alternate skills and competencies.

Another respondent reflected on a time when his father was injured and he had to miss school for three weeks to run the family farm. He reported that the football coach arranged for him to continue to play football, which was against school policy. He reported feeling encouraged and supported by the actions of the coach and remembered that act of kindness as he developed as a leader himself.

Two of the fifteen respondents recalled similar fourth grade spelling experiences. In both cases they reported a type of humiliation employed by their teacher as an attempt to motivate them. In one case, the day after the spelling test, the desks were arranged in rows in the order of the grades. The respondent had always come in on the Monday following the weekly Friday spelling test to see his desk in the place of prominence, the first desk in the first row. This respondent's desk was always the first desk in the first row, until one day he missed a word:

I started crying in class. The teacher came to me afterwards and I remember her saying 'You know someday you're not going to be the best and then you have to learn how to deal with that. So just the fact that I remember that is an indication of how much my identity was based on being the best.

In the other case, the respondent reported that her teacher made the prize contingent upon the entire class spelling their words correctly. The humiliation occurred for her in this incident:

We had this teacher that would give us a prize if everyone got the spelling words all correct in one week. The test was given orally. Let's say the word was 'engine'. All the way down to Ralph who was not very smart, they all spelled it right. Everybody got it right, and it came to me and I got it wrong. Today, to this minute I can remember this. I was humiliated.

This respondent explained that from that humiliation she became committed to never make anyone feel that way. It has remained as an icon of how she deals with people in her relationships with them as an adult. Further in the interview, when talking about leadership and her work ethic, this respondent said "I knew that you are supposed to finish something and you are supposed to not let anybody down by not spelling the word right. You don't want to be told you did a bad job."

Three respondents reported detailed experiences during high school in which they were placed in classes that they preferred not to be in. Each of these respondents went to their respective high school principals to advocate for a change in their program after being encouraged by a parent. Their proposals required the principal make a change not previously part of the standard school program. Each had been advised by counselors and teachers that this type of thing was "simply not done." One of the respondent' explained it this way:

87

I went to the principal and told him I was being excluded from an opportunity and I was

unhappy about it. I told him I was really bored with my classes and that he needed to do

something about it. I was scared to death because he was a really, really tough man and

we had a lot of issues going on in my high school at the time. So I'm in his office and

I'm a junior and I'm just shaking in my boots.

In both of these cases, the young high school students identified something they believed was

wrong for them, went to the person of authority and convinced that person of what needed to be

changed in order to create a better situation for them.

A respondent reported being encouraged by being chosen to do things he did not believe

he did well.

I remember, I barely would speak to anybody and maybe it was my junior year, no senior

year, and they used to have this May festival with the King and Queen of May coming

down the aisle. Well they made me the narrator for this thing and I did it. I mean that's

what they expected of me; they thought I could do it. So I did it.

He continued:

My Italian teacher said, 'You make a belle figura!' meaning you make a good

presentation. And I went on to, you know, to not feel too bad about speaking in public.

Although I still am hesitant. I still, even through all the years of the jobs I've held, it was

not one of my favorite things to do. But you know, you did it because that was the job.

An African American respondent reflected on a powerful experience after being told by a

white male teacher who believed:

…this colored kid didn't belong in honors classes told me to go home and not come back.

I didn't know any better and I went home. It was the principal who came to the door of

my apartment and said to my mother, 'I apologize.' My mother had no idea I had been thrown out of school that way. I told her I was sick. And he took me back to school. I looked for him years later…I wanted him to see that I had succeeded…but they never found him…You know what I think I should do….I should try to find his family.

Following that experience, this respondent was placed in a new program for honors level high school students.

There were some incredible teachers in that school. The English teacher was incredible. She would read Shakespeare and make us act Shakespeare. That is how we studied the classics. She took us to Broadway to see a play, The Diary of Anne Frank. I had never been to Broadway. I had no idea there was something called plays. I was mesmerized. I'll never forget the last scene when you can hear the Nazis coming up the step to get Anne. I thought, 'Okay, this is what the rest of the world is like. That was a pivotal moment in my life. Getting into the program, going to see that play, reading the book and recognizing…you can have control of your destiny.

An example of being encouraged was given when one respondent reported after returning to school after a long illness. "So now I'm like the weird kid." They were hesitant to give her physical education, or have her walk up and down the stairs:

Fortunately I think I was lucky that there were a lot of really wonderful nuns, who were very compassionate people who really helped me grow and become a more typical teenager. I did go on to be President of the Student Council at my high school and I loved it. So they really encouraged me, I think, more just to help me get integrated. They were really pushing.

89

Four respondents attended Catholic schools. All four reported that they received a valuable education from the schools that contributed to their discipline, values, and work ethic. One respondent said simply, "There was one teacher, one nun, that was very encouraging and maybe pushed me a little bit." All four reported positive experiences with nuns or brothers. One of those respondent shared:

I went to a Catholic elementary school through grade eight all in one school and then went to a Catholic all boys high school. So the model was a little bit different. It was a fairly traditional education. I don't think I blossomed early. I probably blossomed later as a student….I think by sixth grade I was going through the routine and surviving. I don't think I had my full footings and motivations yet. I see young people today, some of them have it. I don't think I had it quite then. I think it was probably after the sixth grade when I really started.

While another respondent who attended Catholic school reported:

I skipped two grades in elementary school. I enjoyed learning and the whole schooling process. I was one of the smartest kids in the class and won the general excellence award for several years in a row. Then the nuns asked me to assume certain responsibilities so for example, this sounds prehistoric, we used to have somebody write on the board. So I would get sister's notes and I'd have to write them on the board, so I had the best handwriting. And in several classes I was responsible for selling the cookies in the morning. I would collect the money, the whole thing…We didn't have a lot of plays, but when we did, I had a starring role. In the early years they didn't have sports and other ways to show talent, mostly nuns would single students out who were top of the group. I

90

was always there with two other students and would always be vying for who got general

excellence. It was a lot of fun.

This respondent also spoke of the value of learning spelling, being required to memorize, and

knowing math facts automatically as he went on to explain, "There was always an expectation

for excellence. And that was right through my schooling. That was the tradition."

Educators are credited for having influenced many of these respondents. One respondent

reported that by fifth grade, he was being considered for retention. "They promoted me to the

sixth grade and I had a male teacher for the first time. He did wonders for me and he turned my

whole educational career around." This respondent also reported finding out what he was

capable of during his high school years. He discovered he could write well and became a

voracious reader. However, he reported he was reticent, describing himself as laid back and not

feeling like part of a group.

Another respondent talked about a high school teacher who was in charge of the student

government who was "incredibly inspirational and encouraging." He would get out of the way

of good kids and let them do what they thought they could accomplish. This teacher provided

the experiences the respondent credited with helping her strengthen her leadership skills while in

high school.

Alternatively she recounted that a guidance counselor who didn't think this respondent

could get into Yale. However, she reported:

I decided that he didn't know what he should and he didn't respect me and therefore I

was going to ignore him …that's the kind of thing that I trusted my own judgment and

instinct a lot even in the face of contrary data from adults. I don't know where one gets

that. I do think it can be maximized, but I do think you have to come with it, and I was a

very independent person my entire life.

This respondent also moved before entering high school, was placed in all honors classes except

for social studies. The respondent reported that within two weeks the teacher recognized that she

did not belong in his class, but was met with doubt upon entering the new more advanced class.

The action of the new teacher was reported as mean and served as a motivation to prove him

wrong:

> You don't belong here. And he got me sent to an honors social studies class and I
>
> remember walking in...and the teacher said to me, in front of everyone… 'Are you sure
>
> you can handle this kind of work?' And I said to myself that was a mean thing to do. But
>
> I did well and eventually I was invited to join a high school sorority...I soon rose to
>
> become vice president and then president. We did service projects...I learned what
>
> community service meant in those days and it was fabulous.

When reflecting on her response to this situation this respondent reported her belief that we "are

hard wired" to be leaders. She believes we are born with certain talents, interests, and strengths,

but we do not know it until we are given the exposure or the opportunity to discover it:

> It all goes back to how we are wired, and then how the opportunities come forward in life
>
> to enable us to act on that wiring. When I said I had never heard classical music before, I
>
> didn't know that I loved classical music until I had that opportunity. But it needed to be
>
> in me first. I didn't know that I was capable of organizing things until I had a dance to
>
> organize and then I did it.

Early experiences in leadership. This section reports on participation in sports, clubs,

and work as a youth. It should be noted that the participants in this study were reluctant to

identify themselves as leaders. It was easier for them to identify leadership roles in their childhood than it was for them to identify themselves as leaders as adults. However, they cited jobs they held as children as ways in which they developed behaviors that helped learn about working with others and leadership.

All of the participants either participated in activities or sports in school or held jobs. All spoke about the things they learned from their experiences in these activities, sports, or jobs. Several of the male participants made reference to their participation in sports and being recognized for their talents in sports as the possible beginnings of their leadership abilities. One respondent talked about how soccer helped him adjust to a new school in a new country:

> Soccer became my saving grace...I was a good player...and suddenly that became a way to meet people, be visible…I became a hero because we had never won a game against … high school...and suddenly I had celebrity status. It opened up more doors. It didn't make me president of the Student Government but it opened more doors.

The respondent who defined his mother as a 'pusher' in the family reported:

> When I got to the later years she was still pushing in high school. When in high school I did it all. I was captain of the football team and I played three sports. I was a good student but she made me (and I won't say quite hated her for it at the time), but she wanted me to be in speech and debate. So I'd have to play football Friday nights and get up Saturday morning all achy and beat up and go to debate tournaments and things which I actually got pretty good at. But today, and I tell people all the time, of all the youth experiences I've ever had, that probably served me better in my job and career than any other experiences.

93

Another respondent referred to being an average student, but being involved in many sports. He identified his leadership role as the quarterback of the football team and recalled how much he enjoyed that role. While another respondent reported her involvement in many activities but her emergence as a leader came later in high school:

I was pretty active in the Foreign Language Club. I was always in the chorus and was in some theater productions. I would take over at times but many of my friends did the same thing. It probably wasn't until later on that I probably became a leader in school. I was a little bit on the quieter side.

One respondent reported, "I did go on to be President of the Student Council at my high school and I loved it." Another reported "Every school experience to me was fantastic. I think high school gave me the most opportunity to practice my leadership…I learned how to respect the culture of a place." Another respondent shared:

I think that there is the experience of being an adolescent who realized on some level or who felt for whatever reason…you're on your own. You know, in terms of where you're going, what you're doing, the decisions you're making. I think that is part of the way I function as a leader.

Several of the leaders had work experiences that helped them earn money, taught them about people and cultures other than their own. Those experiences also gave them opportunities to learn more about themselves. An example of this was shared by a respondent this way:

I was a newspaper boy, and entrepreneurial as that was, it taught me a lot. You would hop on a bike and deliver 100-200 newspapers, depending on how ambitious you were and going around every Friday and collecting individually from people. It was forty cents if you had the daily plus the Sunday, and you'd hope and pray to God the guy

would give you half a buck and say, 'Keep the change.' So if you made ten cents per person that has a cumulative effect. And then one of my aunts had Christmas cards that she used to sell and I wondered if people on my route would be interested in Christmas cards. So I brought a few boxes along. They went like hot cakes! So I was not only selling newspapers, around Christmas time I sold tons of boxes of Christmas cards and so I split the revenue with my aunt. I guess entrepreneurial kinds of things started early on.

Another respondent referred to several leadership positions held in high school. This respondent noted that he simply seemed to be good at academics and was chosen leader in many of those activities:

I was always involved in school and did a variety of things. I played basketball, tennis, and baseball but I wasn't really good at it. I did have leadership positions as the editor of the school newspaper in high school, the president of the Future Scientists of America Club, I was one of the captains of an academic team where you compete with other schools on academic quiz questions, and I was the valedictorian. So I was clearly seen as a leader of the student body.

However, one respondent answered the question about leadership experiences in her youth by reporting, "In the 1950's, was not about leadership. It was about popularity. It was more important to be accepted than to be a leader."

Summary

This chapter reported evidence of some Level Five Leadership traits from interviews with leaders chosen to be participants in this study. The leadership traits were defined and examples of those traits were presented. Also included in this chapter were the common childhood

experiences reported by the respondents in this study. The following common experiences are also summarized in Figure 2:

- All respondents reported to be either working class or lower middle class during their childhood.

- All respondents reported on lessons from and relationships with parents that were long lasting and had significant impact on who they became as adults.

- The standard for hard work, for many, came from messages and lessons learned from parents.

- Parents also were cited as conveyers of important messages that remain as mantras for the respondents. Examples such as, "Don't be mediocre" or Whatever you do, work hard" were given.

- Respondents were chosen for different roles, such as blackboard monitor, class representative, lead in a play, by a teacher, or chosen to be responsible for a role in the family, and encouraged beyond their own belief in their ability to do something were common experiences reported.

- Respondents reported the feeling of being cared for or protected by a parent, family member, coach, or teacher.

- A common experience of having an extended family, especially grandparents who had an influence on them was reported.

- Grandparents provided opportunities that might not have been offered within the nuclear family. In some cases grandparents offered deep and powerful experiences like the one reported about a summer spent in the segregated south.

- The four respondents who attended Catholic schools all reported a common belief that they benefitted from the values taught, including a sense of discipline and respect for authority.

- All of the respondents reported that they received a clear message from their families regarding the value of education.

The situations reported by the respondents were their own response to the experience and few had an awareness of the response of the adults. As adults, these respondents had a difficult time recalling, or did not know that adults present in their childhood may have been responding to a particular situation. The respondents accepted the behaviors of their parents as normal rather than responsive. One exception was when a respondent clearly explained that her parents responded to each of her challenges with thoughtful responses meant to help the respondent grow past the experience. "My opinion mattered whether it was in the family or in school. My parents listened when I came to them with a problem."

When reporting experiences that were recalled as significant, respondents made direct connections from a situation to a behavior or a value they have as an adult. The leaders in this study responded to their childhood experiences and acknowledged that these experiences and/or responses to those experiences contributed to their development as leaders. All of the leaders reported a belief that the experiences they reported, whether positive or negative, contributed to who they are as adults and leaders.

Figure 2. Affinity Chart of Common Childhood Experiences

Common Childhood Experiences

Family Influence

Parents

Feeling cared for by a parent, family member, coach, or teacher was noted

Lessons from parents were long lasting and had impact on who they became as adults

The standard for hard work, came from messages and lessons learned from parents

Sayings like, "Don't be mediocre" or "What ever you do, work hard" were embraced and remembered

All families lived modestly no matter the family income

The value of an education was communicated

Extended Family

Grandparents, especially grandmothers were valued and had influence

Grandparents provided opportunities that might not have been offered within the nuclear family

The value of an education was communicated

External Influence

School

Catholic schools attendees (4): all attributed their sense of discipline and respect for authority to their schooling

Being chosen for roles with responsibility, and encouraged beyond their own belief in their ability was noted

The following chapter will include a summary of the findings linked to the research questions. It also includes the conclusions of this study and recommendations for further research.

CHAPTER V: Conclusions, Implications, and Recommendations

This chapter includes a summary of the study, an overview of procedures followed, themes that were uncovered from the analysis of interview data, a summary of findings linked to the research questions, and conclusions and recommendations for practitioners in the field of education, medicine, and mental health. Recommendations for future research are also offered.

Summary of the Study

The purpose of this phenomenological qualitative study was to uncover if there were common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of Level Five Leadership qualities in these present day leaders. Collins (2001) defined Level Five Leadership traits after many years of studying successful organizational change. Although childhood experiences of leaders have been researched by scholars, little research exists that connects common childhood experiences shared by leaders who demonstrate Collin's (2001) Level Five behaviors as adults.

This study was designed to answer the following questions:

1. What common childhood experiences do the leaders in this study have?

2. How did the leaders in this study respond to those experiences?

3. How did adults present during those childhood experiences respond?

4. Do leaders in this study report a belief that the reported experiences and/or responses to those experiences contribute to their development as leaders?

This study was based on the extensive research that exists on the history of accepted leadership theories, the work of Madsen (2007, 2008, 2009) and Burns (2003) on childhood experiences of leaders, the work of Bandura (1997) on social agency and the interaction of experiences and learning in humans, the research of Ramey and Ramey (1998) on the concept of

99

biosocial developmental contextualism, and the work of Collins (2001) on Level Five

Leadership. The intention of this study is to contribute to the existing knowledge and body of

work regarding the development of successful leaders by adding information about the

developmental experiences that may contribute to the development of leaders who demonstrate

Level Five traits.

Research Question 1: What common childhood experiences did the leaders in this

study have? The respondents in this research study had many childhood experiences in

common. Every respondent reported that they were raised with a similar value about money.

They all reported living modestly. The respondents recalled having responsibilities as children,

either jobs such as paper routes, or responsibilities in the home, or for themselves. All but one

respondent grew up with siblings. Five of the respondents were the first generation to be born in

the United States. Eight respondents were the first to go to college in their family and all

respondents reported a value for education being taught in their family. Six respondents were

Catholic, six were Jewish, and three were of a Christian faith other than Catholic. Exposure to

diversity was cited as a valuable experience by nine of the respondents. The respondents

reported on challenges faced during their childhoods and their responses. Nine of the

respondents reported on activities in school, including sports that served as their first leadership

roles. Relationships with influential people including parents were reported by all but three of

the respondents. Relationships provided important messages and lessons from parents,

grandparents, extended family, and teachers or coaches. Encouraging messages from parents,

grandparents, extended family, and teachers or coaches were cited as valuable, contributing

factors to the development of their confidence in themselves and their skills as leaders. Lessons

learned from parents, grandparents, extended family, and teachers or coaches were also cited as important.

Respondents reported that they were poor, lower middle class or middle class. Every respondent reported living modestly. The youngest respondent, born in the mid 1950's, who was raised in a suburb, was the only respondent who described a different type of middle class existence. This respondent reported a family life in which the mother was a teacher who stayed at home with the children, and a father who was a lawyer. This respondent did not report having a job as a child and reported a life full of extra-curricular academics, sports, and clubs.

Relationships with siblings were described by all respondents, except the one who had no siblings. Only one respondent was an only child. Six respondents were the oldest siblings in their family. Six respondents were the youngest sibling in their family. Two respondents were the middle sibling in their family. The respondents who were the oldest sibling reported a sense of responsibility and independence that they credited as having come from their order of birth in their family. The respondents who were the youngest sibling in the family reported the experience of feeling protected by or cared about by their older sibling. One of the respondents with older siblings reported feeling inferior to them both from their and his parents' actions. The respondents with older siblings also reported a sense of a standard that had been set by their older sibling that they chose to rise, surpass, or not reach. Birth order, family structure and size, and sibling ages all contribute to personal efficacy (Bandura, 1997). However, none of the respondents identified their sibling as having as direct an effect as their parents, grandparents, or an extended family member had on them.

All respondents grew up with a belief that education was important. Five respondents were the first generation in their family to be born in the United States. Two respondents were

born outside of the United States. Those who were immigrants and those who were the first generation born in the United States expressed the belief in the American Dream and that the opportunities provided for them here were specifically to improve their way of life. Eight of the respondents reported being the first in their family to attend college, all but one of the respondents reported their parents believed in education and expected them to attend college. Bandura (1997) reported that parents whom value education and are supportive of their children's education, affect their achievement.

Four of the six Catholic respondents attended Catholic Schools. They credited their schools, the nuns and brothers, and their families for developing the values about hard work and how to treat people that are embedded in them as adults.

There were six Jewish respondents. Four reported that their lives and families were deeply affected by the Holocaust. These four respondents responded to suffering of their family and the loss of their extended family with lifelong lessons. Their commitment to their smaller, nuclear family was strengthened and they developed a sense of humanity that grew as a result of the inhumanity their families had suffered.

Nine of the fifteen respondents made reference to the value of their experience being exposed to a diversity of people either in their neighborhoods or in the schools they attended or in some other way. One respondent attended Catholic school and had not been exposed to diversity in his schooling, but exposure to different people on his paper route and milk route, and on his trip to school daily taught him about different walks of life.

Ten respondents reported a challenge or trauma faced during their childhood. Growing up in post-war anti-Semitic Poland was a challenge for a Jewish respondent. One respondent noted a reversal of fortune as a challenge, while another noted lack of encouragement by parents

and siblings. Those respondents who moved noted the move as a significant. Six of the seven respondents who moved during their first eighteen years reported learning about other cultures or ways of life in their new setting. One reported the stress the move caused, first for leaving her friends, and then due to the death of her father.

Eight respondents reported having held leadership roles in academic clubs, or sports. Three respondents made specific reference to the leadership role they held on their high school team. Nine respondents (including the three) spoke about the leadership role they held as important to their experience. These nine also reported it was important to them that they were chosen specifically by someone, a teacher, coach, or relative, to take on the responsibility of a leader. One respondent reported that the leadership positions she held in high school were a good venue for her to learn about her leadership ability and reported being voted "Most Likely to Succeed" in her high school yearbook as a signal for what her future would hold for her.

Eleven respondents reported having a relationship with a significant and influential person other than a parent. Respondents specifically mentioned either grandparent or extended family member, teacher or coach. Every respondent made special reference to the lessons learned from people such as parents, grandparents, extended family, or siblings. They also made reference to lessons learned from experiences. The effect of significant relationships was paramount for all respondents. These relationships helped to develop self-confidence, work ethic, love of reading or playing an instrument, and the ability to build and maintain relationships.

Parents played a dominant role for all respondents whether by encouraging, discouraging, setting high expectations, setting no expectations, sending messages about values by saying things, or modeling behaviors. Whether respondents felt connected to their parent(s) or not, the

103

impact made by parents was very important. If there was a limited relationship with a parent, the other parent, a grandparent, or someone in the extended family provided some of what was missing in the relationship with parents. Teachers and coaches were also mentioned as being encouraging, setting high expectations, teaching values and modeling behavior that gave respondents information about how to behave as an adult.

        Research Question 2: How did the leaders in this study respond to those experiences? Respondents reported learning from experiences and messages from their parents. Some messages were actual sayings such as: "Whatever you do, don't be mediocre!" "Anything you want to do is possible!" "Whatever you do, work hard!" "Be a professional!" One leader reported, "I remember my mother saying, 'Get up. You have to go to school. Don't be lazy!' To this day I think about that….get up".

        Respondents reported challenges that required perseverance, understanding and learning. This finding is supported by Madsen's (2007) work studying the childhoods of women university presidents in which she found "The most helpful learning experiences involved challenging and difficult situations or events (e.g. illness, relocation, and fear)" (p. 99).

        Parental expectations included high, and in one, case low expectations for performance. Fundamental values including doing homework, discipline, respect for authority, and supportive behavior were also reported. All of these leaders responded with determination, perseverance, and the will to get an education and do good work. This was true whether the message or experience was perceived as a negative or a positive one.

        Responses to situations and to parents, extended family, teachers and coaches contributed to the development of these leaders. The respondent who reported her mother teaching her that she could do anything and the respondent who reported being embarrassed and upset by the

actions of his teacher both responded by learning from the situation and embracing the lesson as they developed as adults. There appears to be a dynamic interaction between who they were, how they handled the situation, and what they learned from it. This finding is supported by the work of Ramey and Ramey (1998). They described biosocial developmental contextualism as the complex and dynamic system that is reciprocal and interdependent while influencing development.

Two respondents reported that the time they spent alone as children served to develop their skill of being able to spend time alone and thinking. One respondent was left alone because he was not considered as smart as his older sibling, and was often left to entertain himself. The other respondent who was left alone at home for a year with an illness while her parents went to work. Both reported they developed an ability to be alone, to think, and to imagine as a result of these experiences as children. Both of these respondents reported that the ability to be alone, to think, and to daydream as adults is an important skill that contributes to their leadership behaviors especially when problem solving.

Two respondents did not have the encouragement and support that the majority of the respondents reported. However, both respondents became leaders, raising a question about the role of parent involvement on leadership development. One respondent with parents who, according to her recollection, had little interest in her schooling and who failed to encourage her, reported about her father's interest in reading the newspaper about politics and social issues. She credits his modeling of those interests as an important contribution to whom she became as an adult and a leader. One respondent recalled how his older parents who had never attended school events were present at his best three games. He attributed this to how important his

father's presence was to him and recalled these games in detail fifty years later. Both sets of parents were not encouraging and not present at most or all activities.

Moving the primary home had an impact on seven of the respondents. Their families moved during their school age years before the age of eighteen. All seven respondents reported about the adjustments they had to make in response to those moves. The experiences exposed them to groups of people who were different from themselves and situations that were different from what they were used to. One respondent explained it as having to make cultural, academic and social adjustments moving from the United States to Europe in the third grade and back to the United States in the sixth grade. This respondent gave credit to the experiences he had when moving as being contributing factors in his ability to read and understand the culture of organizations he worked in and led. Similarly, a respondent who moved to a new neighborhood and school was told that she did not dress properly, gained appreciation for the importance of learning about the culture of the environment in which she leads. The respondent who moved to a safer neighborhood because his mother did not want him to become involved with the wrong crowd learned about people from different cultural backgrounds. He recognized the value of this experience as it taught him about how to relate with all people as an adult. Every respondent reported a belief that education was the route to advancement, whether it was to leave the community they were in to better themselves, or to return to communities like they were raised in to help others. All the respondents credited adults in their lives for teaching them the value of education.

Research Question 3: How did adults present during those childhood experiences respond? Respondents shared a variety of memories regarding the adults present in the early lives of the leaders in this study and the responses of those adults to experiences. Some

respondents described a direct action taken by an adult in response to a situation. While others had little awareness that the adults may have been responding to a situation, and merely were functioning as usual. Respondents found this a challenging question and often did not have an immediate reply to the question about the adults' response. It was a question that required them to stop and think in order to view the memory of the adults' behavior as a response to something.

The adults' responses reported ranged from being actively engaged in developing solutions to challenges, to being disengaged and leaving the respondent with no memory of their actions. When one respondent reported being sent home from school because the teacher did not believe she belonged there, she recalled her principal responding by coming to the house and telling her and her parents that she most certainly belonged in school and brought her back. That respondent reported it changing the trajectory of her life. In this case, one man's actions changed the course of this respondent's life. Another respondent shared memories of her parents responding to her fear of kindergarten, her trauma after having her tonsils removed, and her estrangement from her friends by going to counseling, engaging her in new activities, lessons and experiences. Another respondent reflected that his mother was concerned about his becoming involved with the wrong crowd and responding by moving to a safer neighborhood. Another way an adult responded to experiences was in the way one parent wanted her son to be able to do better than she and his father had done. This respondent referred to his mother as a "pusher." She always pushed him to become involved in activities in school, even ones he had little interest in. Her response to their situation was to encourage and "push" him to be able to live a better life. When one respondent reported her father dying and asked how the adults in her life responded, she shrugged. These findings are supported by the work of Unger (2010) and

Madsen (2007) who reported on how stressful experiences can contribute to positive development.

The leaders' recollections of whether a parent was perceived to be warm and loving or cold and removed did not affect the ability of the respondents to grow up to be a leader with Level Five Leadership traits. However, the interview data indicated that the responses of the parents to the needs of the child did offer lessons in personal agency. This is supported by the work of Bandura (1997) who stated that as early as infancy, personal agency is the response of the environment to the actions of the child. The recollections of the respondents cannot possibly reach back to infancy so we cannot know the nature of the initial interactions between parent and child. However, the development of personal agency was evident as the respondents reported being confident and having a relationship with someone who encouraged them.

There were three respondents who reported not having strong relationships with their parents. In those cases grandparents offered at least part of what the respondent felt was missing from their parents. Extended family, teachers, and coaches were given credit by respondents for helping them develop self-confidence and offering them opportunities to discover talents and skills in themselves. Those relationships substituted, at least in part, for what was perceived to be missing from their parents. Fallon's (2007) work speaks directly to the importance of the relationship between student and teacher. Those respondents who reported educators being important in their lives support Fallon's (2007) finding that:

> School leadership, learning paradigms, and hiring should focus on student-centered approaches that require collective efficacy, teachers becoming significant others in their student's lives, and the development of resiliency in student intellectual attitudes (p. 73).

Research Question 4: Do leaders in this study report a belief that these experiences and/or responses to those experiences contribute to their development as leaders? Most respondents indicated that they had not had the opportunity to reflect on their childhood experiences and this was a unique opportunity for them. The respondents were thoughtful and indicated in many cases that they had not thought about things in this way before and gave responses such as, "I haven't thought about that in years" or "I never realized that before." At the end of the interview when asked if they made any connections to the experiences they had just shared and their leadership skills as adults, many responded they did not really know. However, those respondents who had worked as youngsters, or were the captain or president of a high school team, connected their leadership experience as youngsters with their developed skills as an adult. Upon reflection, some were able to connect, even if for the first time, that an experience may have taught them how to treat people in a certain way, or how not to; how to act or dress, or how not to; how to respond to situations, or how not to. A theme that was uncovered in each interview was about relationships and how to build and maintain them.

Themes

All of the respondents described their economic status as children as lower, lower middle, or middle class. No respondent described being without food or shelter, and no respondent reported his or her parent(s) being unable to find work. All respondents that reported having jobs during their childhood explained that it was in order to be able to do anything like going to a movie or buying clothes. Those who did not work, however, also described a modest life style.

The most noteworthy common experiences described by the respondents were the important lessons learned from parents, extended family, sibling, coaches or teachers. For some, lessons came as mantras or phrases that remained in the respondents' minds, even to this day that

109

drive how they behave. Some of those phrases were, "Whatever you do, don't be mediocre" and "Anything you want to do is possible" and "Whatever you do, work hard" and "Be a professional." Lessons were learned from encouragement and support as part of a family practice. One example came from the family in which the mother was described as a "pusher" while the father was described as the model of a man a respondent aspired to become. Interview data suggested that another common lesson was drawn from the level of responsibility entrusted to them by an adult. These responsibilities left an impression on the respondents, whether it came from giving them a responsibility, as was the case with the respondent whose grandmother entrusted him with collecting rent from tenants, or taking care of younger sibling, as was the case with the respondent whose father died and whose mother had to work to support the family. These experiences helped to develop a sense of responsibility and self-confidence in these respondents. This finding is supported by Burns' (2003) research that reported the most important influences on the shaping of leaders occurs mostly in their early years.

Parents' responses to situations were important to these respondents. There were parents who were reported to be responsive to situations and who made efforts to respond to situations in order to make things better for the respondent. One example of that is the parent who moved to expose her son to a safer neighborhood. Another set of parents went to counseling to find out how to help their daughter through a difficult time. Whether the respondent reported a direct and positive response, or a negative or non-response, each leader took a lesson away from the situation.

A common element of the early lives of leaders in this study is they grew up in homes with both parents present. All but one respondent grew up in a two-parent household with one mother and one father. All respondents referenced the role of at least one of their parents in

110

modeling behaviors that they chose to emulate as an adult or as a model of how they did not want to be as an adult. Almost all respondents' parents encouraged them or exposed them to experiences that resulted in them learning more about life, or acquiring skills that have helped them in their lives. Those experiences were in academics, extracurricular, sports, or work.

All respondents in this study learned values, behaviors, and beliefs from these experiences that developed them as leaders. This is supported by the work of Bandura (1997) who stated when parents believe they can influence their child's capacity through high standards, they directly influence academic aspirations and prosocial relationships.

All shared the experience of success in school as children. The success in school these leaders experienced provided the foundation for their continued education and ultimately their career choices. Thirteen respondents have earned doctorates, and the other two have completed graduate work beyond their masters degrees. The confidence and perseverance the leaders in this study developed in response to the experiences they had as children, provided the foundation for them to continue their education. The efficacy they perceived as children contributed to their choice of career. All respondents in this study are leaders. Two respondents are not in the field of education. However, all respondents lead organizations that improve the quality of life for others. This finding is supported by the work of Bandura (1997) who reported a child's perception of their efficacy affects their choice of career and Mumford & Stokes (as cited in Mumford et al., 1993) who reported that background data measures seek to identify the developmental antecedents of performance.

Eight leaders specifically defined the way they view the world in a similar way. They described themselves as people who see what can be and work towards that vision, while building the team to accomplish it. One respondent reported it this way: "The way I interact

with the world and take in information is by taking it in as part of the possibilities that it enables rather than taking it in as data in the here and now. I live in the future. I live in the world of possibilities. I still do."

Conclusions

This researcher determined that all of the respondents in this study demonstrated some Level Five Leadership traits. The intent of this study was to explore the question about what was similar about the first eighteen years of their lives. The fifteen leaders included in this study came from a variety of different backgrounds and ages ranging from fifty-four through seventy-five at the time of the interview. Each of the respondents interviewed were generous with their time, interested in hearing about the purpose of the study, and appeared to be comfortable sharing private information about their lives growing up in their families.

The interview data revealed that there were childhood experiences, responses to those experiences, and experiences of others that these leaders had in common. Those experiences and the responses to them indicate that these may be considered predictors or precursors to Level 5 Leadership traits in adults. All respondents reported having a home life that was consistent in the routine that provided for them whether the respondent reported having a close and loving relationship with their parents or a distant or contentious relationship with their parents. Those respondents whose parents were educated experienced conversations in the home that provoked thought and taught them about the world beyond their experience, as well as setting the bar high for their own educational goals. Respondents whose parents were not educated experienced being encouraged to take their studies seriously and take advantage of all they could in school.

All of the respondents were raised in an environment that developed values for hard work, good work, and caring deeply about the human condition. There were grandparents or

112

extended family members who contributed to their values. Those respondents who worked in their youth credited that experience with teaching them about people, responsibility, and the good feeling that comes from hard work. All of the respondents were affected by experiences when they were believed in, encouraged, and supported by a parent, grandparent, extended family member, teacher or coach.

This study uncovered some experiences not shared as well as the ones that were shared. Even the disparate experiences shared common results. All respondents learned similar lessons from their experiences. They learned humility, understanding, empathy, the value of hard work, and an understanding of people, who they are, and how they think.

One respondent made many references to being "hard wired to be a leader." While another respondent made many references to not knowing where it comes from in her because her home was not encouraging or warm. Perhaps the answer can be found in that intangible idea that we are born a certain way. Ramey & Ramey (1998) and Bandura (1997) stated that we are all born with certain attributes and the environment, those in it, and our response to it all play a role in the person who we become. Bass (1997) stated that leadership is affected by many factors including heredity.

All of these respondents had different experiences ranging from living in a safe and encouraging religious Catholic home in the United States, to living in a one bedroom apartment in anti-Semitic post-war Europe. Although they had divergent experiences, the result was the development of leaders with Level Five Leadership traits.

Although there were many common childhood experiences noted in this study, what stands out as the most common experience these respondents shared was their response to the environments and experiences. They all responded by having a deep and enduring value for

education, for being kind and caring about people, for improving a situation for others, and for making a difference in the world.

Recommendations

The purpose of this qualitative study was to explore if there are common childhood experiences, responses to those experiences, and responses from others to those experiences, related to the development of leadership qualities in selected leaders. There were, in fact, many childhood experiences and responses to those experiences participants had in common. Therefore, this study raises an important question for schools. Is it possible for our schools to analyze the facets of the childhoods of successful leaders and duplicate some of those behaviors and experiences to make up for those missed by the children who lack the experience in their homes?

Recommendations for system leaders and scholars. The findings of this study revealed that the leaders who participated did have common childhood experiences. These experiences were noted by respondents as having an effect on their leadership skills as adults. System leaders of educational institutions should consider including behaviors and values reported by the leaders in this study in the daily practice of the professionals they lead. This may result in more young people having the opportunity to experience those behaviors that the respondents noted in this study as a precursor to their leadership skills. Those behaviors include:

- having high expectations;
- exposing students to life experiences that may be challenging;
- encouraging students to take risks and providing the support to help them if needed;

- modeling of behaviors and values such as confidence, being humble, living modestly, valuing education, interests in areas such as theatre, reading, politics;

- attending performances of students, including sports, to demonstrate support, and

- allowing students to experience challenges rather than attempting to protect them.

Leaders involved in the development of pre-service programs for new teachers should consider developing programs that include the teaching of these particular behaviors to be included in the program of study. This would help to prepare young teachers with the knowledge and skills to aid all students in the development of those behaviors that can result in Level 5 Leadership traits being present as adults.

More leadership scholars should consider the importance of life experiences as a predictor of leadership qualities. If we are to consider leadership as a personal quality, then the development of these qualities are rooted in our own growth and development. Collins (2001) reported on leaders' attributes, not skills. Since leaders cited by Collins (2001) shared these personal attributes that were classifiable, then we might conclude attributes were developed over time, beginning in childhood. This concept is supported by the work of Madsen (2007, 2008, 2009) who found that there were, in fact, common childhood experiences shared by the women university presidents and women governors she studied.

Avolio et al. (2009) reported parenting style affects the child's accession to leadership. Childhood development experts should consider encouraging parents to understand the behaviors that may undergird the positive growth and development of children as future leaders with Level 5 Leadership traits.

Recommendations for future research. Recommendations for the use of this study's findings and for practitioners' further research include the following:

A study should be conducted by educators, using the results of this study, to replicate behaviors and values identified in this study, for school personnel to implement in their practice. This has the potential to result in all students having the advantage of the behaviors and values reported in this study, which may serve as a foundation for potential leadership capacity.

This study was done with leaders in business, k-12, and post-secondary education in the northeastern section of the United States. A larger study replicating this one, including a larger sample may result in a strengthening of the findings of this study. In addition, a study, replicating this one, using a different theory of leadership could serve to strengthen the findings of this study.

The leaders in this study were born between 1936 and 1955. The economic and political times, and the family unit structure in those years may be considered different than present times. Another study including leaders born after 1955 could provide information about whether the findings transcend the decades and remain the same. This too may result in a strengthening of the finding of this study.

Today's pediatricians are no longer faced with the challenges of diseases such as polio or measles. In addition to the health issues they do treat, they now have patients who present with developmental and behavioral issues and often counsel parents on methods of child rearing. Obstetricians and pediatricians should conduct a study to determine ways in which they could collaborate and make the education of parents in child raising methods that support the development of learning and leading part of their routine practice.

Summary

The study of common childhood experiences that leaders with Level Five Leadership traits possess has far reaching implications. These implications include the study of child rearing and

parenting, mental health, the design of our schools, activities and opportunities for children, and the potential re-definition of the common understanding of leadership development. The need for successful leadership is evidenced by the growing public outcry for improved government, education, and organizations, both public and private. Collins (2001), in his search for the reasons why certain companies transformed from good to great, discovered they all had leaders with common traits during times of change. These traits are behaviors that include values. Level 5 Leadership behaviors demonstrated by the respondents in this study were:

- demonstration of humility and will;

- valuing people and know what roles they should play in the organization;

- being willing to confront the brutal facts in order to define the work that needs to be done;

- moving forward without using random strategies, using only the one that move the organization forward, and

- being driven.

These are all behaviors that embody good leadership on an organizational level, and on the human level as well. Collins (2001) reported

> That good is the enemy of great is not just a business problem. It is a *human* problem. If we have cracked the code on the question of good to great, we should have something of value to any type of organization. Good schools might become great schools (p. 16).

The childhood experiences identified by the respondents in this study were mostly focused on parents, grandparents, siblings, extended family, and challenging experiences that they shared. If we accept that only some people can become Level 5 Leaders because of the families or circumstances they may have been born into, we are doing a disservice to our children and

117

their futures. Doctors should counsel parents and educators to develop opportunities for all children to experience. The experiences that this study identified as shared included:

- a consistent home life;

- encouragement to get an education;

- modeling of positive social behavior;

- demonstrating the value of hard work;

- sharing interests in such things as music, reading, politics, and sports;

- participation in extra-curricular activities;

- high standards and expectations;

- encouragement and support;

- being believed in;

- learning from challenging and difficult situations, and

- understanding others.

The findings of this study supports previous research that states early life experiences influence leadership ability. This study concluded that the Level 5 and other leadership traits according to Collins (2001) present in the leaders who participated in this study were preceded by common childhood experiences. Therefore, the replication of these experiences in a wider arena, including schools, is paramount. It becomes a question of equity for all children. We have an obligation to demonstrate identified behaviors and create identified experiences for all children in order to create the potential for leadership beyond the luck of being born in to certain circumstances. Since we know that behaviors and experiences from childhood influence leadership development, it is our duty to extend those preparatory experiences to those who do not have homes that develop leadership skills and reinforce those children who do.

References

Ashley, C., & Oliver, J. (2010). Creative leaders. *Journal of Advertising, 39*(1), 115.

Avolio, B. J., Rotundo, M., & Walumbwa, F. O. (2009). Early life experiences as determinants of leadership role occupancy: The importance of parental influence and rule breaking behavior. *The Leadership Quarterly, 20*(3), 329-342. doi: 10.1016/j.leaqua.2009.03.015

Bandura, A. (1997). *Self-efficacy*. New York: W.H. Freeman and Company.

Basadur, M. (2004). Leading others to think innovatively together: Creative leadership. *Leadership Quarterly, 15*(1), 103.

Bass, B. M. (1997). Does the transactional-transformational leadership paradigm transcend organizational and national boundaries?. *American Psychologist, 52*(2), 130.

Bass, B. M., Avolio, B. J., Jung, D. I., & Berson, Y. (2003). Predicting unit performance by assessing transformational and transactional leadership. *Journal of Applied Psychology, 88*(2), 207. doi:10.1037/0021-9010.88.2.207

Bass, B. M., & Bass, R. (2008). *The Bass handbook of leadership* (Fourth ed.). New York: Free Press.

Bennis, W. (2009). *On becoming a leader*. Philadelphia: Basic Books.

Burns, J. M. (2003). *Transforming leadership*. New York: Grove Press.

Burns, J. M. (1978). *Leadership*. New York: HarperCollins.

Collins, J. (2001). *Good to great*. New York: HarperCollins Publishers Inc.

Creswell, J. W. (2007). *Qualitative inquiry & research design* (Second ed.). Thousand Oaks, California: Sage Publications, Inc.

Fallon, P. D. (2007). Nexus aliquis: In pursuit of efficacy, resilience, and full potential. *Adolescence, 42*(165), 73-101.

Friedman, T. L. (2005). *The world is flat*. New York: Farrar, Straus and Giroux.

Gall, M. D., Gall, J. P., & Borg, W. R. (2007). *Educational research*. New York: Pearson.

Gallos, J. (2009). Creativity forums: Learning from the lives of extraordinary leaders. *Organization Management Journal, 6*(2), 76.

Gardner, H. (1995). *Leading Minds.* New York: BasicBooks.

Hartog, D. N. D., Van Muijen, J. J., & Koopman, P. L. (1997). Transactional versus transformational leadership: An analysis of the MLQ. *Journal of Occupational & Organizational Psychology, 70*(1), 19-34.

Hagel, J., & Brown, J. S. (2005). Innovation at the edge. *Computerworld, 39*(22), 38-38.

Harris, A. (2008). Leading innovation and change: Knowledge creation by schools for schools. *European Journal of Education, 43*(2), 219.

Heifetz, R. A. (1994). *Leadership without easy answers*. Cambridge, Massachusetts: Harvard University Press

Hennig, M., & Jardim, A. (1977). *The managerial woman*. New York: Doubleday.

Kotter, J. P., & Cohen, D. S. (2002). *The heart of change*. Boston: Harvard Business School Press.

Kvale, S., & Brinkmann, S. (2009). *Interviews Learning the craft of qualitative research interviewing*. Thousand Oaks, California: Sage Publications, Inc.

Ligon, G. S., Hunter, S. T., & Mumford, M. D. (2008). Development of outstanding leadership: A life narrative approach. *The Leadership Quarterly, 19*(3), 312-334. doi: 10.1016/j.leaqua.2008.03.005

Madsen, S. R. (2009). *Developing leadership*. New York: University Press of America.

Madsen, S. R. (2008). *On becoming a woman leader*. San Francisco: Jossey-Bass.

Madsen, S. R. (2007). Developing leadership: Exploring childhoods of women university presidents. *Journal of Educational Administration, 45*(1), 99.

Matthew, C. T. (2009). Leader creativity as a predictor of leading change in organizations. *Journal of Applied Social Psychology, 39*(1), 1-41. doi:10.1111/j.1559-1816.2008.00427.x

Merriam, S. B. (2009). *Qualitative research*. San Francisco: Jossey-Bass.

Montgomery, C. A., & Porter, M. E. (1990). In Montgomery C. A., Porter M. E. (Eds.), *Strategy seeking and securing competitive advantage* (11th ed.). Boston: Harvard Business Review.

Mumford, M. D., & Connelly, M. S. (1991). Leaders as creators: Leader performance and problem solving in ill-defined domains. *The Leadership Quarterly, 2*(4), 289-315. doi: 10.1016/1048-9843(91)90017-V

Mumford, M. D., O'Connor, J., Clifton, T. C., Connelly, M. S., & Zaccaro, S. J. (1993). Background data constructs as predictors of leadership. *Human Performance, 6*(2), 151.

Mumford, M. D., & Owens, W. A. (1987). Methodology review: Principles, procedures, and findings in the application of background data measures. *Applied Psychological Measurement, 11*, 1. doi:10.1177/014662168701100101

Murphy, S. E., & Johnson, S. K. (2011). The benefits of a long-lens approach to leader development: Understanding the seeds of leadership. *The Leadership Quarterly, 22*(3), 459-470. doi: DOI: 10.1016/j.leaqua.2011.04.004

Northouse, P. G. (2001). *Leadership theory and practice* (second ed.). Thousand Oaks, California: Sage Publications, Inc.

Phillips, D. T. (1997). *The founding fathers on leadership*. New York: Hachette Book Group.

Phillips, D. T. (1992). *Lincoln on leadership*. New York: Hachette Book Group.

Putnam, R. D. (1996). Tuning in, tuning out: The strange disappearance of social capital in America. *PS, Political Science & Politics, 28*(4), 664-664. Retrieved from http://search.proquest.com/docview/224969063?accountid=13645

Ramey, S. L., & Ramey, C. T. (2000). Early childhood experiences and developmental competence. In S. Danziger, & J. Waldfogel (Eds.), *Securing the future: Investing in children from birth to college* (pp. 122). New York: Russell Sage Foundation.

Ramey, C. T., & Ramey, S. L. (1998). Early intervention and early experience. *American Psychologist, 53*(2), 109.

Rose, R. J. (1995). Genes and behavior. *Annual Review of Psychology, 46*(1), 625.

Sahgal, P., & Pathak, A. (2007). Transformational leaders: Their socialization, self-concept, and shaping experiences. *International Journal of Leadership Studies, 2*(3), 263-279.

Saldana, J. (2009). *The coding manual for qualitative researchers*. Thousand Oaks, California: Sage Publications, Inc.

Sample, S. B. (2002). *The contrarian's guide to leadership*. San Francisco: Jossey-Bass.

Seidman, I. (2006). *Interviewing as qualitative research*. New York: Teachers College Press.

Stoll, L., & Temperley, J. (2009). Creative leadership: A challenge of our times. *School Leadership & Management, 29*(1), 65-78. doi:10.1080/13632430802646404

Turner, D.,III. (2010). Qualitative interview design: A practical guide for novice investigators. *The Qualitative Report, 15*(3), 754.

Tinelli, A. (2000). *Leaders and their learnings: What and how leaders learn as they transform organizations.* (Doctor of Philosophy, Virginia Polytechnic Institute and State University). Retrieved from http://scholar.lib.vt.edu/theses/available/etd-04202000-19240020/unrestricted/ATtry4.pdf

Unger, M. (2010). Families as navigators and negotiators: Facilitating culturally and contextually specific expressions of resilience. *Family Process, 49*(3), 421-435. doi:10.1111/j.1545-5300.2010.01331.x

Yin, R. K. (2011). *Qualitative research from start to finish*. New York: The Guilford Press.

Appendix A

Sage Graduate Schools EDUCATION HEALTH SCIENCES MANAGEMENT

School of Health Sciences --- Office of the Dean
45 Ferry Street
Troy, NY 12180
www.sage.edu --- 518-244-2264

February 14, 2011

Jill Berkowicz
Director of Curriculum and Instruction
Spackenkill UFSD
11 Croft Road
Poughkeepsie, NY 12603

IRB PROPOSAL # 10-11-040
Reviewer: Susan C. Cloninger, Chair

Dear Ms. Berkowicz:

The Institutional Review Board has reviewed your application and has approved your project entitled "Common Childhood Experiences and Responses Related to the Development of Leaders of Change." Good luck with your research.

When you have completed collecting your data you will need to submit to the IRB Committee a final report indicating any problems you may have encountered regarding the treatment of human subjects

Please refer to your IRB Proposal number whenever corresponding with us whether by mail or in person.

Please let me know if you have any questions.

Sincerely,

Susan C. Cloninger, PhD
Chair, IRB

SCC/nan

Cc.   Dr. Robert Bradley

To Be. To Know. To Do.

124

10 G Squires Gate
Poughkeepsie, New York 12603
berkoj@sage.edu
914-475-7435

January 25, 2011

Dear …

I am studying in the Sage Graduate Schools' Educational Leadership Program and would truly appreciate your participation in a study for my dissertation on whether there are childhood experiences that leaders have in common and if there is a relationship between those experiences and their leadership skills. Dr. Judith Fox suggested I contact you since I have identified you as a successful leader in your field and would like to invite you to participate in my doctoral research about leadership.

We have an overwhelming need for skilled leaders. The intent of this study is to explore common childhood experiences of successful leaders and categorizing them. In order to develop a larger pool of potential leaders for the future, this and future research may be able to provide information that could make recommendations to schools about leadership development. Your participation in this study will provide important information.

I will be interviewing established leaders in the fields of k-12 education, post-secondary education and business. A minimum of six leaders will be interviewed. The interview will take place at a convenient place for you, such as your office, or by Skype. These interviews will take place during the first months of 2011 and should take about one hour. I will be recording the session because I do not want to miss any of your comments. If at any time during the interview you wish to pause, or end the interview, your request will be immediately honored.

All responses will be kept strictly confidential. Any information I include in my report will not identify you as the respondent. After the interview is transcribed, I will forward it to you for review for accuracy before the analysis of the findings takes place.
I hope you are willing to participate in this interview and I am looking forward to hearing back from you soon. Again, thank you for your help.

Sincerely,

Jill Berkowicz

Appendix C

Informed Consent Form

To:

   You are being asked to participate in a research project entitled**:**
   Common Childhood Experiences and Responses Related to the Development of Leaders of Change

This research is being conducted by**:**

Student Investigator: Jill Berkowicz, Doctoral Candidate, Sage Graduate Schools

Principal Investigator: Robert Bradley, Associate Professor of Education, The Sage Colleges

<u>**Purpose of the research study**</u>:

The intent of this qualitative study is to explore if a relationship exists between common childhood experiences, responses to those experiences, and the development of leadership skills. This study will explore themes that exist in the childhood experiences and responses to those experiences in the lives of leaders. The purpose of the study is to identify common experiences and behaviors present in the childhood of leaders and characterize those experiences to uncover whether a relationship exists between those experiences, the responses to them and leadership development.

<u>**The nature and duration of subject's participation and procedures**</u>

Face-to-face interviews will be conducted with a minimum of six leaders chosen from k-12 and post-secondary education and business.

Participants in this study will be interviewed by the researcher for approximately one hour, answering a series of questions related to childhood experiences and their relationship to the development of leadership skills. The interviews will be conducted at an agreed upon location most convenient for the participant. For the purpose of data analysis, the interviews will be digitally recorded by the researcher and later transcribed a transcriptionist whose procedures and my contractual agreement with them protect the confidentiality of participants.

The data gathered from interviews will remain confidential throughout the study. The name of the participant will not be attached to any of the responses; a pseudonym will be assigned for the purposes of reporting the results of the study. All electronic information will be stored on password-protected computers and hard copies of data will be kept in a locked filing cabinet. Only the researcher and members of the dissertation committee will have access to the study data. There will not be any identifying names on the digital recording. After the completion of

the dissertation, the recordings will be destroyed. The results of the research will be published in a typed document and may be published in a professional journal or presented at professional meetings.

It is intended that the information gathered from this study will lead to a better understanding the contributing factors of specific childhood experiences to leadership ability. In addition, depending on the findings of the study, recommendations may be made for changes in k-12 curriculum for leadership development.

Benefits of participation

There is much discussed in the media and in the literature about the speed with which things change and the need for leaders to be prepared to lead the needed change in all areas of education and business. The study of leadership has yielded information about the skills and abilities required. While the study of the childhood of leaders has suggested that there are certain similarities between the experiences of leaders, this research intends to uncover specific types of experiences that may be shared, and the connection the leader makes between those experiences and their leadership abilities. By participating in this study, the participant is providing information that may ultimately benefit all children by providing guidance about the types of experiences they may benefit from having, giving more children the potential to grow into leaders.

Digital Recording of Interview

For the purpose of data analysis only, the interviews will be digitally recorded by the researcher and later transcribed. The recording will be played in the home of the researcher and in the office of the transcriber who has signed a confidentiality agreement. The interviews will be conducted at a location and setting that is mutually agreed upon by the participant and the researcher.

I give permission to the researcher to play the digital recording of the interview in the places described above. Put your initials here to indicate your permission.
_____

Potential risks of participation

This study is considered a minimal risk study. The study is categorized as such in the event that participants feel any stress during the interview. Participants have the right to stop and/or withdraw from the study at any time, should they feel uncomfortable.

Should the participant become uncomfortable during the interview as a result of answering questions or after reading the transcript and the participant indicates discomfort to the researcher, the following steps will be taken. The researcher will respond by suggesting that the interviewee may wish to speak with someone of his or her own choosing to discuss those feelings in greater depth. If this occurs during the interview, the interviewer may also stop the interview.

In the event that any participant is harmed by participation in this study, compensation and/or medical treatment is not available from The Sage Colleges. However, compensation and/or medical costs might be recovered by legal action.

Participation is voluntary, I understand that I may at any time during the course of this study revoke my consent and withdraw from the study without any penalty.

I have been given an opportunity to read and keep a copy of this Agreement and to ask questions concerning the study. Any such questions have been answered to my full and complete satisfaction.

I, …, having full capacity to consent, do hereby volunteer to participate in this research study.

Signed: _____

Research participant

This research has received the approval of The Sage Colleges Institutional Review Board, which functions to insure the protection of the rights of human participants. If you, as a participant, have any complaints about this study, please contact:

       Dr. Esther Haskvitz, Interim Dean
       Sage Graduate Schools
       School of Health Sciences
       45 Ferry Street
       Troy, New York 12180
       518-244-2264
       haskve@sage.edu

revised 7/10

Appendix D

Framework and Questions

As an adult

1. Can you identify a transformational change that made a difference in an organization you have led?

2. How did you determine the need for this change?

3. What steps did you take in order to set the change in motion?

4. How did you get others to join you in this change?

5. Has this change become the standard for the organization?

6. Why do you think you were successful in this transformational process?

7. How would you define yourself both personally and professionally with regard to the label of leader?

8. What do you enjoy being a leader?

9. What skills and abilities do you believe leaders must have?

10. What circumstances led you to become a leader?

11. How would others describe you? (colleagues and subordinates)

Ages: 0-11 (This first group of questions is focused on your first eleven years)

1. Where did you grow up? Can you describe the type of environment in your hometown?

2. What did your parents do for a living? What was their educational background? How would you describe them?

3. How would you describe the economic status of your family as a child?

4. Did you grow up with siblings? Looking back, do you think your siblings had any influence on your development and if so, how?

5. How would you describe your relationship with your sibling(s)?

6. What was it like growing up in your home?

7. Did you have extended family? If so, who they were and how would describe the roles they played?

8. How would you describe your early school experiences, your responses to them and the significance of them?

9. How would you describe activities you took part in during your childhood e.g., sports, 4-H, dance, art, plays, choir, clubs, places of worship?

10. During this period of time who would you describe as influential in your development (as a leader?)

11. Have you identified specific significant events as contributing to your development? If so, would you mind sharing them and how you responded to them?

12. Tell me about a time when you experienced challenges and opportunities during these years. How did you respond to them? How did those around you respond to them?

13. How would you describe your childhood personality?

14. During these years did anything change in your life? For example, did you move? Did you have any experiences you consider as significant? Can you talk about changes and your response to those changes that may have taken place e.g. family structure or situation, hometown location, responsibility during these years?

Ages: 12-18 (This next set of questions focuses on your teen years from twelve through eighteen years of age)

1. During these years did anything change in your life? For example, did you move? Did you have any experiences you consider as significant? Can you talk about changes and

your response to those changes that may have taken place e.g. family structure or situation, hometown location, responsibility during these years?

2. What extracurricular activities did you took part in outside of school? How would you characterize them?

3. During these years did you work in either paid or non-paid/service? How would you portray these experiences?

4. If you held leadership positions, (both formal and informal) can you talk about your reasons for seeking them? And your experience with them?

5. Who were influential individuals e.g., parents, relatives, neighbors, teachers, members of your religious group, coaches, friends, role models, mentors.

6. How would you describe your secondary school experiences and the role they played in your development? Who were the people who influenced you and how?

7. Can you report about any specific influential, meaningful, life changing events? Include influence on leadership development, leadership training and education, stories, challenges and opportunities.

8. Did you experience challenges and opportunities during these years. How did you respond to them? How did those around you respond to you?

9. Did you receive any awards, recognitions, and titles?

10. Did you have any experiences that revealed leadership, personality, self-esteem, strengths, learning preferences, important values, work ethics etc.?

11. Were you aware of events, individuals, leading change, people skill development that may have influenced you?

12. Are there any people you knew or events you experienced that, upon reflection you might credit with your development as a leader?

After asking the questions on childhood, I'd like to ask if they have anything to add and/or anything to add specifically to the first 13 questions.

One follow-up question will be:

1. Is there anything you can add that you think may be important?

Any time a question is being answered, subjects may be asked probing questions when more information is sought or a more detailed answer might be available. Such questions be similar to:

"Can you explain further?" "Can you tell me more about that?" "Can you describe that with more detail?"

Appendix E

December 6, 2010

Jill Berkowicz
10 G Squires Gate
Poughkeepsie, New York

Dear Mrs. Berkowicz:

I have received your request to use the interview categories I included in my book, *On Becoming a Woman Leader: Learning from the Experiences of University Presidents* (found in the Appendix on pages 291-292). I understand that you will be basing your interview questions on the first three categories:

1. Personal Information
2. Childhood
3. Youth

I am thrilled you are using this framework, and I am happy to give you permission to use these categories. I wish you the best of luck with your research and look forward to reading your work in the near future!

Susan R. Madsen

Susan R. Madsen
Professor of Management
Orin R. Woodbury Professorship in Leadership and Ethics
800 West University Parkway, MS 119
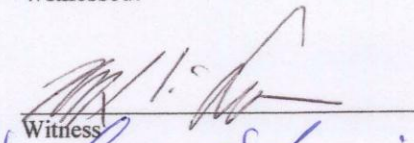Orem, UT 84058-5999
(801) 863-6176
madsensu@uvu.edu

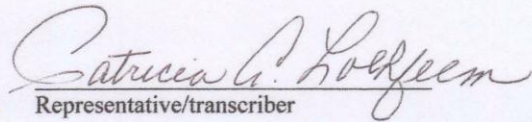**Transcription Confidentiality Agreement**

Agreement and acknowledgement between Pat Loehfelm (transcriber) and <u>Jill Berkowicz</u> (client/researcher).

The Client has or shall furnish to Pat Loehfelm certain confidential information, all on the following conditions:
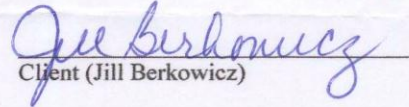
1. Pat Loehfelm agrees to hold all confidential or proprietary information in trust and confidence and agrees that it shall be used only for the contemplated purposes, and shall not be used for any other purpose or disclosed to any third party under any circumstances, whatsoever.

2. No copies may be made or retained of any digital audio or written information supplied.

3. At the conclusion of our discussions, or upon request by the client, all information, including digital audio or written notes shall be returned to the client. Company/transcriber shall not retain copies or written documentation relating thereto.

4. This information shall not be disclosed to any employee, consultant or third party unless party agrees to execute and be bound by the terms of this agreement, and disclosure by client is first approved.

5. This constitutes the entire agreement. Signed this ___ day of _February_ 2011.

Witnessed:

_____   _____
Witness   Representative/transcriber

_____   _____
Witness   Client (Jill Berkowicz)

Appendix G

Sage Graduate Schools EDUCATION HEALTH SCIENCES MANAGEMENT

School of Health Sciences --- Office of the Dean
65 1st Street
Troy, NY 12180
http://www.sage.edu/sgs/ --- 518-244-2264

April 13, 2011

Jill Berkowicz
Director of Curriculum and Instruction
Spackenkill UFSD
11 Croft Road
Poughkeepsie, NY 12603

IRB PROPOSAL # 10-11-040R
Reviewer: Susan C. Cloninger, Chair

Dear Jill:

The Institutional Review Board has reviewed your application and has approved the revisions of your project entitled "Common Childhood Experience and Responses Related to the Development of Leaders of Change." Good luck with your research.

When you have completed collecting your data you will need to submit to the IRB Committee a final report indicating any problems you may have encountered regarding the treatment of human subjects

Please refer to your IRB Proposal number whenever corresponding with us whether by mail or in person.

Please let me know if you have any questions.

Sincerely,

Susan C. Cloninger, PhD
Chair, IRB

SCC/nan

Cc.   Dr. Robert Bradley

To Be. To Know. To Do.

135